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# MANDATORY PROVIDENT FUND SCHEMES AUTHORITY

## Handbook on MPF Intermediary Registration

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## **I INTRODUCTION AND INTERPRETATION**

### **Introduction**

- I.1 With the enactment of the Mandatory Provident Fund Schemes (Amendment) Ordinance 2012 (Amendment Ordinance 2012), the existing administrative arrangements for the regulation of MPF intermediaries' sales and marketing activities will be replaced by a new statutory regulatory regime on 1 November 2012. As such, the "Guide to Registration as MPF Intermediaries" document issued in October 2008 will no longer apply after 31 October 2012.
- I.2 The "Guidelines VI.1 - Guidelines for MPF Intermediary Registration and Notification of Changes" (Guidelines VI.1) issued by the MPFA takes effect as from 1 November 2012. The Guidelines VI.I set out various specified forms for use in registration and the specified qualifying examination(s) required to be passed (if applicable). The Guidelines VI.I also provide guidance on the submission of these forms and the notification of change in address and contact details of MPF intermediaries.
- I.3 In addition, the "Handbook on MPF Intermediary Registration" (Handbook) is issued to outline certain main provisions of the Mandatory Provident Fund Schemes Ordinance (Cap 485) (MPFSO), as amended by the Amendment Ordinance 2012, relating to registration matters, for example, the basic approval criteria (see Part V) and application procedures for a person who wishes to carry out regulated activities (see Part VI). It also provides information on other registration related matters such as the MPF intermediaries' duty to give notification of changes in circumstances (see Part VIII). It aims at assisting the existing and potential MPF intermediaries to understand the relevant legal requirements and providing an overview of the relevant procedures involved.
- I.4 The Handbook does not have the force of law and should not be interpreted in a way that would override the provision of any law.
- I.5 The Handbook is complementary to, and does not replace, any legislative provisions applicable to, or codes or guidelines issued by the Authority or the industry regulators in respect of, regulated persons.
- I.6 The Handbook provides certain general information on registration and other related matters under the MPFSO only. Please obtain your own legal and/or professional



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advice if you have any doubts on these matters.

### **Interpretation**

- I.7 Where a term in the Handbook is used or defined in the MPFSO or the Mandatory Provident Fund Schemes (General) Regulation (Cap 485A)(MPFSGR), except where specified in the Handbook, that term carries the same meaning as used or defined in the MPFSO or MPFSGR. Relevant references are given for those terms that are used or defined in the MPFSO or MPFSGR.
- (a) “frontline regulator” – section 34E of the MPFSO
  - (b) “industry regulator” – section 34E of the MPFSO
  - (c) “registered intermediary” – section 2 of the MPFSO
  - (d) “regulated activity” – section 34F of the MPFSO
  - (e) “regulated advice” – section 34F of the MPFSO
  - (f) “regulated person” – section 2 of the MPFSO
- I.8 A reference in the Handbook to “it” or “its” in relation to a registered intermediary shall, except where the context otherwise specifies, be construed as including a reference to “he” or “his”, “she” or “her”, as the case may be.
- I.9 A reference in the Handbook to a “section” shall mean a reference to a section in the MPFSO or MPFSGR.
- I.10 References to legislation, regulations, rules, codes or guidelines shall include such legislation, regulations, rules, codes or guidelines as they are replaced, amended or supplemented from time to time.

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## **II PROHIBITION AGAINST CARRYING ON REGULATED ACTIVITIES, AND EXCEPTIONS**

### **II.1 Prohibition Against Carrying On Regulated Activities**

- (a) Section 34L(1) of the MPFSO prohibits a person from carrying on regulated activities in the course of the person’s business or employment; or for reward.
- (b) Section 34L(2) of the MPFSO prohibits a person from holding themselves out as carrying on regulated activities in the course of the person’s business or employment; or as carrying on regulated activities for reward.
- (c) Section 34L(3) of the MPFSO prohibits a person from taking or using the title of “principal intermediary” or “subsidiary intermediary”, “主事中介人” or “附屬中介人”; or any other title suggesting that the person carries on the regulated activities in the course of the person’s business or employment; or for reward.

### **II.2 Exceptions to Prohibition**

Section 34L of the MPFSO does not prohibit:-

- (a)(i) a principal intermediary from carrying on regulated activities in the course of the principal intermediary’s business or holding themselves out as so carrying on regulated activities; or
- (ii) a subsidiary intermediary attached to a principal intermediary from carrying on regulated activities in the course of acting as an employee, agent or representative of the principal intermediary or holding themselves out as so carrying on regulated activities;
- (b) a principal intermediary from taking or using the title of “principal intermediary” or “主事中介人” or a subsidiary intermediary from taking or using the title of “subsidiary intermediary” or “附屬中介人”; and
- (c) certain other kinds of persons or corporations from carrying on regulated activities or giving regulated advice or holding out as so doing under certain circumstances which are set out in section 34M(3) to (6) of the MPFSO.

### **II.3 Frequently Asked Questions on the how the Prohibition applies are posted on the MPFA website ([www.mpfa.org.hk](http://www.mpfa.org.hk)).**

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### III WHO CAN BE REGISTERED AS A REGISTERED INTERMEDIARY?

III.1 Only a person, who is a Type A regulatee or a Type B regulatee (as defined in section 34E of the MPFSO) and who has also satisfied other statutory requirements of the MPFSO, may be registered by the MPFA as a registered intermediary.

#### Type A Regulatee

- III.2 (a) in relation to *the Insurance Authority*, means
- (i) a company authorized under section 8 of the Insurance Ordinance (Cap 41) to carry on long term business within the meaning of that Ordinance; or
  - (ii) a licensed long term insurance broker company;
- (b) in relation to *the Monetary Authority*, means an authorized financial institution registered under section 119 of the Securities and Futures Ordinance (Cap 571) (SFO) for Type 1 or Type 4 regulated activity, or both, within the meaning of that Ordinance; or
- (c) in relation to *the Securities and Futures Commission*, means a corporation licensed under section 116 of the SFO to carry on Type 1 or Type 4 regulated activity, or both, within the meaning of that Ordinance.

#### Type B Regulatee

- III.3 (a) in relation to *the Insurance Authority*, means
- (i) a licensed long term individual insurance agent;
  - (ii) a licensed long term insurance agency;
  - (iii) a licensed long term technical representative (broker); or
  - (iv) a licensed long term technical representative (agent).
- (b) in relation to *the Monetary Authority*, means
- (i) a relevant individual registered under section 20 of the Banking Ordinance (Cap 155) (BO) as engaged in Type 1 or Type 4 regulated activity, or both, within the meaning of the SFO; or

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- (ii) a person who, with the consent of the Monetary Authority under section 71C of the BO, is an executive officer of a registered institution appointed under section 71D of the BO to be responsible for directly supervising the conduct of each business conducted by the registered institution that constitutes Type 1 or Type 4 regulated activity, or both, within the meaning of the SFO.
- (c) in relation to *the Securities and Futures Commission*, means a person licensed under section 120 of the SFO to carry on Type 1 or Type 4 regulated activity, or both, within the meaning of that Ordinance.

