

MANDATORY PROVIDENT FUND SCHEMES AUTHORITY

VI.1 Guidelines on MPF Intermediary Registration and Notification of Changes

INTRODUCTION

Application for Registration as Principal Intermediary

Pursuant to section 34T(1) of the Mandatory Provident Fund Schemes Ordinance (“the Ordinance”), a person may apply to the Mandatory Provident Fund Schemes Authority (“the MPFA”) for registration as an intermediary for carrying on regulated activities.

2. Section 34T(3) of the Ordinance requires that the application under section 34T(1) of the Ordinance–
 - (a) must be made in the specified form; and
 - (b) must be accompanied by an application fee of the amount prescribed by the regulations.

Application for Registration as Subsidiary Intermediary

3. Pursuant to section 34U(1) of the Ordinance, a person may apply to the MPFA for registration as an intermediary for carrying on regulated activities for a principal intermediary to which the person is to be attached.

4. Section 34U(3) of the Ordinance requires that the application under section 34U(1) of the Ordinance–
 - (a) must be made in the specified form; and
 - (b) must be accompanied by an application fee of the amount prescribed by the regulations.

Application for Approval of Attachment of Subsidiary Intermediary to Principal Intermediary

5. Pursuant to section 34V(1) of the Ordinance, a person specified in section 34V(2) of the Ordinance may apply to the MPFA for approval of attachment of another person to the specified person for the purpose of carrying on regulated activities.

6. Pursuant to section 34V(2) of the Ordinance, the person is –
 - (a) a principal intermediary; or
 - (b) a person who applies under section 34T(1) for registration as an intermediary for carrying on regulated activities.

7. Section 34V(3) of the Ordinance requires that the application under section 34V(1) of the Ordinance–
 - (a) must be made in the specified form; and
 - (b) must be accompanied by an application fee of the amount prescribed by the regulations.

Application for Approval as Responsible Officer

8. Pursuant to section 34W(1) of the Ordinance, a person specified in section 34W(2) of the Ordinance may apply to the MPFA for approval of an individual as an officer with specified responsibilities in relation to the specified person.

9. Pursuant to section 34W(2) of the Ordinance, the person is –
 - (a) a principal intermediary; or
 - (b) a person who applies under section 34T(1) for registration as an intermediary for carrying on regulated activities.

10. Section 34W(3) of the Ordinance requires that the application under section 34W(1) of the Ordinance –

- (a) must be made in the specified form; and
- (b) must be accompanied by an application fee of the amount prescribed by the regulations.

Withdrawal of Consent by Principal Intermediary

11. Pursuant to section 34ZG(2) of the Ordinance, a withdrawal of a principal intermediary's consent referred to in section 34ZG(1) of the Ordinance takes effect on the date on which the principal intermediary gives the MPFA a notice in the specified form of the withdrawal or if a later date is specified in such a notice as the date on which the withdrawal is to take effect, that later date.

Qualifying Examinations for Subsidiary Intermediary (Individual)

12. Pursuant to section 34U(4)(f) of the Ordinance, on application under section 34U(1) of the Ordinance, the MPFA may register a principal applicant as an intermediary for carrying on regulated activities for a principal intermediary to which the principal applicant is to be attached if it is satisfied, among other requirements, that the principal applicant, if he/she is an individual, has, within 1 year immediately before the date of the application, passed a qualifying examination specified by the MPFA.

13. Section 47A(1) of the Ordinance provides that the MPFA may specify or approve the form and contents of documents required for the purposes of the Ordinance.

14. Section 6H of the Ordinance provides that the MPFA may issue guidelines for the guidance of approved trustees, service providers, participating employers and their employees, self-employed persons, regulated persons and other persons concerned with the Ordinance.

15. Pursuant to section 34ZE of the Ordinance, the principal intermediary must give the MPFA a notice in writing of the change in the address or any contact details. Similarly, pursuant to section 34ZI of the Ordinance, the subsidiary intermediary must give the MPFA a notice in writing of the change in the address or any contact details.

16. The MPFA hereby issues guidelines:

- (a) to set out the specified forms for the purposes of sections 34T(3)(a), 34U(3)(a), 34V(3)(a), 34W(3)(a) and 34ZG(2) of the Ordinance;
- (b) to set out the specified qualifying examination(s) for the purpose of section 34U(4)(f) of the Ordinance and to provide guidance on these examinations;
- (c) to provide guidance on the submission of the specified forms; and
- (d) to provide guidance on notification of change in address and contact details for the purposes of sections 34ZE and 34ZI of the Ordinance.

EFFECTIVE DATE

17. The revised Guidelines (Version 2 – March 2014) shall become effective on 3 March 2014. The previous version (Version 1 – October 2012) of the Guidelines shall be superseded on that day.

SPECIFIED FORMS

Application for Registration as Principal Intermediary

18. Form INT-1, as set out in Annex A, is the specified form for section 34T(3)(a) of the Ordinance for an applicant applying under section 34T(1) of the Ordinance for registration as an intermediary for carrying on regulated activities.

Application for Registration as Subsidiary Intermediary

19. Form INT-2, as set out in Annex B, is the specified form for section 34U(3)(a) of the Ordinance for an applicant who is an individual applying under section 34U(1) of the Ordinance for registration as an intermediary for carrying on regulated activities for a principal intermediary to which the applicant is to be attached.

20. Form INT-3, as set out in Annex C, is the specified form for section 34U(3)(a) of the Ordinance for an applicant who is an appointed long term insurance agency applying under section 34U(1) of the Ordinance for registration as an intermediary for carrying on regulated activities for a principal intermediary to which the applicant is to be attached.

Application for Approval of Attachment of Subsidiary Intermediary to Principal Intermediary

21. Form INT-2, as set out in Annex B, is the specified form for section 34V(3)(a) of the Ordinance for an applicant applying under section 34V(1) of the Ordinance for approval of another person who is an individual to be attached to the applicant for carrying on regulated activities.

22. Form INT-3, as set out in Annex C, is the specified form for section 34V(3)(a) of the Ordinance for an applicant applying under section 34V(1) of the Ordinance for approval of another person who is an appointed long term insurance agency to be attached to the applicant for carrying on regulated activities.

23. Form INT-5, as set out in Annex E, is the specified form for section 34V(3)(a) of the Ordinance for an applicant applying under section 34V(1) of the Ordinance for approval of a person who is already a subsidiary intermediary to be attached to the applicant for carrying on regulated activities.

Application for Approval as Responsible Officer

24. Form INT-4, as set out in Annex D, is the specified form for section 34W(3)(a) of the Ordinance for an applicant applying under section 34W(1) of the Ordinance for approval of an individual as an officer with specified responsibilities in relation to the applicant.

Withdrawal of Consent by Principal Intermediary

25. Form INT-5, as set out in Annex E, is the specified form for section 34ZG(2)(a) of the Ordinance to be completed by a principal intermediary for giving notice of withdrawal of consent to a subsidiary intermediary attached to the principal intermediary for carrying on regulated activities for the principal intermediary.

QUALIFYING EXAMINATIONS

26. The following examinations are the qualifying examinations specified for section 34U(4)(f) of the Ordinance:

- (a) the “Mandatory Provident Fund Schemes Examination” conducted by the Vocational Training Council; and

- (b) the “MPF Intermediaries Examination” conducted by the Hong Kong Securities and Investment Institute.

27. For the avoidance of doubt, the specified qualifying examinations include examinations held whether before or after the effective date of the Guidelines.

SUBMISSION OF APPLICATION

28. Completed specified forms for the applications made under sections 34T(1), 34U(1), 34V(1) and/or 34W(1) of the Ordinance and the relevant application documents should be submitted in hard copies and sent by post or by hand, together with the application fees (if any), to :

Mandatory Provident Fund Schemes Authority
Level 36 Tower 1, Metroplaza
223 Hing Fong Road
Kwai Fong, New Territories
Hong Kong

NOTIFICATION OF CHANGES

29. The MPFA considers that the following are “address” or “contact details” of a principal intermediary and a subsidiary intermediary that are required to be notified to the MPFA within 7 working days after a change has occurred under sections 34ZE and 34ZI of the Ordinance:

- (a) For Principal Intermediary (section 34ZE)
 - (i) Address: -
 - (1) Address of Principal Place of Business in Hong Kong (English and Chinese);

- (2) Address of Registered Office (*if different from the Address of Principal Intermediary's Principal Place of Business*); and
 - (3) Correspondence Address (*if different from the Address of Principal Intermediary's Principal Place of Business*).
- (ii) Contact Details: -
- (1) Principal Intermediary's Telephone Number;
 - (2) Principal Intermediary's Fax Number;
 - (3) Principal Intermediary's Email Address;
 - (4) Contact Person's Name (English and Chinese);
 - (5) Contact Person's Office Address (*if different from the Address of Principal Intermediary's Principal Place of Business*);
 - (6) Contact Person's Telephone Number;
 - (7) Contact Person's Fax Number;
 - (8) Contact Person's Email Address; and
 - (9) Office Address(es) of its Responsible Officer(s).
- (b) For Subsidiary Intermediary (Appointed Long Term Insurance Agency) (section 34ZI)
- (i) Address: -
- (1) Address of Principal Place of Business in Hong Kong (English and Chinese);
 - (2) Address of Registered Office (*if different from the Address of Subsidiary Intermediary's Principal Place of Business*); and
 - (3) Correspondence Address (*if different from the Address of Subsidiary Intermediary's Principal Place of Business*).

(ii) Contact Details: -

- (1) Subsidiary Intermediary's Telephone Number;
- (2) Subsidiary Intermediary's Fax Number;
- (3) Subsidiary Intermediary's Email Address;
- (4) Contact Person's Name (English and Chinese);
- (5) Contact Person's Telephone Number;
- (6) Contact Person's Fax Number; and
- (7) Contact Person's Email Address.

(c) For Subsidiary Intermediary (Individual) (section 34ZI)

(i) Address: -

- (1) Residential Address; and
- (2) Office Address of Responsible Officer (*if Subsidiary Intermediary is a Responsible Officer*).

(ii) Contact Details: -

- (1) Mobile Telephone Number;
- (2) Office Telephone Number; and
- (3) Business Email Address.

DEFINITIONS OF TERMS

30. Where a term used in the Guidelines is defined in the Ordinance or the subsidiary legislation then, except where specified in the Guidelines, that term carries the meaning as defined in the Ordinance or the subsidiary legislation.