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## IV TYPES OF REGULATED PERSON

### **Principal Intermediary** (section 34G of the MPFSO)

- IV.1 In general, a person is a principal intermediary if the person is registered under the MPFSO as an intermediary for carrying on regulated activities. Only a person who is a Type A regulatee and who meets all other applicable statutory requirements may be registered by the MPFA as a principal intermediary.

### **Subsidiary Intermediary** (section 34H of the MPFSO)

- IV.2 In general, a person is a subsidiary intermediary if the person is registered under the MPFSO as an intermediary for carrying on regulated activities **for a principal intermediary** to which the person is to be attached. Only a person who is a Type B regulatee and who meets all other applicable statutory requirements may be registered by the MPFA as a subsidiary intermediary.

### **Responsible Officer** (section 34I of the MPFSO)

- IV.3 (a) An individual is a responsible officer of a principal intermediary if the individual is approved under the MPFSO as an officer with specified responsibilities in relation to the principal intermediary. The individual must be a subsidiary intermediary and meet other statutory requirements under section 34W(4).
- (b) Specified responsibilities in relation to a principal intermediary means the responsibilities to ensure that the principal intermediary:
- (i) has established and maintains proper controls and procedures for securing compliance by the principal intermediary and each subsidiary intermediary attached to the principal intermediary with the Part 4A of the MPFSO; and
  - (ii) uses the principal intermediary's best endeavours to secure observance by its subsidiary intermediaries attached to the principal intermediary of the controls and procedures mentioned in (i).

### **Relationship Between a Principal Intermediary, a Subsidiary Intermediary and a Responsible Officer**

- IV.4 (a) A principal intermediary
- (i) must establish and maintain proper controls and procedures for securing compliance by the principal intermediary, and by each subsidiary intermediary attached to the principal intermediary, with Part 4A of the MPFSO;

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- (ii) must use the principal intermediary's best endeavours to secure observance by subsidiary intermediaries attached to the principal intermediary of the controls and procedures established under (i);
  - (iii) must ensure that the responsible officer has sufficient authority within the principal intermediary for carrying out specified responsibilities in relation to the principal intermediary;
  - (iv) must provide the responsible officer with sufficient resources and support for carrying out specified responsibilities in relation to the principal intermediary; and
  - (v) must keep such records of activities carried out by the principal intermediary, and of those carried out by every subsidiary intermediary attached to the principal intermediary, as may be necessary for enabling the frontline regulator of the principal intermediary to ascertain:
    - (1) whether or not the principal intermediary has complied with section 34ZL(1) of the MPFSO; and
    - (2) whether or not every subsidiary intermediary attached to the principal intermediary has complied with section 34ZL(1) of the MPFSO.

(sections 34ZL(2) & 34ZL(3) of the MPFSO)

- (b) A principal intermediary must have at least one responsible officer who must be a subsidiary intermediary attached to it.
- (c) A subsidiary intermediary must be employed by, or act as an agent or representative of a principal intermediary, and be approved by the MPFA to be attached to the principal intermediary in order to carry on regulated activities for the principal intermediary, or hold themselves out as so carrying on regulated activities.
- (d) A responsible officer of a principal intermediary must use his or her best endeavours to carry out specified responsibilities in relation to the principal intermediary.

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## V BASIC APPROVAL CRITERIA

### For Approving an Application for Registration as a Principal Intermediary:

V.1 For application as a principal intermediary for carrying on regulated activities under section 34T(1) of the MPFSO,

- (a) the principal applicant<sup>1</sup> must be a Type A regulatee of an industry regulator;
- (b) within one year immediately before the date of the application, the principal applicant has not had any qualification as a Type A regulatee revoked on the disciplinary grounds (section 34J(1) of the MPFSO);
- (c) the principal applicant does not have any qualification as a Type A regulatee suspended (section 34J(2) of the MPFSO);
- (d) within one year immediately before the date of the application, the principal applicant has not had a registration as a registered intermediary revoked by the MPFA under section 34ZW(3)(a)(i) of the MPFSO; and
- (e) the principal applicant is not disqualified by the MPFA under section 34ZW(3)(a)(ii) of the MPFSO from being registered as an intermediary for carrying on regulated activities.

V.2 According to section 34T(2) of the MPFSO, an application for registration as a principal intermediary must be accompanied by the following applications:

#### **EITHER**

If the principal applicant wants to apply for an existing subsidiary intermediary to act as the responsible officer for the principal applicant,

- (a)(i) an application made by the principal applicant under section 34V(1) of the MPFSO for approval of attachment of a subsidiary intermediary to the principal applicant for the purpose of carrying on regulated activities; and
- (ii) an application made by the principal applicant under section 34W(1) of the

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<sup>1</sup> Principal applicant means a person who applies under section 34T(1) for registration as an intermediary to carry on regulated activities.

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MPFSO for approval of the subsidiary intermediary as a responsible officer in relation to the principal applicant.

**OR**

If the principal applicant wants to apply for an individual who is not yet registered as a subsidiary intermediary to act as the responsible officer for the principal applicant,

- (b)(i) an application made by an individual under section 34U(1) of the MPFSO for registration as an intermediary for carrying on regulated activities for a principal intermediary to which the individual is to be attached;
- (ii) an application made by the principal applicant under section 34V(1) of the MPFSO for approval of attachment of the individual to the principal applicant for the purpose of carrying on regulated activities; and
- (iii) an application made by the principal applicant under section 34W(1) of the MPFSO for approval of the individual as a responsible officer in relation to the principal applicant.

**For Approving an Application for Registration as a Subsidiary Intermediary:**

V.3 For application for registration as a subsidiary intermediary under section 34U(1) of the MPFSO,

- (a) the principal applicant<sup>2</sup> is a Type B regulatee of an industry regulator but not a Type A regulatee of any industry regulator;
- (b) within one year immediately before the date of the application, the principal applicant has not had any qualification as a Type B regulatee revoked on disciplinary grounds (section 34K(1) of the MPFSO);
- (c) the principal applicant does not have any qualification as a Type B regulatee suspended (section 34K(2) of the MPFSO);
- (d) within one year immediately before the date of the application, the principal applicant has not had a registration as a registered intermediary revoked by the

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<sup>2</sup> Principal applicant means a person who applies under section 34U(1) for registration as an intermediary to carry on regulated activities for a principal intermediary to which the person is to be attached.