MANDATORY PROVIDENT FUND SCHEMES AUTHORITY (MPFA)**Form INT-1**
PI-Application**Application for Registration as a Principal Intermediary**

(under section 34T(1) of the Mandatory Provident Fund Schemes Ordinance, Cap.485("MPFSO"))

| Section I - PARTICULARS OF APPLICANT | |
|---|--|
| Name in English | |
| Name in Chinese (if any) | |
| Business Registration No. | |
| Address of Principal Place of Business in Hong Kong (English) | <p>_____</p> <p>(Flat/Room) (Floor) (Block) (Name of Building)</p> <p>_____</p> <p>(Number & Name of Street) (District)</p> <p>HK / KLN / NT *(Please delete as appropriate)</p> |
| Address of Principal Place of Business in Hong Kong (Chinese) | <p>_____</p> <p>(Flat/Room) (Floor) (Block) (Name of Building)</p> <p>_____</p> <p>(Number & Name of Street) (District)</p> <p>HK / KLN / NT *(Please delete as appropriate)</p> |
| Address of Registered Office (if different from the Address of Principal Place of Business in Hong Kong) | <p>_____</p> <p>(Flat/Room) (Floor) (Block) (Name of Building)</p> <p>_____</p> <p>(Number & Name of Street) (District)</p> <p>HK / KLN / NT *(Please delete as appropriate)</p> |
| Correspondence Address (if different from the Address of Principal Place of Business in Hong Kong) | <p>_____</p> <p>(Flat/Room) (Floor) (Block) (Name of Building)</p> <p>_____</p> <p>(Number & Name of Street) (District)</p> <p>HK / KLN / NT *(Please delete as appropriate)</p> |
| Telephone No. | |
| Fax No. | |
| Email Address | |

Section II - PARTICULARS OF PERSON(S) PROPOSED TO BE APPOINTED AS RESPONSIBLE OFFICER(S)

(If there is insufficient space, please continue on a separate sheet)

| | | |
|---|----|----|
| Name in English (same as HKID Card) | 1. | 2. |
| Name in Chinese (if any) (same as HKID Card) | 1. | 2. |
| HKID Card No. | 1. | 2. |
| MPF Registration No. (if any) | 1. | 2. |

Section III – COMPLIANCE OFFICER INFORMATION

| | | |
|-----------------------------|---|---|
| Name (same as HKID Card) | (English) _____ (Surname) _____ (Other Names) | (Chinese) (if any) _____ (Surname) _____ (Other Name) |
| Position held | | |
| Telephone No. | | |
| Fax No. | | |
| Email Address | | |

Section IV – CONTACT PERSON INFORMATION (IF DIFFERENT FROM COMPLIANCE OFFICER INFORMATION)

| | | |
|---|--|---|
| Name (same as HKID Card) | (English) _____ (Surname) _____ (Other Names) | (Chinese) (if any) _____ (Surname) _____ (Other Name) |
| Position held | | |
| Office Address (if different from the Address of Principal Place of Business of the Applicant) | _____ (Flat/Room) (Floor) (Block) (Name of Building) _____ (Number & Name of Street) (District) HK / KLN / NT *(Please delete as appropriate) | |
| Telephone No. | | |
| Fax No. | | |
| Email Address | | |

Section V – QUALIFICATION(S) AS A “TYPE A REGULATEE”

(Please tick **ALL** qualifications as a Type A regulatee **currently** possessed by your corporation.)

Securities and Futures Commission Regime

Licensed Corporation (Type 1 and/or Type 4)

Hong Kong Monetary Authority Regime

Authorized Financial Institution (Type 1 and/or Type 4)

Insurance Authority Regime

Authorized Long Term Insurer

Authorized Long Term Insurance Broker:

Member of The Hong Kong Confederation of Insurance Brokers

Member of the Professional Insurance Brokers Association

Directly Authorized by the Insurance Authority

Section VI – FURTHER INFORMATION OF APPLICANT

1. Have any of your qualifications as a Type A regulatee, currently or formerly possessed by your corporation, been revoked on disciplinary grounds under circumstances as specified in s.34J(1) of the MPFSO, within 1 year immediately before the date of signing this application?

Yes/No*

2. Have any of your qualifications as a Type A regulatee, currently possessed by your corporation, been suspended under circumstances as specified in s.34J(2) of the MPFSO?

Yes/No*

3. Has your registration as an MPF registered intermediary (if any) ever been revoked by the MPFA under s.34ZW(3)(a)(i) of the MPFSO within 1 year immediately before the date of signing this application?

Yes/No*

4. Has your corporation ever been disqualified by the MPFA under s.34ZW(3)(a)(ii) of the MPFSO from being registered as an intermediary for carrying on regulated activities?

Yes/No*

* (please delete as appropriate)

| Section VII – DECLARATION | | |
|---|--|--|
| <p>We, the above-named applicant, hereby</p> <ol style="list-style-type: none"> declare that to the best of our knowledge and belief all information given in this application (including this Form and all attachments) is correct and complete. † agree to immediately notify the MPFA of any matter which has come to our attention and which may affect the validity of any information given in support of this application. agree to, before this application is approved, immediately notify the MPFA of any changes to, or affecting the completeness or accuracy of, the information provided in this application (including this Form and all attachments). declare that the board of directors / the partnership has passed a resolution approving this application. understand that s.34ZE(5) of the MPFSO makes it an offence for a person who, without reasonable excuse, fails to give the MPFA a notice in writing of any cessation, change, acquisition or suspension in relation to principal intermediary referred to in s.34ZE(1) of the MPFSO within 7 working days after it occurs. | | |
| Name of Authorized Signatory <i>(same as HKID Card)</i> <i>(The Authorized Signatory must be a sole proprietor, partner or director of the Applicant.)</i> | 1. | 2. |
| Capacity | Sole Proprietor / Partner / Director* Authorized by the Applicant <i>*(Please delete as appropriate)</i> | Sole Proprietor / Partner / Director* Authorized by the Applicant <i>*(Please delete as appropriate)</i> |
| Authorized Signature ¹ | 1. | 2. |
| Date of Signature ² | | |

† **Warning:** Section 43E(1) of the MPFSO makes it an offence punishable with a maximum of 1 year’s imprisonment and a fine of \$100,000 for the first occasion and 2 years’ imprisonment and a fine of \$200,000 on each subsequent occasion for a person who makes a statement that the person knows to be false or misleading in a material aspect, or recklessly makes a statement which is false or misleading in a material aspect.

| Section VIII – CONSENT / AUTHORIZATION |
|--|
| <p>We, _____ <i>(Name of the Applicant)</i></p> <p>Business Registration No.: _____, hereby</p> <ol style="list-style-type: none"> certify that we have read the attached Personal Information Collection Statement (“PICS”) and understand our rights and obligations in relation to the personal data provided by us to the MPFA and consent to the manner in which the personal data may be used or dealt with as specified in the PICS; consent to the MPFA using, disclosing or transferring information (including personal data where applicable) and materials provided or to be provided by us or relating to us which are obtained by the MPFA in the exercise or performance of its functions (whether obtained in application(s), notification(s), annual return(s), complaints handling, investigation, disciplinary proceedings, enforcement or otherwise) (“the Relevant Information”) in a manner similar to that for personal data mentioned in the PICS; |

¹ Please see *Explanatory Note 1* on the signing requirements.

² Please see *Explanatory Note 2*.

| | | |
|--|--|--|
| <p>3. consent to the MPFA disclosing or transferring the Relevant Information to each and all of the Insurance Authority, the Hong Kong Monetary Authority, the Securities and Futures Commission and the self-regulatory organizations of the insurance industry (including the Insurance Agents Registration Board under the Hong Kong Federation of Insurers, the Hong Kong Confederation of Insurance Brokers, and the Professional Insurance Brokers Association) (“the 6 bodies”), even if we do not possess any qualification capacity under all of the 6 bodies, for the purposes of verifying information, performing functions of the MPFA or of other regulators, or for the purposes of this application and other applications relating to us, our ongoing registration as an MPF intermediary or any purpose incidental thereto;</p> <p>4. consent to the MPFA disclosing or transferring the Relevant Information to any panel or committee established by the Chief Executive or the Financial Secretary for the purpose of reviewing or advising on procedural or policy matters in relation to the performance or exercising of the MPFA’s functions;</p> <p>5. consent to the 6 bodies disclosing and transferring to the MPFA information (including but not limited to personal data where applicable) and materials provided or to be provided by us or relating to us, whether obtained by them in their respective regimes or not, for the purposes of verifying information, performing functions of the MPFA or of other regulators, or for the purposes of this application or other applications relating to us, our ongoing registration as an MPF intermediary or any purpose incidental thereto; and authorize the MPFA to request such disclosure or release;</p> <p>6. consent to the MPFA and/or the 6 bodies comparing, verifying or carrying out matching procedure (as defined in the Personal Data (Privacy) Ordinance) on information (including but not limited to personal data where applicable) disclosed or transferred to them under (3) or (5) above (as the case may be) with information (including personal data where applicable) held or to be held by them; and</p> <p>7. understand that the results of the comparison verification or matching procedure mentioned above (including those mentioned in the PICS where applicable) may result in the MPFA rejecting this application or other application(s) relating to us and where applicable, suspension or revocation of our registration as an MPF intermediary, suspension or revocation of approval of attachment of subsidiary intermediary/intermediaries to us, suspension or revocation of approval of our responsible officer(s), updating of the register of intermediaries for regulated activities, the MPFA exercising any power under the MPFSO and/or other regulators exercising any power under the MPFSO or their respective regimes.</p> | | |
| Name of Authorized Signatory <i>(same as HKID Card)</i> <i>(The Authorized Signatory must be a sole proprietor, partner or director of the applicant.)</i> | 1. | 2. |
| Capacity | Sole Proprietor / Partner / Director* Authorized by the Applicant <i>*(Please delete as appropriate)</i> | Sole Proprietor / Partner / Director* Authorized by the Applicant <i>*(Please delete as appropriate)</i> |
| Authorized Signature ³ | 1. | 2. |
| Date of Signature ⁴ | | |

| For Official Use Only | | | | | |
|-----------------------|--|-----------------------|--|-------------------|--|
| Application No. | | MPF Registration No. | | | |
| Receipt Date | | MPF Registration Date | | | |
| Input Officer | | Checking Officer | | Approving Officer | |

³ Please see *Explanatory Note 1* on the signing requirements.
⁴ Please see *Explanatory Note 2*.

MANDATORY PROVIDENT FUND SCHEMES AUTHORITY**Application for Registration as a Principal Intermediary****Notes on Completion of this Form**

1. Please read the *Handbook on MPF Intermediary Registration* (available at the Mandatory Provident Fund Schemes Authority website - www.mpfa.org.hk) and the *Personal Information Collection Statement* below before completing this Form.
2. All boxes must be completed. If it is not applicable, please write "N/A".
3. A copy of the relevant business registration certificate must accompany this Form. In the case of a limited company, a copy of the certificate of incorporation or the certificate of registration if an overseas company, must accompany this Form.
4. Please note that an application will not be approved if any of the statutory requirements is not satisfied. Such requirements include but are not limited to the applicant being a Type A regulatee of an industry regulator at the time of submitting the application (Section V).
5. Please note that this Form must be submitted together with [Form INT-2] (registration as a subsidiary intermediary and approval of attachment of a subsidiary intermediary to a principal intermediary) and [Form INT-4] (approval as a responsible officer) if an individual who will act as a responsible officer has not yet been registered as a subsidiary intermediary. If an individual who will act as a responsible officer has already been registered as a subsidiary intermediary, then this Form should be submitted together with [Form INT-5] for approval of attachment of the subsidiary intermediary to the applicant and [Form INT-4] (approval as a responsible officer).
6. Please initial any amendments made in this Form.
7. Please note that the MPFA may require further information and/or documentary evidence in support of the application when necessary.
8. Please also note that some of the information provided in the application form may appear in a public register of intermediaries for regulated activities.

Explanatory Notes**1. Signing Requirements**

This application form must be signed by:

- (a) a sole-proprietor if the applicant is in form of a sole-proprietorship;
 - (b) two partners if the applicant is in form of a partnership;
 - (c) a director of the applicant if the applicant is in form of a limited company with a sole director; and
 - (d) two directors authorized by the board of directors of the applicant if the applicant is in form of a limited company with two or more directors.
2. If there is any delay in submitting this application to the MPFA after signing, supplemental information or confirmation in writing may be required from the applicant and where applicable, the relevant parties, and that may delay the application.

Personal Information Collection Statement

This Personal Information Collection Statement (“PICS”) is made in accordance with the Personal Data (Privacy) Ordinance (“PDPO”). You are advised to read the following regarding your rights and obligations in relation to your personal data (as defined in the PDPO) and the manner in which the MPFA may use or deal with such data for the purposes specified below.