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MPFA under section 34ZW(3)(a)(i) of the MPFSO;

- (e) the principal applicant is not disqualified by the MPFA under section 34ZW(3)(a)(ii) of the MPFSO from being registered as an intermediary for carrying on regulated activities for a principal intermediary to which the principal applicant is to be attached; and
- (f) if the principal applicant is an individual, the principal applicant has, within one year immediately before the date of the application, passed a qualifying examination specified by the MPFA. This will not be applicable if within three years immediately before the date of the application, the principal applicant has been registered as a subsidiary intermediary and that registration has been revoked, and the revocation, or the last revocation (if there is more than one), is not made due to non-compliance with the continuing training requirement.

V.4 According to section 34U(2) of the MPFSO, the application for registration as a subsidiary intermediary must be accompanied by an application made by a principal intermediary under section 34V(1) of the MPFSO for approval of attachment of the principal applicant to the principal intermediary for the purpose of carrying on regulated activities.

**For Approving an Application for Attachment of a Subsidiary Intermediary to a Principal Intermediary:**

V.5 For application for approval of attachment of a subsidiary intermediary to a person (the applicant) (being a principal intermediary or a person who applies for registration as a principal intermediary) for the purposes of carrying on regulated activities under section 34V(1) of the MPFSO,

- (a) the applicant consents to the subsidiary intermediary being an intermediary for carrying on regulated activities for the applicant;
- (b) the subsidiary intermediary is employed by, or acts as an agent or representative for, the applicant ; and
- (c) the subsidiary intermediary is a Type B regulatee of an industry regulator that is the frontline regulator of the applicant.

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**For Approving an Application for Approval of an individual as a Responsible Officer:**

V.6 For application by a principal intermediary or a corporation applying to be a principal intermediary (the applicant) for approval of an individual as its responsible officer under section 34W(1) of the MPFSO,

- (a) the individual is a subsidiary intermediary attached to the applicant;
- (b) the individual has sufficient authority within the applicant, and will be provided with sufficient resources and support, for carrying out specified responsibilities in relation to the applicant;
- (c) within one year immediately before the date of the application, the individual has not had an approval as a responsible officer revoked by the MPFA under section 34ZW(4)(a)(i) of the MPFSO; and
- (d) the individual is not disqualified by the MPFA under section 34ZW(4)(a)(ii) of the MPFSO from being approved as a responsible officer in relation to a principal intermediary.

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## VI APPLICATION PROCEDURES

### Relevant Application Forms

VI.1 For a corporation seeking to be a principal intermediary under section 34T(1) of the MPFSO:

- (a) It must complete an application form for registration as a principal intermediary **[Form INT-1, Application for Registration as a Principal Intermediary]**.
- (b) There should be at least an accompanying application form for registration as a subsidiary intermediary (individual) who will act as a responsible officer. The individual must complete an application form for registration as a subsidiary intermediary and approval of attachment of a subsidiary intermediary to a principal intermediary **[Form INT-2, Application for Registration as a Subsidiary Intermediary (by an Individual) and Approval of Attachment of a Subsidiary Intermediary to a Principal Intermediary]** and this application form will also require signing of his/her principal intermediary.
- (c) However, if it would like to engage, (i) an already-registered subsidiary intermediary who is attached to another principal intermediary or (ii) an already registered subsidiary intermediary who is not attached to any principal intermediary (in the 90-day period after revocation of approval of attachment to its former principal intermediary), as its responsible officer, then it should not complete Form INT-2 but instead complete an application for approval of attachment **[Form INT-5, 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]**.
- (d) It must also complete another application form for approval of the individual mentioned in the preceding paragraph VI.1(b)/the already registered subsidiary intermediary mentioned in the preceding paragraph VI.1(c) as a responsible officer **[Form INT-4, Application for Approval of an Individual as a Responsible Officer]**. This application form must be signed by the individual/the already registered subsidiary intermediary.
- (e) There must be at least one responsible officer for a principal intermediary and this responsible officer must be a subsidiary intermediary attached to the principal

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intermediary. Principal Intermediaries with a large number of subsidiary intermediaries attached to it, are encouraged to have more than one responsible officer to oversee the regulated activities. This will minimize the risk of the principal intermediary and subsidiary intermediaries not being able to carry on regulated activities, if the approval of the only responsible officer is revoked or suspended.

(f) Please use one form for each individual applicant.

VI.2 For an individual seeking to be registered as a subsidiary intermediary under section 34U(1) of the MPFSO:

(a) He/She must complete an application form for registration as a subsidiary intermediary and approval of attachment of a subsidiary intermediary to a principal intermediary **[Form INT-2 Application for Registration as a Subsidiary Intermediary (by an Individual) and Approval of Attachment of a Subsidiary Intermediary to a Principal Intermediary]**. This application form must also be signed by the relevant principal intermediary.

VI.3 For a licensed long term insurance agency seeking to be registered as a subsidiary intermediary under section 34U(1) of the MPFSO:

(a) It must complete an application form for registration as a subsidiary intermediary and approval of attachment of a subsidiary intermediary to a principal intermediary **[Form INT-3, Application for Registration as a Subsidiary Intermediary (by a Licensed Long Term Insurance Agency) and Approval of Attachment of a Subsidiary Intermediary to a Principal Intermediary]**. This application form must also be signed by the relevant principal intermediary.

VI.4 For a principal intermediary seeking approval of an individual as its responsible officer under section 34W(1) of the MPFSO:

(a) If the individual has already been registered as a subsidiary intermediary attached to the principal intermediary, the principal intermediary must complete an application form for approval of the individual as a responsible officer **[Form INT-4, Application for Approval of an Individual as a Responsible Officer]**. This application form must also be signed by the

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individual.

- (b) If the individual has already been registered as a subsidiary intermediary but not yet attached to the principal intermediary, the principal intermediary must also complete an application form for approval of attachment of a subsidiary intermediary to a principal intermediary [**Form INT-5, 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**]
- (c) If the individual has not yet been registered as a subsidiary intermediary, then the individual must also complete an application form for registration as a subsidiary intermediary (for an individual) and approval of attachment of a subsidiary intermediary to a principal intermediary [**Form INT-2, Application for Registration as a Subsidiary Intermediary (by an Individual) and Approval of Attachment of a Subsidiary Intermediary to a Principal Intermediary**]. This application form must also be signed by the relevant principal intermediary.
- (d) Please note that the MPFA does not encourage an individual to act as responsible officer of more than one principal intermediary.

VI.5 For a principal intermediary or a corporation seeking to be a principal intermediary under section 34T(1) of the MPFSO, seeking approval of attachment of a subsidiary intermediary to it under section 34V(1) of the MPFSO:

- (a) The principal intermediary or the corporation seeking to be a principal intermediary under section 34T(1) of the MPFSO consents to attachment of the subsidiary intermediary to itself and the relationship of an employer-employee, agency or representative exists between them. Then, it must complete an application for approval of attachment [**Form INT-5, 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**].