Purpose of Collection and Use

1. The personal data provided in support of an application for the registration as an MPF intermediary and/or an application for approval of attachment of a subsidiary intermediary to a principal intermediary and/or an application for approval of an individual as a responsible officer and/or annual return and/or notification of change of information and/or notification of withdrawal of consent and/or any other form of application or request and/or pursuant to the MPFA’s request for information (as the case may be) will be used by the MPFA for one or more of the following purposes:
 - (a) exercising or performing its functions under the Mandatory Provident Fund Schemes Ordinance (“MPFSO”) including but not limited to ensuring compliance with the MPFSO, regulating sales and marketing activities and the giving of advice in relation to registered schemes, registration of MPF intermediaries, granting approval of responsible officers and related matters, inspection, investigation, and taking disciplinary or enforcement action;
 - (b) processing any application made by you under the MPFSO;
 - (c) considering any application made under the MPFSO where you are named as the principal intermediary or subsidiary intermediary or responsible officer (as the case may be);
 - (d) enabling or assisting other regulators to perform their functions under the MPFSO or their respective regimes including, without limitation, monitoring, surveillance, inspection or investigation;
 - (e) establishing and keeping a public register of MPF intermediaries for regulated activities;
 - (f) for research and statistical purposes; and
 - (g) other purposes as permitted by law.
2. Failure to supply the requested personal data may result in delay or refusal of your application and in some circumstances, hindering the MPFA and/or other regulators from performing their functions.

Transfer / Matching of Personal Data

3. The MPFA may disclose or transfer the personal data to other persons including the bodies listed below for one or more of the aforesaid purposes, or in accordance with an order of a court or in accordance with a law or a requirement made under a law, or pursuant to any regulatory or investigatory assistance arrangements between the MPFA and other regulators or law enforcement agents:
 - (a) the Hong Kong Monetary Authority;
 - (b) the Insurance Authority and the self-regulatory organizations of the insurance industry (including the Insurance Agents Registration Board under the Hong Kong Federation of Insurers, The Hong Kong Confederation of Insurance Brokers, and the Professional Insurance Brokers Association);
 - (c) the Securities and Futures Commission;
 - (d) examination bodies for conducting qualifying examinations;
 - (e) principal intermediary/intermediaries to which you as a subsidiary intermediary were/are/will be attached;
 - (f) the Chief Executive;
 - (g) the Financial Secretary;
 - (h) the Commissioner of Inland Revenue;

- (i) the Official Receiver appointed under the Bankruptcy Ordinance;
 - (j) liquidator appointed under the pre-amended Ordinance (as defined in the Companies (Winding Up and Miscellaneous Provisions) Ordinance (Cap.32)) or the Companies (Winding Up and Miscellaneous Provisions) Ordinance (Cap.32);
 - (k) the Registrar of Occupational Retirement Schemes;
 - (l) the Financial Reporting Council established under the Financial Reporting Council Ordinance;
 - (m) the Hong Kong Police Force;
 - (n) any relevant courts, panels, tribunals and committees; and
 - (o) other law enforcement agents or government / regulatory bodies.
4. Personal data may be used by the MPFA or disclosed or transferred by the MPFA to the bodies listed in paragraph 3 (a), (b) and (c) for the purposes of comparing or verifying those data with other data or carrying out matching procedure (as defined in the PDPO) on those data.

Public Register

5. The MPFA is required to establish and keep a register of MPF intermediaries for regulated activities containing specified data (including personal data) pursuant to the relevant provisions of the MPFSO or any rules or regulations made thereunder. The MPFA is required by law to make the register available to the public through the Internet. For the purpose of enabling a member of the public to ascertain whether he/she is dealing with a regulated person (including MPF intermediary) in matters of or connected with any regulated activity or the approval of an individual as a responsible officer of a principal intermediary, a member of the public may inspect the register or may inspect a reproduction of any information recorded in the register in a legible form (as the case may be), free of charge. A member of the public may also on payment of a prescribed fee obtain a copy or a certified true copy of an entry in or extract of the register.

Access to Personal Data

6. You are entitled under the PDPO to ascertain whether the MPFA holds personal data relating to you, and to request access to or to request the correction of any personal data relating to you held by the MPFA, in the manner and subject to the limitations prescribed therein. All enquiries should be directed to the Personal Data Privacy Officer of the MPFA at Level 16, International Commerce Centre, 1 Austin Road West, Kowloon, Hong Kong.

MANDATORY PROVIDENT FUND SCHEMES AUTHORITY (MPFA)

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| Form INT-2 SI-Application (Individual) |
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**Applications for Registration as a Subsidiary Intermediary (by an Individual) and
Approval of Attachment of a Subsidiary Intermediary to a Principal Intermediary**

(under sections 34U(1) and 34V(1) of the Mandatory Provident Fund Schemes Ordinance, Cap.485("MPFSO"))

| Section I – PARTICULARS OF APPLICANT (For Registration as Subsidiary Intermediary) | |
|---|---|
| Name in English <i>(same as HKID Card)</i> | _____ <i>(Surname)</i> _____ <i>(other names)</i> |
| Name in Chinese <i>(if any)</i> <i>(same as HKID Card)</i> | _____ <i>(Surname)</i> _____ <i>(other name)</i> |
| Salutation | Mr./Miss/Mrs./Ms. <i>*(Please delete as appropriate)</i> |
| HKID Card No. | _____ () |
| Residential Address | _____ <i>(Flat/Room)</i> <i>(Floor)</i> <i>(Block)</i> <i>(Name of Building)</i> _____ <i>(Number & Name of Street)</i> _____ <i>(District)</i> HK / KLN / NT <i>*(Please delete as appropriate)</i> _____ <i>(Country)</i> <i>(City)</i> <i>(State)</i> <i>(Postal Code (if any))</i> |
| Mobile Telephone No. | |
| Office Telephone No. | |
| Business Email Address | |
| Personal Email Address <i>(optional)</i> | |

| Section II – QUALIFYING EXAMINATION | |
|---|--|
| Examination Body (Qualifying Examination) | <input type="checkbox"/> Vocational Training Council (Mandatory Provident Fund Schemes Examination) <input type="checkbox"/> Hong Kong Securities and Investment Institute (MPF Intermediaries Examination) <i>(Please tick the appropriate box)</i> |
| Date of Passing Examination (dd/mm/yyyy) | |
| <p><i>Please ensure that you take and pass a qualifying examination specified by the MPFA within 1 year immediately before the date of application (1) if you have not been registered as an MPF intermediary for the past 3 years OR (2) if you have been registered as a subsidiary intermediary for the past 3 years, but your registration has been revoked and the last revocation is because of non-compliance of continuing training requirement.</i></p> | |

| Section III – QUALIFICATION(S) AS A TYPE B REGULATEE <i>(Please tick <u>ALL</u> qualifications as a Type B regulatee which you <u>currently</u> possess.)</i> |
|--|
| Securities and Futures Commission Regime |
| <input type="checkbox"/> Licensed Representative (Type 1 and/or Type 4) |
| Hong Kong Monetary Authority Regime |
| <input type="checkbox"/> Relevant Individual (including Executive Officer) (Type 1 and/or Type 4) |
| Insurance Authority Regime |
| <input type="checkbox"/> Appointed Long Term Insurance Agent <input type="checkbox"/> Responsible Officer/Technical Representative of an Appointed Long Term Insurance Agent <input type="checkbox"/> Chief Executive/Technical Representative of an Authorized Long Term Insurance Broker which is: <ul style="list-style-type: none"> <input type="checkbox"/> Member of The Hong Kong Confederation of Insurance Brokers <input type="checkbox"/> Member of the Professional Insurance Brokers Association <input type="checkbox"/> Directly Authorized by the Insurance Authority |

| Section IV – FURTHER INFORMATION OF APPLICANT |
|--|
| <p>1. Have any of your qualifications as a Type B regulatee, <u>currently or formerly</u> possessed by you, been revoked on disciplinary grounds as specified in s.34K(1) of the MPFSO within 1 year immediately before the date of signing this application?</p> <p>Yes/No*</p> |
| <p>2. Have any of your qualifications as a Type B regulatee, <u>currently</u> possessed by you been suspended as specified in s.34K(2) of the MPFSO?</p> <p>Yes/No*</p> |
| <p>3. Has your registration as an MPF registered intermediary (if any) ever been revoked by the MPFA under s.34ZW(3)(a)(i) of the MPFSO within 1 year immediately before the date of signing this application?</p> <p>Yes/No*</p> |
| <p>4. Have you ever been disqualified by the MPFA under s.34ZW(3)(a)(ii) of the MPFSO from being registered as an intermediary for carrying on regulated activities?</p> <p>Yes/No*</p> |
| <p>*(please delete as appropriate)</p> |

| | |
|---|--|
| Section V – DECLARATION | |
| I, the above-named applicant, hereby | |
| <ol style="list-style-type: none"> 1. declare that to the best of my knowledge and belief all information given in this application (including this Form and all attachments) is correct and complete. ✦ 2. agree to immediately notify the MPFA of any matter which has come to my attention and which may affect the validity of any information given in support of this application. 3. agree to, before this application is approved, immediately notify the MPFA of any changes to, or affecting the completeness or accuracy of, the information provided in this application (including this Form and all attachments). 4. understand that s.34ZI(3) of the MPFSO makes it an offence for a person who, without reasonable excuse, fails to give the MPFA a notice in writing of the change, acquisition, cessation or suspension in relation to subsidiary intermediary referred to in s.34ZI(1) of the MPFSO within 7 working days after it occurs. | |
| Name of Applicant (<i>same as HKID Card</i>) | |
| Signature of Applicant | |
| Date of Signature ¹ | |

✦ **Warning:** Section 43E(1) of the MPFSO makes it an offence punishable with a maximum of 1 year’s imprisonment and a fine of \$100,000 for the first occasion and 2 years’ imprisonment and a fine of \$200,000 on each subsequent occasion for a person who makes a statement that the person knows to be false or misleading in a material aspect, or recklessly makes a statement which is false or misleading in a material aspect.

¹ Please see *Explanatory Notes*.

Section VI - CONSENT / AUTHORIZATION

I, _____ (name of the individual applicant for registration as a subsidiary intermediary), hereby

1. **certify** that I have read the attached Personal Information Collection Statement (“PICS”) and **understand** my rights and obligations in relation to the personal data provided by me to the MPFA and **consent** to the manner in which the personal data may be used or dealt with as specified in the PICS;
2. **consent** to the MPFA using, disclosing or transferring information (including personal data where applicable) and materials provided or to be provided by me or relating to me which are obtained by the MPFA in the exercise or performance of its functions (whether obtained in application(s), notification(s), annual return(s), complaints handling, investigation, disciplinary proceedings, enforcement or otherwise) (“the Relevant Information”) in a manner similar to that for personal data mentioned in the PICS;
3. **consent** to the MPFA disclosing or transferring the Relevant Information to each and all of the Insurance Authority, the Hong Kong Monetary Authority, the Securities and Futures Commission and the self-regulatory organizations of the insurance industry (including the Insurance Agents Registration Board under the Hong Kong Federation of Insurers, The Hong Kong Confederation of Insurance Brokers, and the Professional Insurance Brokers Association) (“the 6 bodies”), even if I do not possess any qualification capacity under all of the 6 bodies, for the purposes of verifying information, performing functions of the MPFA or of other regulators, or for the purposes of this application and other applications relating to me, my ongoing registration as an MPF intermediary or any purpose incidental thereto;
4. **consent** to the MPFA disclosing or transferring the Relevant Information to any panel or committee established by the Chief Executive or the Financial Secretary for the purpose reviewing or advising on procedural or policy matters in relation to the performance or exercising of the MPFA’s functions;
5. **consent** to the 6 bodies disclosing or transferring to the MPFA information (including but not limited to personal data where applicable) and materials provided or to be provided by me or relating to me, whether obtained by them in their respective regimes or not, for the purposes of verifying information, performing functions of the MPFA or of other regulators, or for the purposes of this application or other application relating to me, my ongoing registration as an MPF intermediary or any purpose incidental thereto; and **authorize** the MPFA to request such disclosure or release;
6. **consent** to my principal intermediary/intermediaries, to which I was/am/will be attached, disclosing or transferring to the MPFA, the Insurance Authority, the Hong Kong Monetary Authority and/or the Securities and Futures Commission personal data, other information and materials provided or to be provided by me or relating to me, for the purposes of verifying information, performing functions of the MPFA or of the other regulators, or for the purposes of this application or any other application made by me or relating to me, my ongoing registration as an MPF intermediary or any purpose incidental thereto; and **authorize** the MPFA to request such disclosure or release;
7. **consent** to the examination body/bodies, which conduct(s) qualifying examination(s) specified by the MPFA under the MPFSO, currently the Hong Kong Securities and Investment Institute, and the Vocational Training Council, disclosing or transferring to the MPFA personal data (including my Hong Kong Identify Card number and my examination records) and other information and materials provided or to be provided by me or relating to me, for the purposes of verifying information, performing functions of the MPFA, or for the purposes of this application or any purpose incidental thereto; and **authorize** the MPFA to request such disclosure or release;
8. **consent** to the provider(s) of MPF training that is specified by the MPFA under the MPFSO disclosing or transferring my personal data (including MPF registration number and the title, date and training hours of the MPF CPD or other training that I have attended), other information and materials provided or to be provided by me or relating to me to the MPFA, for the purposes of verifying information, performing functions of the MPFA or of other regulators, monitoring my compliance with the MPF training requirements, my ongoing registration as a subsidiary intermediary and any purpose incidental thereto; and **authorize** the MPFA to request such disclosure or release;
9. **consent** to the MPFA and/or the 6 bodies comparing, verifying or carrying out matching procedure (as defined in the Personal Data (Privacy) Ordinance) on information (including but not limited to personal data where applicable) disclosed or transferred to them under (3), (5), (6), (7) or (8) above (as the case may be) with information (including personal data where applicable) held or to be held by them; and

| | |
|---|--|
| 10. understand that the results of the comparison verification or matching procedure mentioned above (including those mentioned in the PICS where applicable) may result in the MPFA rejecting application(s) relating to me and where applicable, suspension or revocation of my registration as an MPF intermediary, suspension or revocation of approval of my attachment to a principal intermediary, suspension or revocation of approval as responsible officer, updating of the register of intermediaries for regulated activities, the MPFA exercising any power under the MPFSO and/or other regulators exercising any power under the MPFSO or their respective regimes, if the results show that I do not possess the relevant qualification capacity or that my qualification capacity has been terminated, suspended or revoked, or that I have failed to comply with any MPF continuing training requirements, or that I have failed to pass a qualifying examination specified by the MPFA within the time specified in the MPFSO. | |
| Name of Applicant (<i>same as HKID Card</i>) | |
| Signature of Applicant | |
| Date of Signature ² | |

Section VII – DECLARATION BY PRINCIPAL INTERMEDIARY / CORPORATION SEEKING TO BE A PRINCIPAL INTERMEDIARY, TO WHICH THE APPLICANT IS TO BE ATTACHED (For Approval of Attachment of a Subsidiary Intermediary to a Principal Intermediary)

1. We hereby apply for approval of attachment of [_____](name of the individual applicant for registration as a subsidiary intermediary) (“Applicant”) to our corporation as the principal intermediary for the purpose of carrying on regulated activities.
2. We give our consent to the Applicant being an intermediary to carry on regulated activities for our corporation.
3. We certify that the Applicant is employed by, or acts as an agent or representative for our corporation.
4. We declare that the Applicant is a Type B regulatee of an industry regulator that is the frontline regulator of our corporation assigned by the MPFA.
5. We declare that to the best of our knowledge and belief the information given in this Form is correct and complete. †
6. We undertake to immediately notify the MPFA of any matter which has come to our attention and which may affect the validity of any information given in this Form.
7. We undertake to, before this application for approval of attachment is approved, immediately notify the MPFA of any changes to, or affecting the completeness or accuracy of, the information provided in this application (including all attachments).

Principal Intermediary / Corporation Seeking to be a Principal Intermediary

| | |
|--|--|
| Name | |
| MPF Registration No.(if any)/Business Registration No. if there is no MPF Registration No. | |
| Name of Contact Person | |
| Telephone No. of Contact Person | |

² Please see *Explanatory Notes*.

| | |
|---|--|
| Name of Authorized Signatory (Responsible Officer of/Person Authorized by, the Principal Intermediary, OR Person Authorized by the Corporation Seeking to be a Principal Intermediary*) (same as HKID Card) *(Please delete as appropriate) | |
| Position held | |
| Authorized Signature | |
| Date of Signature ³ | |

† **Warning:** Section 43E(1) of the MPFSO makes it an offence punishable with a maximum of 1 year’s imprisonment and a fine of \$100,000 for the first occasion and 2 years’ imprisonment and a fine of \$200,000 on each subsequent occasion for a person who makes a statement that the person knows to be false or misleading in a material aspect, or recklessly makes a statement which is false or misleading in a material aspect.

| For Official Use Only | | | | | |
|------------------------------|--|------------------|-----------------------|-------------------|--|
| Application No. | | | MPF Registration No. | | |
| Receipt Date | | | MPF Registration Date | | |
| Input Officer | | Checking Officer | | Approving Officer | |

³ Please see *Explanatory Notes*.

MANDATORY PROVIDENT FUND SCHEMES AUTHORITY**Application for Registration as a Subsidiary Intermediary (by an Individual) and Approval of Attachment of a Subsidiary Intermediary to a Principal Intermediary****Notes on Completion of this Form**

1. Please read the *Handbook on MPF Intermediary Registration* (available at the Mandatory Provident Fund Schemes Authority website - www.mpfa.org.hk) and the *Personal Information Collection Statement* below before completing this Form.
2. All boxes must be completed. If it is not applicable, please write "N/A".
3. Please attach a copy of your Hong Kong identity card to the application.
4. Please note that your application will not be approved if any of the statutory requirements is not satisfied. Such requirements include but are not limited to (i) you are a Type B regulatee of an industry regulator but not a Type A regulatee of any industry regulator at the time of submitting the application, and (ii) you have, within 1 year immediately before the date of the application, passed a qualifying examination specified by the MPFA unless you have been registered as a subsidiary intermediary for the past 3 years and your registration has not been last revoked by the MPFA due to the non-compliance of continuing training requirement.
5. Please initial any amendments made in this Form.
6. Please note that the MPFA may require further information and/or documentary evidence in support of the application when necessary.
7. Please also note that some of the information provided in the application form may appear in a public register of intermediaries for regulated activities.

Explanatory Notes

1. If there is any delay in submitting this application to the MPFA after signing, supplemental information or confirmation in writing may be required from the applicant and where applicable, the relevant parties, and that may delay the application.

Personal Information Collection Statement

This Personal Information Collection Statement (“PICS”) is made in accordance with the Personal Data (Privacy) Ordinance (“PDPO”). You are advised to read the following regarding your rights and obligations in relation to your personal data (as defined in the PDPO) and the manner in which the MPFA may use or deal with such data for the purposes specified below.

Purpose of Collection and Use

1. The personal data provided in support of an application for the registration as an MPF intermediary and/or an application for approval of attachment of a subsidiary intermediary to a principal intermediary and/or an application for approval of an individual as a responsible officer and/or annual return and/or notification of change of information and/or notification of withdrawal of consent and/or any other form of application or request and/or pursuant to the MPFA’s request for information (as the case may be) will be used by the MPFA for one or more of the following purposes:
 - (a) exercising or performing its functions under the Mandatory Provident Fund Schemes Ordinance (“MPFSO”) including but not limited to ensuring compliance with the MPFSO, regulating sales and marketing activities and the giving of advice in relation to registered schemes, registration of MPF intermediaries, granting approval of responsible officers and related matters, inspection, investigation, and taking disciplinary or enforcement action;
 - (b) processing any application made by you under the MPFSO;
 - (c) considering any application made under the MPFSO where you are named as the principal intermediary or subsidiary intermediary or responsible officer (as the case may be);
 - (d) enabling or assisting other regulators to perform their functions under the MPFSO or their respective regimes including, without limitation, monitoring, surveillance, inspection or investigation;
 - (e) establishing and keeping a public register of MPF intermediaries for regulated activities;
 - (f) for research and statistical purposes; and
 - (g) other purposes as permitted by law.
2. Failure to supply the requested personal data may result in delay or refusal of your application and in some circumstances, hindering the MPFA and/or other regulators from performing their functions.

Transfer / Matching of Personal Data

3. The MPFA may disclose or transfer the personal data to other persons including the bodies listed below for one or more of the aforesaid purposes, or in accordance with an order of a court or in accordance with a law or a requirement made under a law, or pursuant to any regulatory or investigatory assistance arrangements between the MPFA and other regulators or law enforcement agents:
 - (a) the Hong Kong Monetary Authority;
 - (b) the Insurance Authority and the self-regulatory organizations of the insurance industry (including the Insurance Agents Registration Board under the Hong Kong Federation of Insurers, The Hong Kong Confederation of Insurance Brokers, and the Professional Insurance Brokers Association);
 - (c) the Securities and Futures Commission;
 - (d) examination bodies for conducting qualifying examinations;
 - (e) principal intermediary/intermediaries to which you as a subsidiary intermediary were/are/will be attached;
 - (f) the Chief Executive;
 - (g) the Financial Secretary;
 - (h) the Commissioner of Inland Revenue;
 - (i) the Official Receiver appointed under the Bankruptcy Ordinance;

- (j) liquidator appointed under the pre-amended Ordinance (as defined in the Companies (Winding Up and Miscellaneous Provisions) Ordinance (Cap.32)) or the Companies (Winding Up and Miscellaneous Provisions) Ordinance (Cap.32);
 - (k) the Registrar of Occupational Retirement Schemes;
 - (l) the Financial Reporting Council established under the Financial Reporting Council Ordinance;
 - (m) the Hong Kong Police Force;
 - (n) any relevant courts, panels, tribunals and committees; and
 - (o) other law enforcement agents or government / regulatory bodies.
4. Personal data may be used by the MPFA or disclosed or transferred by the MPFA to the bodies listed in paragraph 3(a), (b) and (c) for the purposes of comparing or verifying those data with other data or carrying out matching procedure (as defined in the PDPO) on those data.

Public Register

5. The MPFA is required to establish and keep a register of MPF intermediaries for regulated activities containing specified data (including personal data) pursuant to the relevant provisions of the MPFSO or any rules or regulations made thereunder. The MPFA is required by law to make the register available to the public through the Internet. For the purpose of enabling a member of the public to ascertain whether he/she is dealing with a regulated person (including MPF intermediary) in matters of or connected with any regulated activity or the approval of an individual as a responsible officer of a principal intermediary, a member of the public may inspect the register or may inspect a reproduction of any information recorded in the register in a legible form (as the case may be), free of charge. A member of the public may also on payment of a prescribed fee obtain a copy or a certified true copy of an entry in or extract of the register.

Access to Personal Data

6. You are entitled under the PDPO to ascertain whether the MPFA holds personal data relating to you, and to request access to or to request the correction of any personal data relating to you held by the MPFA, in the manner and subject to the limitations prescribed therein. All enquiries should be directed to the Personal Data Privacy Officer of the MPFA at Level 16, International Commerce Centre, 1 Austin Road West, Kowloon, Hong Kong.