VI.6 The forms to be signed by principal intermediary and/or subsidiary intermediary (Forms INT-1 to 5) are listed in **Appendix A**. To learn more about which forms should be

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used in different scenarios, please refer to **Appendix B**.

### **Signing Requirements**

VI.7 The application forms [**Form INT-1**] and [**Form INT-3**] must be signed by:

- (a) the sole proprietor if the principal applicant is in the form of a sole proprietorship;
- (b) two partners if the principal applicant is in the form of a partnership;
- (c) the director of the principal applicant if the principal applicant is in the form of a limited company with a sole director; and
- (d) two directors authorized by the board of directors of the principal applicant if the principal applicant is in the form of a limited company with two or more directors.

### **Obtaining Application forms**

VI.8 Application forms can be:

- (a) obtained from the following offices of the MPFA:
  - (i) Level 8, Tower 1, Kowloon Commerce Centre, 51 Kwai Cheong Road, Kwai Chung, New Territories;
  - (ii) Room 1201-1207, Nan Fung Tower, 88 Connaught Road Central, Sheung Wan, Hong Kong; or
  - (iii) 25/F, Tower 1, Millennium City 1, 388 Kwun Tong Road, Kwun Tong, Kowloon; or
- (b) downloaded from the MPFA website ([www.mpfa.org.hk](http://www.mpfa.org.hk)).

### **Submitting an Application**

VI.9 Please read the notes on the application forms carefully before completing the forms.

VI.10 Before submitting an application, please ensure the application form(s) is/are fully and properly completed, all the supporting documents, if any, are enclosed as well as cheque(s) made payable to “MPFA Administration Account” for the required application fees. Otherwise, the application may be returned.

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- (a) The required supporting documents for application for registration as a principal intermediary are:
- (i) a copy of the business registration certificate; and
  - (ii) a copy of the certificate of incorporation or certificate of registration of an overseas company in the case of a limited company.
- (b) The required supporting document for application for registration as a subsidiary intermediary (individual) is:
- (i) a copy of the principal applicant's Hong Kong Identity Card.
- (c) The required application fees are:

Type of Application	Application Fee
Registration as a principal intermediary	\$2,340
Registration as a subsidiary intermediary	\$290
Approval of attachment of a subsidiary intermediary to a principal intermediary	\$130
Approval as a responsible officer	\$660

- (d) Application fees incurred for different forms are shown in **Appendix A**.
- (e) Total application fees incurred for different scenarios are shown in **Appendix B**.

VI.11 Please submit application form(s) together with the application fee(s) by hand or by post to the Intermediaries Section of the MPFA at Level 8, Tower 1, Kowloon Commerce Centre, 51 Kwai Cheong Road, Kwai Chung, New Territories.

VI.12 If the forms are sent by post, please ensure there is sufficient postage. The MPFA will not accept underpaid mail which will be returned to the sender or disposed of by the Hongkong Post.

### **Withdrawal of Application**

VI.13 An applicant may withdraw an application prior to the approval or rejection of the application by the MPFA. In such circumstances, the application fee will not be refunded.

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## **Approval of Application**

VI.14 Please refer to Part VII on grant of registration and/or approval.

## **Rejection of Application**

- VI.15 (a) The MPFA will reject an application if the statutory requirements are not met. The MPFA may return/reject an application if insufficient information is provided to the MPFA to process the application or in any other circumstances as the MPFA thinks appropriate. In case of rejection, the application fee will not be refunded.
- (b) When the MPFA rejects an application for registration as a principal intermediary under section 34T(1) of the MPFSO, the MPFA will also reject its accompanying applications under section 34T(2)(a) or (b) of the MPFSO at the same time.
- (c) When the MPFA rejects an application for registration as a subsidiary intermediary under section 34U(1) of the MPFSO, the MPFA will also reject its accompanying application for approval of attachment to a principal intermediary under section 34U(2) of the MPFSO at the same time.
- (d) When the MPFA rejects an application, it will send a written notice with a statement of reasons for rejection to the principal applicant, the person to be attached to the principal intermediary, the individual to become a responsible officer of the principal intermediary and the principal intermediary, where appropriate.
- (e) Nevertheless, all relevant parties will be given an opportunity to make representations as to why the application should not be rejected (section 34Y of the MPFSO).
- (f) If the MPFA, having considered the representations made if any, decides to reject the application, an appeal against its decision may be submitted to the Mandatory Provident Fund Schemes Appeal Board within two months after the date on which the MPFA gives written notice of its decision (section 204 of the MPFSGR).



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## **VII GRANT OF REGISTRATION AND/OR APPROVAL**

### **Approval of Application**

- VII.1 Once all requirements are met, the MPFA may grant registration and/or an approval to an applicant and must give written notices to all related persons (including the applicant). If there are accompanying applications made at the same time, the MPFA will also give written notices to those related persons in the accompanying applications. A written notice, depending on the specific circumstances, may be sent by (a) post, (b) email, or (c) the “eService” (an MPFA designated electronic system).
- VII.2 For application of registration as a principal intermediary, when the MPFA approves the application under section 34T(4) of the MPFSO, it must also approve the accompanying applications under section 34T(2)(a) or (b) of the MPFSO at the same time.
- VII.3 For application of registration as a subsidiary intermediary, when the MPFA approves the application under section 34U(4) of the MPFSO, it must also approve the accompanying application under section 34U(2) of the MPFSO at the same time.

### **Conditions Imposed on Approval of Application**

- VII.4 (a) The MPFA may impose any conditions on registration of a principal or subsidiary intermediary, approval of attachment of a subsidiary intermediary to a principal intermediary or approval of an individual as a responsible officer of a principal intermediary (section 34X(1)&(2) of the MPFSO), as it considers appropriate.
- (b) The MPFA may also impose any conditions on registration and/or approval that it considers appropriate after it has registered or approved a person or individual (section 34X(3) of the MPFSO) and even if it has already imposed a condition (section 34X(4) of the MPFSO).
- (c) The MPFA may amend or revoke any conditions imposed (section 34X(5) of the MPFSO).
- (d) The MPFA will notify in writing to the relevant parties where conditions are imposed, amended or revoked (section 34X(6) of the MPFSO).
- (e) If there are conditions imposed or amended, the MPFA will include a statement of reasons (section 34X(7) of the MPFSO).

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### **Assignment of Frontline Regulator for a Principal Intermediary**

- VII.5 (a) As soon as practicable after the MPFA registers a person as a principal intermediary, the MPFA shall assign an industry regulator as the frontline regulator of the person (section 34Z(1) of the MPFSO).
- (b) If the person is a Type A regulatee of only one industry regulator, the industry regulator is to be assigned as the frontline regulator of the person (section 34Z(4) of the MPFSO).
- (c) Generally, the MPFA may assign an industry regulator as the frontline regulator of a principal intermediary when the principal intermediary is a Type A regulatee of more than one industry regulator according to the following mechanism:

<b>A Principal Intermediary being</b>	<b>Frontline Regulator</b>
a Type A regulatee of, the Monetary Authority and other industry regulator(s)	Monetary Authority
a Type A regulatee of, the Insurance Authority, and the Securities and Futures Commission	Insurance Authority
a Type A regulatee of the Securities and Futures Commission only	Securities and Futures Commission

- (d) For a principal intermediary who is a Type A regulatee of more than one industry regulator, the MPFA may also consider the majority of the business activities of the principal intermediary on assigning the frontline regulator and the MPFA may assign another frontline regulator for the principal intermediary.

### **Assignment of Frontline Regulator for a Subsidiary Intermediary**

- VII.6 As soon as practicable after the MPFA approves the attachment of a subsidiary intermediary to a principal intermediary, the MPFA will assign the frontline regulator of the principal intermediary as the frontline regulator of the subsidiary intermediary in its/his/her capacity as a subsidiary intermediary attached to the principal intermediary (section 34ZA(1) of the MPFSO).

### **Assignment of Frontline Regulator for a Responsible Officer**

- VII.7 As soon as practicable after the MPFA approves an individual as a responsible officer of a principal intermediary, the MPFA will assign the frontline regulator of the principal

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intermediary as the frontline regulator of the individual in his/her capacity as a responsible officer of the principal intermediary (section 34ZB(1) of the MPFSO).

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## VIII NOTIFICATION OF CHANGES IN CIRCUMSTANCES

### Notice of Change, etc. under Section 34ZE or Section 34ZI of the MPFSO

VIII.1 A principal or subsidiary intermediary must give the MPFA a notice in writing of the cessation, change, acquisition or suspension specified in the following paragraphs VIII.2 and VIII.3 respectively within seven working days after the cessation, change, acquisition or suspension occurs (sections 34ZE(2) & 34ZI(2) of the MPFSO). A person who, without reasonable excuse, contravenes section 34ZE(2) or section 34ZI(2) commits an offence and is liable to a maximum fine of \$50,000 (sections 34ZE(5) & 34ZI(3) of the MPFSO).

#### VIII.2 (a) **By a Principal Intermediary, if:**

- (i) the principal intermediary ceases to carry on any regulated activity;
- (ii) there is any change in the address or any contact details of the principal intermediary (*see paragraph VIII.4(a) for the scopes of address and contact details*);
- (iii) the principal intermediary acquires any qualification as a Type A regulatee;
- (iv) the principal intermediary ceases to be a Type A regulatee of any industry regulator;
- (v) the principal intermediary has any qualification as a Type A regulatee of an industry regulator suspended; or
- (vi) a responsible officer of the principal intermediary ceases to be an officer with specified responsibilities in relation to the principal intermediary.

(b) The principal intermediary may use the physical form [**Form INT-6, Notification of Change of Information by Principal Intermediary**] or the electronic form [**eForm INT-6, Notification of Change of Information by Principal Intermediary**] for notifying the MPFA of any cessation, changes, acquisition or suspension as required under section 34ZE(2). It may also use these forms for notifying the MPFA of any change in other particulars or information, if any, previously supplied to the MPFA in connection with an application for registration as a principal intermediary and for approval of responsible officer(s).

#### VIII.3 (a) **By a Subsidiary Intermediary (including a Responsible Officer), if :**

- (i) there is a change in the name of the subsidiary intermediary;
- (ii) there is a change in the address or any contact details of the subsidiary intermediary (*see paragraphs VIII.4(b) and VIII.4(c) below for the scopes of*

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*address and contact details);*

- (iii) the subsidiary intermediary acquires any qualification as a Type B regulatee;
- (iv) the subsidiary intermediary ceases to be a Type B regulatee of any industry regulator;
- (v) the subsidiary intermediary has any qualification as a Type B regulatee of an industry regulator suspended; or
- (vi) the subsidiary intermediary ceases to be a responsible officer of a principal intermediary.

(b) The subsidiary intermediary may use the physical form [**Form INT-7, Notification of Change of Information by Subsidiary Intermediary**] or the electronic form [**eForm INT-7, Notification of Change of Information by Subsidiary Intermediary**] for notifying the MPFA of any change, acquisition, cessation or suspension as required under section 34ZI(2). The subsidiary intermediary may also use these forms for notifying the MPFA of any change in other particulars or information previously supplied to the MPFA in connection with an application for registration as a subsidiary intermediary.

VIII.4 According to Guidelines VI.1, 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 seven working days after a change has occurred under sections 34ZE and 34ZI of the MPFSO:

(a) For a Principal Intermediary,

(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 (Licensed Long Term Insurance Agency),

(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),

(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<sup>3</sup>;
- (2) Office Telephone Number; and
- (3) Business Email Address.

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<sup>3</sup> These contact details are collected for direct contacts by the MPFA, especially in the situation when an individual subsidiary intermediary is no longer attached to a principal intermediary after he/she changes job.

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## **Withdrawal of Consent to a Subsidiary Intermediary for Carrying On Regulated Activities for a Principal Intermediary**

VIII.5 (a) If a principal intermediary intends to withdraw the consent to its subsidiary intermediary/intermediaries for carrying on regulated activities for itself under section 34ZG(1), the principal intermediary is required to complete a physical form [**Form INT-5, 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**] or submit an electronic form [**eForm INT-5B, Notification of Principal Intermediary's Withdrawal of Consent to a Subsidiary Intermediary**] for notifying the MPFA about the withdrawal of consent to its subsidiary intermediary/intermediaries for carrying on regulated activities for the principal intermediary.

(b) A withdrawal of the consent takes effect on the date on which a principal intermediary gives the MPFA notice in the Form INT-5 or eForm INT-5B (the notification date) 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 (section 34ZG(2) of the MPFSO). The approval of attachment of a subsidiary intermediary to the principal intermediary is revoked on the date on which the withdrawal takes effect.

(c) A principal intermediary should notify the MPFA **as soon as possible** when it decides to withdraw consent for its subsidiary intermediary to carry on regulated activities for it. For example, in the situation when its subsidiary intermediary leaves the principal intermediary, as the principal intermediary is still required to secure compliance of the statutory requirements by the subsidiary intermediary for the **period** between the subsidiary intermediary leaving the principal intermediary until the approval of attachment of the subsidiary intermediary to the principal intermediary is revoked, i.e. until at least up to the date the MPFA receives notification about the withdrawal of consent. Therefore, it is in the best interests of a principal intermediary to notify the MPFA about the withdrawal of consent **as soon as possible**.

(d) Where a person is not approved as being attached to any principal intermediary because of the withdrawal of consent to the attachment of the person to the principal intermediary, the MPFA may revoke the registration of the person as a subsidiary intermediary, (i) if no application has been made under section 34V(1) of the MPFSO for approval of attachment of the person to any principal intermediary within

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90 days after the date on which the revocation takes effect because of the withdrawal of the consent to the attachment or (ii) if such an application has been made within 90 days after the date on which the revocation takes effect because of the withdrawal of the consent to the attachment, and the MPFA has rejected the application.