MANDATORY PROVIDENT FUND SCHEMES AUTHORITY (MPFA)

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|--|
| Form INT-3 SI-Application (Ins. Agency) |
|--|

**Applications for Registration as a Subsidiary Intermediary
 (by an Appointed Long Term Insurance Agency) and
 Approval of Attachment of a Subsidiary Intermediary to a Principal Intermediary**

(under sections 34U(1) and 34V(1) of the Mandatory Provident Fund Schemes Ordinance, Cap.485("MPFSO"))

| Section I – PARTICULARS OF APPLICANT (For Registration as a Subsidiary Intermediary) | |
|--|---|
| Name in English | |
| Name in Chinese (<i>if any</i>) | |
| Business Registration No. | |
| Address of Principal Place of Business in Hong Kong | <div style="display: flex; justify-content: space-between;"> <div style="width: 20%; border-bottom: 1px solid black; text-align: center;"><i>(Flat/Room)</i></div> <div style="width: 20%; border-bottom: 1px solid black; text-align: center;"><i>(Floor)</i></div> <div style="width: 20%; border-bottom: 1px solid black; text-align: center;"><i>(Block)</i></div> <div style="width: 40%; border-bottom: 1px solid black; text-align: center;"><i>(Name of Building)</i></div> </div> <div style="display: flex; justify-content: space-between;"> <div style="width: 70%; border-bottom: 1px solid black; text-align: center;"><i>(Number & Name of Street)</i></div> <div style="width: 30%; border-bottom: 1px solid black; text-align: center;"><i>(District)</i></div> </div> <i>HK / KLN / NT *(Please delete as appropriate)</i> |
| Address of Registered Office <i>(if different from the Address of Principal Place of Business in Hong Kong)</i> | <div style="display: flex; justify-content: space-between;"> <div style="width: 20%; border-bottom: 1px solid black; text-align: center;"><i>(Flat/Room)</i></div> <div style="width: 20%; border-bottom: 1px solid black; text-align: center;"><i>(Floor)</i></div> <div style="width: 20%; border-bottom: 1px solid black; text-align: center;"><i>(Block)</i></div> <div style="width: 40%; border-bottom: 1px solid black; text-align: center;"><i>(Name of Building)</i></div> </div> <div style="display: flex; justify-content: space-between;"> <div style="width: 70%; border-bottom: 1px solid black; text-align: center;"><i>(Number & Name of Street)</i></div> <div style="width: 30%; border-bottom: 1px solid black; text-align: center;"><i>(District)</i></div> </div> <i>HK / KLN / NT *(Please delete as appropriate)</i> |
| Correspondence Address <i>(if different from the Address of Principal Place of Business in Hong Kong)</i> | <div style="display: flex; justify-content: space-between;"> <div style="width: 20%; border-bottom: 1px solid black; text-align: center;"><i>(Flat/Room)</i></div> <div style="width: 20%; border-bottom: 1px solid black; text-align: center;"><i>(Floor)</i></div> <div style="width: 20%; border-bottom: 1px solid black; text-align: center;"><i>(Block)</i></div> <div style="width: 40%; border-bottom: 1px solid black; text-align: center;"><i>(Name of Building)</i></div> </div> <div style="display: flex; justify-content: space-between;"> <div style="width: 70%; border-bottom: 1px solid black; text-align: center;"><i>(Number & Name of Street)</i></div> <div style="width: 30%; border-bottom: 1px solid black; text-align: center;"><i>(District)</i></div> </div> <i>HK / KLN / NT *(Please delete as appropriate)</i> |
| Telephone No. | |
| Fax No. | |
| Email Address | |

| Contact Person Information | | |
|-----------------------------------|---|--|
| Name <i>(same as ID card)</i> | (English) _____ <i>(Surname) (Other Names)</i> | (Chinese) <i>(if any)</i> _____ <i>(Surname) (Other Name)</i> |
| Position held | | |
| Telephone No. | | |
| Fax No. | | |
| Email Address | | |

| Section II – FURTHER INFORMATION OF APPLICANT |
|---|
| <p>(a) Is your corporation a Type B regulatee of an industry regulator (by being an appointed long term insurance agency) but not a Type A regulatee of an industry regulator? Yes/No*</p> <p>(b) Have any of your corporation's qualifications as a Type B regulatee of any industry regulator, <u>currently or formerly</u> possessed by your corporation, been revoked on disciplinary ground as specified in s.34K(1) of the MPFSO within 1 year immediately before the date of signing this application? Yes/No*</p> <p>(c) Have any of your corporation's qualifications as a Type B regulatee, <u>currently</u> possessed by your corporation, ever been suspended as specified in s.34K(2) of the MPFSO? Yes/No*</p> <p>(d) Has your corporation's registration as MPF registered intermediary (if any) ever been revoked by the MPFA under s.34ZW(3)(a)(i) of the MPFSO within 1 year immediately before the date of signing this application? Yes/No*</p> <p>(e) Has your corporation ever been disqualified by the MPFA under s.34ZW(3)(a)(ii) of the MPFSO from being registered as an intermediary for carrying on regulated activities? Yes/No*</p> <p>*(please delete as appropriate)</p> |

| Section III – DECLARATION | | |
|--|--|--|
| <p>We, the above-named applicant, hereby</p> <ol style="list-style-type: none"> declare that to the best of our knowledge and belief all information given in this application (including this Form and all attachments) is correct and complete. ✦ agree to immediately notify the MPFA of any matter which has come to our attention and which may affect the validity of any information given in support of this application. agree to, before this application is approved, immediately notify the MPFA of any changes to, or affecting the completeness or accuracy of, the information provided in this application (including this Form and all attachments). declare that the board of directors / the partnership has passed a resolution approving this application. understand that s.34ZI(3) of the MPFSO makes it an offence for a person who, without reasonable excuse, fails to give the MPFA a notice in writing of the change, acquisition, cessation or suspension in relation to subsidiary intermediary referred to in s.34ZI(1) of the MPFSO within 7 working days after it occurs. | | |
| Name of Authorized Signatory <i>(same as HKID Card)</i> <i>(The Authorized Signatory must be a sole proprietor, partner or director of the applicant.)</i> | 1. | 2. |
| Capacity | Sole Proprietor / Partner / Director* Authorized by the Applicant <i>*(Please delete as appropriate)</i> | Sole Proprietor / Partner / Director* Authorized by the Applicant <i>*(Please delete as appropriate)</i> |
| Authorized Signature ¹ | 1. | 2. |
| Position held | | |
| Date of Signature ² | | |

✦ **Warning:** Section 43E(1) of the MPFSO makes it an offence punishable with a maximum of 1 year’s imprisonment and a fine of \$100,000 for the first occasion and 2 years’ imprisonment and a fine of \$200,000 on each subsequent occasion for a person who makes a statement that the person knows to be false or misleading in a material aspect, or recklessly makes a statement which is false or misleading in a material aspect.

¹ Please see *Explanatory Note 1* on the signing requirements.

² Please see *Explanatory Note 2*.

Section IV - CONSENT / AUTHORIZATION

We, _____ (name of the applicant for registration of as a subsidiary intermediary)

Business Registration No.: _____, hereby

1. **certify** that we have read the attached Personal Information Collection Statement (“PICS”) and **understand** our rights and obligations in relation to the personal data provided by us to the MPFA and **consent** to the manner in which the personal data may be used or dealt with as specified in the PICS;
2. **consent** to the MPFA using, disclosing or transferring information (including personal data where applicable) and materials provided or to be provided by us or relating to us which are obtained by the MPFA in the exercise or performance of its functions (whether obtained in application(s), notification(s), annual return(s), complaints handling, investigation, disciplinary proceedings, enforcement or otherwise) (“the Relevant Information”) in a manner similar to that for personal data mentioned in the PICS;
3. **consent** to the MPFA disclosing or transferring the Relevant Information to each and all of the Insurance Authority, the Hong Kong Monetary Authority, the Securities and Futures Commission and the self-regulatory organizations of the insurance industry (including the Insurance Agents Registration Board under the Hong Kong Federation of Insurers, The Hong Kong Confederation of Insurance Brokers, and the Professional Insurance Brokers Association) (“the 6 bodies”), even if we do not possess any qualification capacity under all of the 6 bodies, for the purposes of verifying information, performing functions of the MPFA or of other regulators, or for the purposes of this application and other applications relating to us, our ongoing registration as an MPF intermediary or any purpose incidental thereto;
4. **consent** to the MPFA disclosing or transferring the Relevant Information to any panel or committee established by the Chief Executive or the Financial Secretary for the purpose reviewing or advising on procedural or policy matters in relation to the performance or exercising of the MPFA’s functions;
5. **consent** to the 6 bodies disclosing or transferring to the MPFA the information (including but not limited to personal data where applicable) and materials provided or to be provided by us or relating to us, whether obtained by them in their respective regimes or not, for the purposes of verifying information, performing functions of the MPFA or of other regulators, or for the purposes of this application or other application relating to us, our ongoing registration as an MPF intermediary or any purpose incidental thereto; and **authorize** the MPFA to request such disclosure or release;
6. **consent** to our principal intermediary/intermediaries, to which we were/are/will be attached, disclosing or transferring to the MPFA, the Insurance Authority, the Hong Kong Monetary Authority and/or the Securities and Futures Commission personal data, other information and materials provided or to be provided by me or relating to me, for the purposes of verifying information, performing functions of the MPFA or of the other regulators, or for the purposes of this application or any other application made by me or relating to me, my ongoing registration as an MPF intermediary or any purpose incidental thereto;
7. **consent** to the MPFA and/or the 6 bodies comparing, verifying or carrying out matching procedure (as defined in the PDPO) on information (including but not limited to personal data where applicable) disclosed or transferred to them under (3), (5) or (6) above (as the case may be) with information (including personal data where applicable) held or to be held by them; and
8. **understand** that the results of the comparison verification or matching procedure mentioned above (including those mentioned in the PICS where applicable) may result in the MPFA rejecting application(s) relating to us and where applicable, suspension or revocation of our registration as an MPF intermediary, suspension or revocation of approval of our attachment to a principal intermediary, updating of the register of intermediaries for regulated activities, the MPFA exercising any power under the MPFSO and/or other regulators exercising any power under the MPFSO or their respective regimes, if the results show that we do not possess the relevant qualification capacity or that our qualification capacity has been terminated, suspended or revoked.

| | | |
|---|---|---|
| Name of Authorized Signatory (same as HKID Card) | 1. | 2. |
| Capacity | Sole Proprietor / Partner / Director* Authorized by the Applicant *(Please delete as appropriate) | Sole Proprietor / Partner / Director* Authorized by the Applicant *(Please delete as appropriate) |

| | | |
|-----------------------------------|----|----|
| Authorized Signature ³ | 1. | 2. |
| Position held | | |
| Date of Signature ⁴ | | |

³ Please see *Explanatory Note 1* on the signing requirements.

⁴ Please see *Explanatory Note 2*.

Section V – DECLARATION BY PRINCIPAL INTERMEDIARY / CORPORATION SEEKING TO BE A PRINCIPAL INTERMEDIARY, TO WHICH THE APPLICANT IS TO BE ATTACHED (For Approval of Attachment of a Subsidiary Intermediary to a Principal Intermediary)

1. We hereby apply for approval of attachment of [_____](name) (“Applicant”) to our corporation for the purpose of carrying on regulated activities.
2. We give our consent to the Applicant being an intermediary to carry regulated activities for our corporation.
3. We certify that the Applicant acts as an agent for our corporation.
4. We declare that the Applicant is a Type B regulatee of an industry regulator that is the frontline regulator of our corporation assigned by the MPFA.
5. We declare that to the best of our knowledge and belief the information given in this Form is correct and complete.✦
6. We agree to immediately notify the MPFA of any matter which has come to our attention and which may affect the validity of any information given in this Form.
7. We agree to, before this application for approval of attachment is approved, immediately notify the MPFA of any changes to, or affecting the completeness or accuracy of, the information provided in this application (including all attachments).

Principal Intermediary / Corporation Seeking to be a Principal Intermediary

| | |
|---|--|
| Name | |
| MPF Registration No.(if any)/Business Registration No. if there is no MPF Registration No. | |
| Name of Contact Person | |
| Telephone No. of Contact Person | |
| Name of Authorized Signatory <i>(Responsible Officer of / Person Authorized by the Principal Intermediary OR Person Authorized by the Corporation Seeking to be a Principal Intermediary*)</i> <i>(same as HKID Card)</i> <i>*(Please delete as appropriate)</i> | |
| Position held | |
| Authorized Signature ⁵ | |
| Date of Signature ⁶ | |

✦ **Warning:** Section 43E(1) of the MPFSO makes it an offence punishable with a maximum of 1 year’s imprisonment and a fine of \$100,000 for the first occasion and 2 years’ imprisonment and a fine of \$200,000 on each subsequent occasion for a person who makes a statement that the person knows to be false or misleading in a material aspect, or recklessly makes a statement which is false or misleading in a material aspect.

⁵ Please see *Explanatory Note 1* on the signing requirements

⁶ Please see *Explanatory Note 2*.

| For Official Use Only | | | | | |
|------------------------------|--|------------------|-----------------------|-------------------|--|
| Application No. | | | MPF Registration No. | | |
| Receipt Date | | | MPF Registration Date | | |
| Input Officer | | Checking Officer | | Approving Officer | |

MANDATORY PROVIDENT FUND SCHEMES AUTHORITY**Application for Registration as a Subsidiary Intermediary
(by an Appointed Long Term Insurance Agency) and
Approval of Attachment of a Subsidiary Intermediary to a Principal Intermediary****Notes on Completion of this Form**

1. Please read the *Handbook on MPF Intermediary Registration* (available at the Mandatory Provident Fund Schemes Authority website - www.mpfa.org.hk) and the *Personal Information Collection Statement* below before completing this Form.
2. All boxes must be completed. If it is not applicable, please write "N/A".
3. A copy of the relevant business registration certificate must accompany this Form. In the case of a limited company, a copy of the certificate of incorporation or the certificate of registration if an overseas company must accompany this Form.
4. Please note that applications by using this form will not be approved if any of the statutory requirements is not satisfied. Such requirements include but are not limited to the requirement that you are a Type B regulatee of an industry regulator (being an appointed long term insurance agency) but not a Type A regulatee of any industry regulator at the time of submitting the application.
5. Please initial any amendments made in this Form.
6. Please note that the MPFA may require further information and/or documentary evidence in support of the application, when necessary.
7. Please also note that some of the information provided in the application form may appear in a public register of intermediaries for regulated activities.

Explanatory Notes1. Signing Requirements

This application form must be signed by:

- (a) a sole-proprietor if the applicant is in form of a sole-proprietorship;
 - (b) two partners if the applicant is in form of a partnership;
 - (c) a director of the applicant if the applicant is in form of a limited company with a sole director; and
 - (d) two directors authorized by the board of directors of the applicant if the applicant is in form of a limited company with two or more directors.
2. If there is any delay in submitting this application to the MPFA after signing, supplemental information or confirmation in writing may be required from the applicant and where applicable, the relevant parties, and that may delay the application.

Personal Information Collection Statement

This Personal Information Collection Statement (“PICS”) is made in accordance with the Personal Data (Privacy) Ordinance (“PDPO”). You are advised to read the following regarding your rights and obligations in relation to your personal data (as defined in the PDPO) and the manner in which the MPFA may use or deal with such data for the purposes specified below.

Purpose of Collection and Use

1. The personal data provided in support of an application for the registration as an MPF intermediary and/or an application for approval of attachment of a subsidiary intermediary to a principal intermediary and/or an application for approval of an individual as a responsible officer and/or annual return and/or notification of change of information and/or notification of withdrawal of consent and/or any other form of application or request and/or pursuant to the MPFA’s request for information (as the case may be) will be used by the MPFA for one or more of the following purposes:
 - (a) exercising or performing its functions under the Mandatory Provident Fund Schemes Ordinance (“MPFSO”) including but not limited to ensuring compliance with the MPFSO, regulating sales and marketing activities and the giving of advice in relation to registered schemes, registration of MPF intermediaries, granting approval of responsible officers and related matters, inspection, investigation, and taking disciplinary or enforcement action;
 - (b) processing any application made by you under the MPFSO;
 - (c) considering any application made under the MPFSO where you are named as the principal intermediary or subsidiary intermediary or responsible officer (as the case may be);
 - (d) enabling or assisting other regulators to perform their functions under the MPFSO or their respective regimes including, without limitation, monitoring, surveillance, inspection or investigation;
 - (e) establishing and keeping a public register of MPF intermediaries for regulated activities;
 - (f) for research and statistical purposes; and
 - (g) other purposes as permitted by law.
2. Failure to supply the requested personal data may result in delay or refusal of your application and in some circumstances, hindering the MPFA and/or other regulators from performing their functions.

Transfer / Matching of Personal Data

3. The MPFA may disclose or transfer the personal data to other persons including the bodies listed below for one or more of the aforesaid purposes, or in accordance with an order of a court or in accordance with a law or a requirement made under a law, or pursuant to any regulatory or investigatory assistance arrangements between the MPFA and other regulators or law enforcement agents:
 - (a) the Hong Kong Monetary Authority;
 - (b) the Insurance Authority and the self-regulatory organizations of the insurance industry (including the Insurance Agents Registration Board under the Hong Kong Federation of Insurers, The Hong Kong Confederation of Insurance Brokers, and the Professional Insurance Brokers Association);
 - (c) the Securities and Futures Commission;
 - (d) examination bodies for conducting qualifying examinations;
 - (e) principal intermediary/intermediaries to which you as a subsidiary intermediary were/are/will be attached;
 - (f) the Chief Executive;
 - (g) the Financial Secretary;
 - (h) the Commissioner of Inland Revenue;
 - (i) the Official Receiver appointed under the Bankruptcy Ordinance;

- (j) liquidator appointed under the pre-amended Ordinance (as defined in the Companies (Winding Up and Miscellaneous Provisions) Ordinance (Cap.32)) or the Companies (Winding Up and Miscellaneous Provisions) Ordinance (Cap.32);
 - (k) the Registrar of Occupational Retirement Schemes;
 - (l) the Financial Reporting Council established under the Financial Reporting Council Ordinance;
 - (m) the Hong Kong Police Force;
 - (n) any relevant courts, panels, tribunals and committees; and
 - (o) other law enforcement agents or government / regulatory bodies.
4. Personal data may be used by the MPFA or disclosed or transferred by the MPFA to the bodies listed in paragraph 3(a), (b) and (c) for the purposes of comparing or verifying those data with other data or carrying out matching procedure (as defined in the PDPO) on those data.

Public Register

5. The MPFA is required to establish and keep a register of MPF intermediaries for regulated activities containing specified data (including personal data) pursuant to the relevant provisions of the MPFSO or any rules or regulations made thereunder. The MPFA is required by law to make the register available to the public through the Internet. For the purpose of enabling a member of the public to ascertain whether he/she is dealing with a regulated person (including MPF intermediary) in matters of or connected with any regulated activity or the approval of an individual as a responsible officer of a principal intermediary, a member of the public may inspect the register or may inspect a reproduction of any information recorded in the register in a legible form (as the case may be), free of charge. A member of the public may also on payment of a prescribed fee obtain a copy or a certified true copy of an entry in or extract of the register.

Access to Personal Data

6. You are entitled under the PDPO to ascertain whether the MPFA holds personal data relating to you, and to request access to or to request the correction of any personal data relating to you held by the MPFA, in the manner and subject to the limitations prescribed therein. All enquiries should be directed to the Personal Data Privacy Officer of the MPFA at Level 16, International Commerce Centre, 1 Austin Road West, Kowloon, Hong Kong.

MANDATORY PROVIDENT FUND SCHEMES AUTHORITY (MPFA)

Form INT-4
RO-Application

Application for Approval of an Individual as a Responsible Officer

(under section 34W(1) of the Mandatory Provident Fund Schemes Ordinance, Cap.485 ("MPFSO"))

Name of Principal Intermediary / Corporation Seeking to be a Principal Intermediary*:

**(Please delete as appropriate)*

MPF Registration No. (if any) / Business Registration No. if there is no MPF Registration No.:

| Section I – PARTICULARS OF INDIVIDUAL TO ACT AS RESPONSIBLE OFFICER | |
|---|---|
| Name in English <i>(same as HKID Card)</i> | _____ <i>(Surname)</i> _____ <i>(other names)</i> |
| Name in Chinese <i>(if any)</i> <i>(same as HKID Card)</i> | _____ <i>(Surname)</i> _____ <i>(other names)</i> |
| HKID Card No. | _____ () |
| Office Address (English) <i>(if different from the Address of Principal Place of Business of the Principal Intermediary)</i> | _____ <i>(Flat/Room)</i> _____ <i>(Floor)</i> _____ <i>(Block)</i> _____ <i>(Name of Building)</i> _____ <i>(Number & Name of Street)</i> _____ <i>(District)</i> <i>HK / KLN / NT *<i>(Please delete as appropriate)</i></i> |
| Office Address (Chinese) <i>(if different from the Address of Principal Place of Business of the Principal Intermediary)</i> | _____ <i>(Flat/Room)</i> _____ <i>(Floor)</i> _____ <i>(Block)</i> _____ <i>(Name of Building)</i> _____ <i>(Number & Name of Street)</i> _____ <i>(District)</i> <i>HK / KLN / NT *<i>(Please delete as appropriate)</i></i> |
| MPF Registration No. (if any) | |
| Position held | |

Is the individual applying to act as your “Responsible Officer” already registered as a Subsidiary Intermediary?

- No, please go to Section II and arrange for the individual and your corporation to complete Form INT-2 “SI Application-Individual” for registration and approval of attachment
- Yes

Is the individual currently attached to your corporation?

- Yes, please go to Section II
- No, please go to Section II and arrange for your corporation to complete Form INT – 5 “Change Attachment” for approval of attachment of the individual to your corporation

Please note that the individual attached to your corporation does not include an individual whose registration as a subsidiary intermediary is suspended under Part IVA of the MPFSO or the approval of whose attachment to your corporation is suspended under the same Part.

Does the individual also act as a responsible officer/executive officer/chief executive in other regulatory regimes (Securities and Futures Commission, Hong Kong Monetary Authority, Insurance Authority, Insurance Agents Registration Board under the Hong Kong Federation of Insurers, The Hong Kong Confederation of Insurance Brokers, and the Professional Insurance Brokers Association)?

- No
- Yes, please specify: _____

Section II – JOB RESPONSIBILITIES OF INDIVIDUAL TO ACT AS RESPONSIBLE OFFICER IN THE PRINCIPAL INTERMEDIARY / CORPORATION SEEKING TO BE A PRINCIPAL INTERMEDIARY, AND INDIVIDUAL’S POSITION IN THE CORPORATION STRUCTURE

Please state the job responsibilities (please attach a separate sheet if there is insufficient space):

***Please provide an organization chart showing the position of the individual in the corporation structure.**

Section III – RESOURCES AND SUPPORT TO BE PROVIDED TO THE INDIVIDUAL BY THE PRINCIPAL INTERMEDIARY / CORPORATION SEEKING TO BE A PRINCIPAL INTERMEDIARY

Please describe what resources and support your corporation will provide to the individual who will act as a responsible officer of your corporation (please attach a separate sheet if there is insufficient space):

Section IV – DECLARATION BY PRINCIPAL INTERMEDIARY / CORPORATION SEEKING TO BE A PRINCIPAL INTERMEDIARY

1. We apply for approval of the above-named individual to act as an officer with specified responsibilities (as specified in s.34I(3) of the MPFSO in relation to our corporation as the Principal Intermediary and confirm that he/she has sufficient authority within our corporation to carry out the specified responsibilities. We also undertake to provide him/her with sufficient resources and support to carry out the specified responsibilities in relation to our corporation.
2. To the best of our knowledge, information and belief, we confirm that, within 1 year immediately before the date of signing this application, the individual has not had an approval as a responsible officer revoked under s.34ZW(4)(a)(i) of the MPFSO by the MPFA.
3. To the best of our knowledge, information and belief, we also confirm that the individual is not disqualified under s.34ZW(4)(a)(ii) of the MPFSO by the MPFA from being approved as an officer with specified responsibilities in relation to a principal intermediary. We declare that to the best of our knowledge and belief all information given in this application (including this Form and all attachments) is correct and complete. ✦
4. We agree to immediately notify the MPFA of any matter which has come to our attention and which may affect the validity of any information given in support of this application.
5. We agree to, before this application is approved, immediately notify the MPFA of any changes to, or affecting the completeness or accuracy of, the information provided in this application.
6. We declare that the board of directors / the partnership has passed a resolution approving this application.