- (e) Once the registration of a person as a subsidiary intermediary has been revoked by the MPFA, the person will need to make a new application for registration as a subsidiary intermediary if the person would like to be attached to another principal intermediary.

### **Relevant Notification Forms**

VIII.6 The physical forms (Forms INT-5 to 7) are listed in **Appendix A**. The electronic forms (eForms INT-5B to 7) can be found via the “eService” (an MPFA designated electronic system). To learn more about which forms should be used in different scenarios, please refer to **Appendix B**.

### **Date of Notification**

VIII.7 The date of notification is, in general, the date on which the MPFA receives the notification form.

### **Submitting a Notification**

VIII.8 The physical forms (Forms INT-5 and 6 to be signed by principal intermediary<sup>4</sup>) (Form INT-7 to be signed by subsidiary intermediary) can be submitted by hand, by post, or by email ([intermediaries@mpfa.org.hk](mailto:intermediaries@mpfa.org.hk)) to the Intermediaries Section of the MPFA (Address: **Level 8, Tower 1, Kowloon Commerce Centre, 51 Kwai Cheong Road, Kwai Chung, New Territories**). The electronic forms (eForms INT-5B and 6 to be submitted by principal intermediary<sup>4</sup>) (eForm INT-7 to be submitted by subsidiary intermediary) can be submitted via the “eService”.

VIII.9 If the physical forms are sent by post, please ensure there is sufficient postage. The MPFA will not accept underpaid mail which will be returned to the sender or disposed of by the Hongkong Post.

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<sup>4</sup> To learn more about the qualified authority of principal intermediary who can sign / submit the Form / eForm, please refer to the relevant Form / eForm in Appendix C.



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## **IX PERFORMANCE PLEDGES FOR REGISTRATION OF INTERMEDIARIES AND APPROVAL OF RESPONSIBLE OFFICERS**

**IX.1** The MPFA pledges to attain at least 95% achievement of the service standards listed in the following table:

<b>No.</b>	<b>Service</b>	<b>Service Standard</b>
1.	Process applications for registration as principal intermediary	Complete processing of registrations within 20 working days after receipt of all requisite documents (which have been completed in full) but not applying to exceptional cases, for example, contentious cases such as those requiring imposition of registration conditions.
2.	Process applications for registration as subsidiary intermediary	Complete processing of registrations within 20 working days after receipt of all requisite documents (which have been completed in full) but not applying to exceptional cases, for example, contentious cases such as those requiring imposition registration conditions.
3.	Process applications for approval of attachment of subsidiary intermediary to principal intermediary	Complete processing of applications within 15 working days after receipt of all requisite documents (which have been completed in full) but not applying to exceptional cases, for example, contentious cases such as those requiring imposition approval conditions.
4.	Process applications for approval as responsible officer	Complete processing of applications within 10 working days after receipt of all requisite documents (which have been completed in full) but not applying to exceptional cases, for example, contentious cases such as those requiring imposition approval conditions.

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## **X REGISTER OF INTERMEDIARIES**

X.1 Under section 34Q of the MPFSO, the MPFA maintains a register of intermediaries for regulated activities. Members of the public may access the register through the website of the MPFA ([www.mpfa.org.hk](http://www.mpfa.org.hk)).

### **X.2 Particulars of Principal Intermediary Shown on the Register (sections 34S(1) and (2)(a) of the MPFSO):**

- (a) Name, MPF registration number and address of the principal place of business in Hong Kong of the principal intermediary;
- (b) The conditions (if any) to which the registration as a principal intermediary is subject;
- (c) Name of the frontline regulator;
- (d) A record of every disciplinary order (except an order of private reprimand) that has been in force against the principal intermediary within the last five years;
- (e) If the registration as a principal intermediary is suspended, a note to that effect; and
- (f) Name and the office address of every of its responsible officer(s)

### **X.3 Particulars of Subsidiary Intermediary Shown on the Register (sections 34S(1) and (2)(b) of the MPFSO):**

#### Particulars for every subsidiary intermediary:

- (a) Name and MPF registration number of the subsidiary intermediary;
- (b) The conditions (if any) to which the registration as a subsidiary intermediary, or the approval of the attachment to a principal intermediary, is subject;
- (c) Name of the frontline regulator;
- (d) A record of every public disciplinary order (except an order of private reprimand) that has been in force against the subsidiary intermediary within the last five years; and
- (e) If the registration as a subsidiary intermediary, or the approval of the attachment to a principal intermediary, is suspended, a note to that effect

#### Additional particulars for every subsidiary intermediary attached to a principal intermediary:

- (f) Name and address of the principal place of business in Hong Kong of the Principal Intermediary to which the subsidiary intermediary is attached;
- (g) If the registration of the principal intermediary as such is suspended, a note to that

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effect, and a note to the effect that section 34M(1)(b) does not apply to the subsidiary intermediary; and

- (h) If the subsidiary intermediary is also a responsible officer of the principal intermediary, a note to that effect; the condition (if any) to which the approval as such as a responsible officer is subject; and where the approval of the subsidiary intermediary as such responsible officer is suspended, a note to that effect.

X.4 Please note that registration status of registered intermediaries, whether they are “active” or “suspended” registration, will be shown on the Register. If an intermediary’s registration is revoked, the record of that intermediary will be removed from the Register.

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## **XI CHECKING REGISTRATION PARTICULARS AND/OR HISTORY BY REGISTERED INTERMEDIARIES**

- XI.1 Upon granting approval on registration, the MPFA will send a Login ID and a password to registered intermediaries so they can view their registration details from the MPFA website via the “eService” (an MPFA designated electronic system). For subsidiary intermediaries who are individuals, they may also view their registration history for the past three years.