Principal Intermediary / Corporation Seeking to be a Principal Intermediary

| | |
|--|--|
| Name | |
| MPF Registration No.(if any) / Business Registration No. if there is no MPF Registration No. | |
| Name of Contact Person | |
| Telephone No. of Contact Person | |
| Name of Authorized Signatory <i>(same as HKID Card)</i> <i>(The authorized signatory must be a sole proprietor, partner or director, depending on the company form of the principal intermediary or the corporation seeking to be a principal intermediary.)</i> | |
| Capacity | Sole Proprietor / Partner / Director * <i>*(Please delete as appropriate)</i> |
| Authorized Signature | |
| Date of Signature ¹ | |

✦ **Warning:** Section 43E(1) of the MPFSO makes it an offence punishable with a maximum of 1 year's imprisonment and a fine of \$100,000 for the first occasion and 2 years' imprisonment and a fine of \$200,000 on each subsequent occasion for a person who makes a statement that the person knows to be false or misleading in a material aspect, or recklessly makes a statement which is false or misleading in a material aspect.

¹ Please see *Explanatory Notes*.

Section V –DECLARATION OF INDIVIDUAL TO ACT AS RESPONSIBLE OFFICER

I, _____ (name of the individual to act as a Responsible Officer of the applicant), hereby:

1. **certify** that I have read the attached Personal Information Collection Statement (“PICS”) and **understand** my rights and obligations in relation to my personal data and **consent** to the manner in which the personal data may be used or dealt with as specified in the PICS;
2. **consent** to the application made herein by the Principal Intermediary / Corporation Seeking to be a Principal Intermediary (“the applicant”) for approving myself as, and I agree to so act as, an officer with specified responsibilities in relation to it;
3. **declare** that all information relating to me and given in the applicant’s application (including this Form and all supplements and attachments) is correct and complete; ✦
4. **undertake** to immediately notify the MPFA of any matter which has come to my attention and which may affect the validity of any information given in support of the applicant’s application;
5. **undertake** to, before this application is approved, immediately notify the MPFA of any changes to, or affecting the completeness or accuracy of, the information provided in the applicant’s application (including this Form and all attachments); and
6. **undertake** to, after this application is approved, notify the MPFA of any changes to, or affecting the completeness or accuracy of, the information provided in this Form within 7 working days of the change.

| | |
|--|--|
| Name of Individual (same as HKID Card) | |
| Signature of Individual | |
| Date of Signature ² | |

✦ **Warning:** Section 43E(1) of the MPFSO makes it an offence punishable with a maximum of 1 year’s imprisonment and a fine of \$100,000 for the first occasion and 2 years’ imprisonment and a fine of \$200,000 on each subsequent occasion for a person who makes a statement that the person knows to be false or misleading in a material aspect, or recklessly makes a statement which is false or misleading in a material aspect.

| For Official Use Only | | | | | |
|------------------------------|--|----------------------|--|-------------------|--|
| Application No. | | MPF Registration No. | | | |
| Receipt Date | | Date of Approval | | | |
| Input Officer | | Checking Officer | | Approving Officer | |

² Please see *Explanatory Notes*.

MANDATORY PROVIDENT FUND SCHEMES AUTHORITY**Application for Approval of an Individual as a Responsible Officer****Notes on Completion of this Form**

1. This Form should be completed by a principal intermediary who would like to apply for approval of an individual as a responsible officer. The relevant individual should also complete section V of this Form. Please read the *Handbook on MPF Intermediary Registration* (available at the MPFA website - www.mpfa.org.hk) and the *Personal Information Collection Statement* below before completing this Form.
2. All boxes must be completed. If it is not applicable, please write "N/A".
3. Please initial any amendments made in this Form.
4. Please note that, when necessary, the MPFA may require further information and/or documentary evidence in support of the application.
5. Please also note that some of the information provided in the application form may appear in a public register of intermediaries for regulated activities.

Explanatory Notes

1. If there is any delay in submitting this application to the MPFA after signing, supplemental information or confirmation in writing may be required from the applicant and where applicable, the relevant parties, and that may delay the application.

Personal Information Collection Statement

This Personal Information Collection Statement (“PICS”) is made in accordance with the Personal Data (Privacy) Ordinance (“PDPO”). You are advised to read the following regarding your rights and obligations in relation to your personal data (as defined in the PDPO) and the manner in which the MPFA may use or deal with such data for the purposes specified below.

Purpose of Collection and Use

1. The personal data provided in support of an application for the registration as an MPF intermediary and/or an application for approval of attachment of a subsidiary intermediary to a principal intermediary and/or an application for approval of an individual as a responsible officer and/or annual return and/or notification of change of information and/or notification of withdrawal of consent and/or any other form of application or request and/or pursuant to the MPFA’s request for information (as the case may be) will be used by the MPFA for one or more of the following purposes:
 - (a) exercising or performing its functions under the Mandatory Provident Fund Schemes Ordinance (“MPFSO”) including but not limited to ensuring compliance with the MPFSO, regulating sales and marketing activities and the giving of advice in relation to registered schemes, registration of MPF intermediaries, granting approval of responsible officers and related matters, inspection, investigation, and taking disciplinary or enforcement action;
 - (b) processing any application made by you under the MPFSO;
 - (c) considering any application made under the MPFSO where you are named as the principal intermediary or subsidiary intermediary or responsible officer (as the case may be);
 - (d) enabling or assisting other regulators to perform their functions under the MPFSO or their respective regimes including, without limitation, monitoring, surveillance, inspection or investigation;
 - (e) establishing and keeping a public register of MPF intermediaries for regulated activities;
 - (f) for research and statistical purposes; and
 - (g) other purposes as permitted by law.
2. Failure to supply the requested personal data may result in delay or refusal of your application and in some circumstances, hindering the MPFA and/or other regulators from performing their functions.

Transfer / Matching of Personal Data

3. The MPFA may disclose or transfer the personal data to other persons including the bodies listed below for one or more of the aforesaid purposes, or in accordance with an order of a court or in accordance with a law or a requirement made under a law, or pursuant to any regulatory or investigatory assistance arrangements between the MPFA and other regulators or law enforcement agents:
 - (a) the Hong Kong Monetary Authority;
 - (b) the Insurance Authority and the self-regulatory organizations of the insurance industry (including the Insurance Agents Registration Board under the Hong Kong Federation of Insurers, The Hong Kong Confederation of Insurance Brokers, and the Professional Insurance Brokers Association);
 - (c) the Securities and Futures Commission;
 - (d) examination bodies for conducting qualifying examinations;
 - (e) principal intermediary/intermediaries to which you as a subsidiary intermediary were/are/will be attached;
 - (f) the Chief Executive;
 - (g) the Financial Secretary;
 - (h) the Commissioner of Inland Revenue;
 - (i) the Official Receiver appointed under the Bankruptcy Ordinance;

- (j) liquidator appointed under the pre-amended Ordinance (as defined in the Companies (Winding Up and Miscellaneous Provisions) Ordinance (Cap.32)) or the Companies (Winding Up and Miscellaneous Provisions) Ordinance (Cap.32);
 - (k) the Registrar of Occupational Retirement Schemes;
 - (l) the Financial Reporting Council established under the Financial Reporting Council Ordinance;
 - (m) the Hong Kong Police Force;
 - (n) any relevant courts, panels, tribunals and committees; and
 - (o) other law enforcement agents or government / regulatory bodies.
4. Personal data may be used by the MPFA or disclosed or transferred by the MPFA to the bodies listed in paragraph 3(a), (b) and (c) for the purposes of comparing or verifying those data with other data or carrying out matching procedure (as defined in the PDPO) on those data.

Public Register

5. The MPFA is required to establish and keep a register of MPF intermediaries for regulated activities containing specified data (including personal data) pursuant to the relevant provisions of the MPFSO or any rules or regulations made thereunder. The MPFA is required by law to make the register available to the public through the Internet. For the purpose of enabling a member of the public to ascertain whether he/she is dealing with a regulated person (including MPF intermediary) in matters of or connected with any regulated activity or the approval of an individual as a responsible officer of a principal intermediary, a member of the public may inspect the register or may inspect a reproduction of any information recorded in the register in a legible form (as the case may be), free of charge. A member of the public may also on payment of a prescribed fee obtain a copy or a certified true copy of an entry in or extract of the register.

Access to Personal Data

6. You are entitled under the PDPO to ascertain whether the MPFA holds personal data relating to you, and to request access to or to request the correction of any personal data relating to you held by the MPFA, in the manner and subject to the limitations prescribed therein. All enquiries should be directed to the Personal Data Privacy Officer of the MPFA at Level 16, International Commerce Centre, 1 Austin Road West, Kowloon, Hong Kong.

MANDATORY PROVIDENT FUND SCHEMES AUTHORITY (MPFA)
**Notification of Principal Intermediary's Withdrawal of Consent to a Subsidiary Intermediary /
Application for Approval of Attachment of a Subsidiary Intermediary to a Principal
Intermediary (Form to be completed by Principal Intermediary/Corporation seeking to be a
Principal Intermediary)**

(under section 34ZG(2)/section 34V(1) of the Mandatory Provident Fund Schemes Ordinance, Cap.485 ("MPFSO"))

Name of Principal Intermediary / Corporation Seeking to be a Principal Intermediary*:

*(Please delete as appropriate)

MPF Registration No. (if any) / Business Registration No. if there is no MPF Registration No.:

Section I – SUBSIDIARY INTERMEDIARIES (INDIVIDUALS) WHO CEASE TO BE ATTACHED TO THE PRINCIPAL INTERMEDIARY

(If there is insufficient space, please continue on a separate sheet.)

| No. | Name (same as HKID Card for individuals) (in alphabetical order) | | MPF Registration No. | Effective Date for Withdrawal of Consent by the Principal Intermediary, for the attachment of its subsidiary intermediaries (The Effective Date must not be earlier than the Date on which this notice is given to the MPFA ("Notification Date") ¹ . If the Effective Date stated is earlier than the Notification Date to the MPFA, then the Notification Date will be treated as the Effective Date.) | Responsible Officer (Yes /No) (If yes, please also complete Section III of "Form INT-6 PI-Change Particulars") |
|---|--|-------------|-------------------------|--|--|
| | Surname | Other Names | | | |
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| | | | | | |
| Total number of subsidiary intermediaries who cease to be attached | | | | | |

¹ Please refer to *Explanatory Note 1*.

Section II – SUBSIDIARY INTERMEDIARIES (APPOINTED LONG TERM INSURANCE AGENCIES) WHO CEASE TO BE ATTACHED TO THE PRINCIPAL INTERMEDIARY

(If there is insufficient space, please continue on a separate sheet.)

| No. | Name <i>(in alphabetical order)</i> | MPF Registration No. | Effective Date for Withdrawal of Consent by the Principal Intermediary, for the attachment of its subsidiary intermediaries <i>(The Effective Date must not be earlier than the Date on which this notice is given to the MPFA (“Notification Date”)². If the Effective Date stated is earlier than the Notification Date to the MPFA, then the Notification Date will be treated as the Effective Date.)</i> |
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| | | | |
| | | | |
| Total number of subsidiary intermediaries which cease to be attached | | | |

² Please refer to *Explanatory Note 1*.

Section III – SUBSIDIARY INTERMEDIARIES (INDIVIDUALS) TO BE ATTACHED TO THE PRINCIPAL INTERMEDIARY³

(If there is insufficient space, please continue on a separate sheet)

| No. | Name (same as HKID Card) (in alphabetical order) | | MPF Registration No. | Qualification(s) as a Type B Regulatee ⁴ | To act as Responsible Officer (Yes/No) (If yes, "Form INT-4 RO-Application" should also be completed to apply for approval of the subsidiary intermediary as a responsible officer.) |
|---|---|-------------|----------------------|---|--|
| | Surname | Other Names | | | |
| | | | | | |
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| Total number of subsidiary intermediaries to be attached | | | | | |

Section IV – SUBSIDIARY INTERMEDIARIES (APPOINTED LONG TERM INSURANCE AGENCIES) TO BE ATTACHED TO THE PRINCIPAL INTERMEDIARY⁵

(If there is insufficient space, please continue on a separate sheet)

| No. | Name (in alphabetical order) | MPF Registration No. | Qualification(s) as a Type B Regulatee ⁶ |
|---|---------------------------------|----------------------|---|
| | | | |
| | | | |
| | | | |
| | | | |
| Total number of subsidiary intermediaries to be attached | | | |

³ Including those subsidiary intermediaries to be newly attached within 90 days of the cessation of their last attachment or to be attached to an additional principal intermediary.

⁴ Please refer to *Explanatory Note 2*.

⁵ Including those subsidiary intermediaries to be newly attached within 90 days of the cessation of their last attachment or to be attached to an additional principal intermediary.

⁶ Please refer to *Explanatory Note 2*.

Section V – DECLARATION BY PRINCIPAL INTERMEDIARY / CORPORATION SEEKING TO BE PRINCIPAL INTERMEDIARY

1. **For the cessation of the attachment of subsidiary intermediaries:**
We, the abovenamed Principal Intermediary, hereby **give notice** of our withdrawal of consent to the subsidiary intermediaries listed in Section I/II being intermediaries carrying on regulated activities for our corporation.
2. **For subsidiary intermediaries to be attached to the principal intermediary:**
 - (a) We, the abovenamed Principal Intermediary / Corporation Seeking to be a Principal Intermediary* (*delete as appropriate*), hereby **apply** for approval of attachment of the subsidiary intermediaries listed in Section III/IV to our corporation for carrying on regulated activities.
 - (b) We **give our consent** to the subsidiary intermediaries listed in Section III/IV being intermediaries to carry on regulated activities for our corporation.
 - (c) We **certify** that these subsidiary intermediaries to be attached to our corporation are employed by, or act as agents or representatives for our corporation.
 - (d) We **declare** that these subsidiary intermediaries are Type B regulatees of an industry regulator that is the frontline regulator of our corporation.
 - (e) We **agree to**, before this application for approval of attachment is approved, immediately notify the MPFA of any changes to, or affecting the completeness or accuracy of, the information provided in support of this application for approval of attachment.
3. We **certify** that we have read the attached Personal Information Collection Statement (“PICS”) and understand our rights and obligations in relation to the personal data provided by us to the MPFA and consent to the manner in which the personal data may be used or dealt with as specified in the PICS.
4. We **declare** that to the best of our knowledge and belief the information given in this Form (including attachments) is correct and complete. †
5. We **agree** to immediately notify the MPFA of any matter which has come to our attention and which may affect the validity of any information given in this Form.

| | |
|---|--|
| Name of Authorized Signatory (Responsible Officer of/Person Authorized by, the Principal Intermediary, OR Person Authorized by the Corporation Seeking to be a Principal Intermediary*) <i>(same as HKID Card)</i> <i>*(Please delete as appropriate)</i> | |
| Position held | |
| Authorized Signature | |
| Date of Signature | |

† **Warning:** Section 43E(1) of the MPFSO makes it an offence punishable with a maximum of 1 year’s imprisonment and a fine of \$100,000 for the first occasion and 2 years’ imprisonment and a fine of \$200,000 on each subsequent occasion for a person who makes a statement that the person knows to be false or misleading in a material aspect, or recklessly makes a statement which is false or misleading in a material aspect.

| For Official Use Only | | | | |
|------------------------------|--|------------------|-------------------|--|
| Application No. | | | | |
| Receipt Date | | Date of Updating | | |
| Input Officer | | Checking Officer | Approving Officer | |

MANDATORY PROVIDENT FUND SCHEMES AUTHORITY

Notification of Principal Intermediary's Withdrawal of Consent to a Subsidiary Intermediary / Application for Approval of Attachment of a Subsidiary Intermediary to a Principal Intermediary (Form to be completed by Principal Intermediary / Corporation seeking to be a Principal Intermediary)

Notes on Completion of this Form

1. This Form is to be completed by a principal intermediary to notify the MPFA of withdrawal of its consent to a Subsidiary Intermediary for carrying on regulated activities for the Principal Intermediary / for applying for approval of attachment of a Subsidiary Intermediary to the Principal Intermediary for the purpose of carrying on regulated activities.
2. Please read the *Handbook on MPF Intermediary Registration* (available at the Mandatory Provident Fund Schemes Authority website - www.mpfa.org.hk) and the *Personal Information Collection Statement* below before completing this Form.
3. Please initial any amendments made in this Form.
4. Please note that the MPFA may require further information and/or documentary evidence in support of the withdrawal of consent to a Subsidiary Intermediary and/or the application for approval of attachment of a Subsidiary Intermediary.
5. Please also note that some of the information provided in the notification / application may appear in a public register of intermediaries for regulated activities.

Explanatory Notes

1. (a) For a notification of withdrawal of consent given under this form, the notification date is, in general, the date on which the MPFA **receives** this form.

(b) For an application for approval of attachment made under this form, if there is any delay in submitting the application to the MPFA after signing, supplemental information or confirmation in writing may be required from the applicant and where applicable, the relevant parties, and that may delay the application.
2. Sections III and IV must be completed by using the following code(s):

| Regime | Code |
|--|------|
| Securities and Futures Commission Regime | |
| Licensed Representative (Type 1 and/or Type 4) | RA |
| Hong Kong Monetary Authority Regime | |
| Relevant Individual (including Executive Officer) (Type 1 and/or Type 4) | REI |
| Insurance Authority Regime | |
| Appointed Long Term Individual Agent | AP |
| Appointed Long Term Insurance Agency | AC |
| Registered Responsible Officer/Technical Representative of Appointed Long Term Insurance agent | AE |
| Registered Chief Executive/Technical Representative of Member (eligible to engage in long term business) of The Hong Kong Confederation of Insurance Brokers Association | HE |
| Registered Chief Executive/Technical Representative of Member (eligible to engage in long term business) of Professional Insurance Brokers Association | PE |
| Registered Chief Executive/Technical Representative of Insurance Broker (eligible to engage in long term business) Directly Authorized by Insurance Authority | ZE |

Personal Information Collection Statement

This Personal Information Collection Statement (“PICS”) is made in accordance with the Personal Data (Privacy) Ordinance (“PDPO”). You are advised to read the following regarding your rights and obligations in relation to your personal data (as defined in the PDPO) and the manner in which the MPFA may use or deal with such data for the purposes specified below.

Purpose of Collection and Use

1. The personal data provided in support of an application for the registration as an MPF intermediary and/or an application for approval of attachment of a subsidiary intermediary to a principal intermediary and/or an application for approval of an individual as a responsible officer and/or annual return and/or notification of change of information and/or notification of withdrawal of consent and/or any other form of application or request and/or pursuant to the MPFA’s request for information (as the case may be) will be used by the MPFA for one or more of the following purposes:
 - (a) exercising or performing its functions under the Mandatory Provident Fund Schemes Ordinance (“MPFSO”) including but not limited to ensuring compliance with the MPFSO, regulating sales and marketing activities and the giving of advice in relation to registered schemes, registration of MPF intermediaries, granting approval of responsible officers and related matters, inspection, investigation, and taking disciplinary or enforcement action;
 - (b) processing any application made by you under the MPFSO;
 - (c) considering any application made under the MPFSO where you are named as the principal intermediary or subsidiary intermediary or responsible officer (as the case may be);
 - (d) enabling or assisting other regulators to perform their functions under the MPFSO or their respective regimes including, without limitation, monitoring, surveillance, inspection or investigation;
 - (e) establishing and keeping a public register of MPF intermediaries for regulated activities;
 - (f) for research and statistical purposes; and
 - (g) other purposes as permitted by law.
2. Failure to supply the requested personal data may result in delay or refusal of your application and in some circumstances, hindering the MPFA and/or other regulators from performing their functions.

Transfer / Matching of Personal Data

3. The MPFA may disclose or transfer the personal data to other persons including the bodies listed below for one or more of the aforesaid purposes, or in accordance with an order of a court or in accordance with a law or a requirement made under a law, or pursuant to any regulatory or investigatory assistance arrangements between the MPFA and other regulators or law enforcement agents:
 - (a) the Hong Kong Monetary Authority;
 - (b) the Insurance Authority and the self-regulatory organizations of the insurance industry (including the Insurance Agents Registration Board under the Hong Kong Federation of Insurers, The Hong Kong Confederation of Insurance Brokers, and the Professional Insurance Brokers Association);
 - (c) the Securities and Futures Commission;
 - (d) examination bodies for conducting qualifying examinations;
 - (e) principal intermediary/intermediaries to which you as a subsidiary intermediary were/are/will be attached;
 - (f) the Chief Executive;
 - (g) the Financial Secretary;
 - (h) the Commissioner of Inland Revenue;

- (i) the Official Receiver appointed under the Bankruptcy Ordinance;
 - (j) liquidator appointed under the pre-amended Ordinance (as defined in the Companies (Winding Up and Miscellaneous Provisions) Ordinance (Cap.32)) or the Companies (Winding Up and Miscellaneous Provisions) Ordinance (Cap.32);
 - (k) the Registrar of Occupational Retirement Schemes;
 - (l) the Financial Reporting Council established under the Financial Reporting Council Ordinance;
 - (m) the Hong Kong Police Force;
 - (n) any relevant courts, panels, tribunals and committees; and
 - (o) other law enforcement agents or government / regulatory bodies.
4. Personal data may be used by the MPFA or disclosed or transferred by the MPFA to the bodies listed in paragraph 3(a), (b) and (c) for the purposes of comparing or verifying those data with other data or carrying out matching procedure (as defined in the PDPO) on those data.

Public Register

5. The MPFA is required to establish and keep a register of MPF intermediaries for regulated activities containing specified data (including personal data) pursuant to the relevant provisions of the MPFSO or any rules or regulations made thereunder. The MPFA is required by law to make the register available to the public through the Internet. For the purpose of enabling a member of the public to ascertain whether he/she is dealing with a regulated person (including MPF intermediary) in matters of or connected with any regulated activity or the approval of an individual as a responsible officer of a principal intermediary, a member of the public may inspect the register or may inspect a reproduction of any information recorded in the register in a legible form (as the case may be), free of charge. A member of the public may also on payment of a prescribed fee obtain a copy or a certified true copy of an entry in or extract of the register.

Access to Personal Data

6. You are entitled under the PDPO to ascertain whether the MPFA holds personal data relating to you, and to request access to or to request the correction of any personal data relating to you held by the MPFA, in the manner and subject to the limitations prescribed therein. All enquiries should be directed to the Personal Data Privacy Officer of the MPFA at Level 16, International Commerce Centre, 1 Austin Road West, Kowloon, Hong Kong.