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## **XII      ENQUIRIES**

XII.1      Further enquiries on registration matters may be directed to:

Tel: 2918 0102

Email: [mpfa@mpfa.org.hk](mailto:mpfa@mpfa.org.hk)

## Appendix A: List of Forms and Application Fee(s) for Different Forms

Form No.	Form Name	Completed and Signed / Submitted by		Application Fee(s)
		Principal Intermediary (PI)	Subsidiary Intermediary (SI)	
INT-1	Application for Registration as a Principal Intermediary	✓		\$2,340
INT-2	Application for Registration as a Subsidiary Intermediary (by an Individual) and Approval of Attachment of a Subsidiary Intermediary to a Principal Intermediary	✓	✓	\$420 <i>(\$290 for application for registration as an SI and \$130 for application for approval of attachment of the SI to his/her PI)</i>
INT-3	Application for Registration as a Subsidiary Intermediary (by a Licensed Long Term Insurance Agency) and Approval of Attachment of a Subsidiary Intermediary to a Principal Intermediary	✓	✓	\$420 <i>(\$290 for application for registration as an SI and \$130 for application for approval of attachment of the SI to its PI)</i>
INT-4	Application for Approval of an Individual as a	✓	✓	\$660

	Responsible Officer			
INT-5	Notification of Withdrawal of Principal Intermediary's Consent to a Subsidiary Intermediary / Application for Approval of Attachment of a Subsidiary Intermediary to a Principal Intermediary	✓		<p>\$130 for each application for approval of attachment of an SI to his/her/its PI</p> <p>Not applicable for notification of withdrawal of PI's consent to its SI</p>
eINT-5B	Notification of Principal Intermediary's Withdrawal of Consent to a Subsidiary Intermediary	✓		Not applicable
INT-6/ eINT-6	Notification of Change of Information by a Principal Intermediary	✓		Not applicable
INT-7/ eINT-7	Notification of Change of Information by a Subsidiary Intermediary		✓	Not applicable

## Appendix B: Forms to be Used and Total Application Fees Incurred in Different Scenarios

No.	Scenario	Forms to be Used	Total Application Fees Incurred
A Corporation Seeking to be a Principal Intermediary (PI)			
1	A corporation wants to become a PI. It needs to have at least an individual to be registered as a subsidiary intermediary (SI) and responsible officer (RO).	Form INT-1, Form INT-2 & Form INT-4	\$3,420 ( $\$2,340 + \$420 + \$660$ )
2.	A corporation wants to become a PI and engage an SI to act as its RO.	Form INT-1, Form INT-5 & Form INT-4	\$3,130 ( $\$2,340 + \$130 + \$660$ )
A Principal Intermediary			
3.	A PI wants to engage more individuals and/or licensed long term insurance agencies to be registered as SIs.	Form INT-2 &/or Form INT-3	\$420 ( <i>for each SI applicant</i> )
4.	A PI wants to engage more SIs who or which have not yet been attached to it.	Form INT-5	\$130 ( <i>for each SI</i> )
5.	A PI wants to withdraw consent to its SIs for the attachment to it (e.g. An SI leaves the PI.).	Form INT-5/eForm INT-5B	Not applicable
6.	A PI wants to engage its SI as an RO.	Form INT-4	\$660
7.	A PI wants to engage an individual as its RO but the individual has <u>not</u> yet been registered as an SI.	Form INT-2 & Form INT-4	\$1,080 ( $\$420 + \$660$ )
8.	A PI wants to engage an individual as its RO. The individual is an SI but <u>not</u> attached to the PI.	Form INT-4 & Form INT-5	\$790 ( $\$660 + \$130$ )



No.	Scenario	Forms to be Used	Total Application Fees Incurred
9.	An RO of a PI ceases to be an officer with specified responsibilities in relation to the PI and the PI withdraws the consent to him/her being an SI attached to the PI.	Form INT-5 /eForm INT-5B & Form INT-7/ eForm INT-7	Not applicable
10.	An RO of a PI ceases to be an officer with specified responsibilities in relation to the PI but the PI still consents to him/her being an SI attached to the PI.	Form INT-6/ eForm INT-6 & Form INT-7/ eForm INT-7	Not applicable
<b>An Individual or a Licensed Long Term Insurance Agency Seeking to be a Subsidiary Intermediary</b>			
11.	An individual wants to become an SI. He/she must also find a PI which consents to him/her for carrying on regulated activities for the PI.  <i>(Please note that the PI needs not complete a Form INT-5.)</i>	Form INT-2	\$420
12.	A licensed long term insurance agency wants to become an SI. It must also find a PI which consents to it for carrying on regulated activities for the PI.  <i>(Please note that the PI needs not complete a Form INT-5.)</i>	Form INT-3	\$420
<b>An Subsidiary Intermediary</b>			
13.	An SI ceases to be attached to his/her/its PI (a departing SI).  <i>(Please note that for the departing SI who/which has <u>only one PI</u> for which</i>	Form INT-5/ eForm INT-5B	Not applicable

No.	Scenario	Forms to be Used	Total Application Fees Incurred
	<i>he/she/it was previously attached to, then he/she/it has <u>90 calendar days</u> to find another PI for attachment if he/she/it wants to keep the registration as a registered intermediary. Otherwise, his/her/its MPF registration will lapse after 90 days and he/she/it needs to submit a new application (with a PI consents to the attachment) to the MPFA for registration as an SI again.)</i>		
14.	An SI wants to be attached to another PI which consents to the attachment. The SI must be a Type B regulatee of the <u>same</u> industry regulator as another PI. Otherwise, he/she/it needs to acquire this qualification as a Type B regulatee of the <u>same</u> industry regulator as another PI.	Form INT-5 and Form INT-7/ eForm INT-7 (if a new qualification as a Type B regulatee has been acquired)	\$130
<b>An Individual seeking to be a Responsible Officer</b>			
15.	An individual, who has not yet been registered as an SI, wants to become an RO of a PI (with the consent of the PI).	Form INT-2 & Form INT-4	\$1,080 (\$420 + \$660)
16.	An individual SI, who has not yet been attached to a PI, wants to become an RO of the PI (with the consent of the PI).	Form INT-4 & Form INT-5	\$790 (\$660 + \$130)
17.	An individual SI attached to a PI wants to be an RO (with the consent of the PI).	Form INT-4	\$660
<b>A Responsible Officer</b>			
18.	An RO ceases to be an officer with specified responsibilities and leaves his/her PI.	Form INT-5 /eForm INT-5B & Form INT-7/	Not applicable

No.	Scenario	Forms to be Used	Total Application Fees Incurred
		eForm INT-7	
19.	An RO ceases to be an officer with specified responsibilities but remains as an SI attached to a PI.	Form INT-6/ eForm INT-6 & Form INT-7/ eForm INT-7	Not applicable
Changes Notifications			
20.	There is any change to the information previously submitted to the MPFA by a PI.	Form INT-6/ eForm INT-6	Not applicable
21.	There is any change to the information previously submitted to the MPFA by an SI.	Form INT-7/ eForm INT-7	Not applicable
Change of Attachment of a Subsidiary Intermediary to a Principal Intermediary			
22.	There is any change on the attachment between a PI & an SI.	Form INT-5/ e Form INT-5B	Not applicable <i>(for notification of withdrawal of PI's consent to its SI)</i>
		Form INT-5	\$130 <i>(for each application for approval of attachment of an SI to a PI)</i>

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## **Appendix C: Forms**

**MANDATORY PROVIDENT FUND SCHEMES AUTHORITY (MPFA)****Application for Registration as a Principal Intermediary**

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

**Form INT-1**  
PI-Application

<b>Section I – PARTICULARS OF APPLICANT</b>	
Name in English	
Name in Chinese (if any)	
Business Registration No.	
Address of Principal Place of Business in Hong Kong (English)	<div> <div>_____</div> <div>_____</div> <div>_____</div> <div>_____</div> </div> <div> <div>(Flat/Room)</div> <div>(Floor)</div> <div>(Block)</div> <div>(Name of Building)</div> </div> <div> <div>_____</div> <div>_____</div> </div> <div> <div>(Number &amp; Name of Street)</div> <div>(District)</div> </div> <div>HK / KLN / NT *(Please delete as appropriate)</div>
Address of Principal Place of Business in Hong Kong (Chinese)	<div> <div>_____</div> <div>_____</div> <div>_____</div> <div>_____</div> </div> <div> <div>(Flat/Room)</div> <div>(Floor)</div> <div>(Block)</div> <div>(Name of Building)</div> </div> <div> <div>_____</div> <div>_____</div> </div> <div> <div>(Number &amp; Name of Street)</div> <div>(District)</div> </div> <div>HK / KLN / NT *(Please delete as appropriate)</div>
Address of Registered Office (if different from the Address of Principal Place of Business in Hong Kong)	<div> <div>_____</div> <div>_____</div> <div>_____</div> <div>_____</div> </div> <div> <div>(Flat/Room)</div> <div>(Floor)</div> <div>(Block)</div> <div>(Name of Building)</div> </div> <div> <div>_____</div> <div>_____</div> </div> <div> <div>(Number &amp; Name of Street)</div> <div>(District)</div> </div> <div>HK / KLN / NT *(Please delete as appropriate)</div>
Correspondence Address (if different from the Address of Principal Place of Business in Hong Kong)	<div> <div>_____</div> <div>_____</div> <div>_____</div> <div>_____</div> </div> <div> <div>(Flat/Room)</div> <div>(Floor)</div> <div>(Block)</div> <div>(Name of Building)</div> </div> <div> <div>_____</div> <div>_____</div> </div> <div> <div>(Number &amp; Name of Street)</div> <div>(District)</div> </div> <div>HK / KLN / NT *(Please delete as appropriate)</div>
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 <i>(same as HKID Card)</i>	1.	2.
Name in Chinese <i>(if any)</i> <i>(same as HKID Card)</i>	1.	2.
HKID Card No.	1.	2.
MPF Registration No. <i>(if any)</i>	1.	2.

**Section III – COMPLIANCE OFFICER INFORMATION**

Name <i>(same as HKID Card)</i>	(English)  _____ <i>(Surname)</i> _____ <i>(Other Names)</i>	(Chinese) <i>(if any)</i>  _____ <i>(Surname)</i> _____ <i>(Other Name)</i>
Position held		
Telephone No.		
Fax No.		
Email Address		

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

Name <i>(same as HKID Card)</i>	(English)  _____ <i>(Surname)</i> _____ <i>(Other Names)</i>	(Chinese) <i>(if any)</i>  _____ <i>(Surname)</i> _____ <i>(Other Name)</i>
Position held		
Office Address <i>(if different from the Address of Principal Place of Business of the Applicant)</i>	_____ <i>(Flat/Room)</i> <i>(Floor)</i> <i>(Block)</i> _____ <i>(Name of Building)</i>  _____ <i>(Number &amp; Name of Street)</i> _____ <i>(District)</i> HK / KLN / NT <i>*(Please delete as appropriate)</i>	
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

☐ Licensed Long Term Insurance Broker Company

**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 s34J(1) of the MPFSO, within one year immediately before the date of signing this application?  
Yes/No\*
2. Do you have any of your qualifications as a Type A regulatee, that is currently possessed by your corporation, currently suspended under circumstances as specified in s34J(2) of the MPFSO?  
Yes/No\*
3. Has your registration as an MPF registered intermediary (if any) ever been revoked by the MPFA under s34ZW(3)(a)(i) of the MPFSO within one year immediately before the date of signing this application?  
Yes/No\*
4. Has your corporation ever been disqualified by the MPFA under s34ZW(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**

We, the above-named applicant, hereby

1. **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.✦
2. **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.
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. **declare** that the board of directors / the partnership has passed a resolution approving this application.
5. **understand** that s34ZE(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 s34ZE(1) of the MPFSO within seven working days after it occurs.

Name of Authorized Signatory (same as HKID Card)  (The Authorized Signatory must be a sole proprietor, partner or director of the Applicant.)	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 <sup>1</sup>	1.	2.
Date of Signature <sup>2</sup>		

✦ **Warning:** Section 43E(1) of the MPFSO makes it an offence punishable with a maximum of one year's imprisonment and a fine of \$100,000 for the first occasion and two 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**

We, \_\_\_\_\_ (Name of the Applicant)

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;

<sup>1</sup> Please see *Explanatory Note 1* on the signing requirements.

<sup>2</sup> Please see *Explanatory Note 2*.



<p>3. <b>consent</b> to the MPFA disclosing or transferring the Relevant Information to each and all of the Insurance Authority, the Hong Kong Monetary Authority and the Securities and Futures Commission (the three regulators), even if we do not possess any qualification capacity under all of the three regulators, 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. <b>consent</b> 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. <b>consent</b> to the three regulators 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 <b>authorize</b> the MPFA to request such disclosure or release;</p> <p>6. <b>consent</b> to the MPFA and/or the three regulators 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. <b>understand</b> 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 (same as HKID Card)  (The Authorized Signatory must be a sole proprietor, partner or director of the applicant.)	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 <sup>3</sup>	1.	2.
Date of Signature <sup>4</sup>		

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

<sup>3</sup> Please see *Explanatory Note 1* on the signing requirements.

<sup>4</sup> 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 (MPFA) website - [www.mpfa.org.hk](http://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.
9. The application fee is HK\$2,340. Please make the payment by a crossed cheque in Hong Kong dollar payable to "MPFA Administration Account" or such other electronic payment methods as provided by the MPFA from time to time.

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***Please staple your cheque here (Cheque no.: \_\_\_\_\_) and write down the following information of the applicant on the back of the cheque:***

- ☐ ***name***
  - ☐ ***day time contact number***
- 

#### 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 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 Mandatory Provident Fund Schemes Authority (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/corporation seeking to be a principal intermediary and/or an application for approval of an individual as a responsible officer and/or any other form of application 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 in the processing of or, as the case may be, 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;
  - (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 regulators 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 8, Tower 1, Kowloon Commerce Centre, 51 Kwai Cheong Road, Kwai Chung, Hong Kong.

## MANDATORY PROVIDENT FUND SCHEMES AUTHORITY (MPFA)

<b>Form INT-2</b> 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))

<b>Section I – PARTICULARS OF APPLICANT</b> (For Registration as a Subsidiary Intermediary)	
Name in English (same as HKID Card)	<div style="display: flex; justify-content: space-between;"> <div>_____</div> <div>_____</div> </div> <div style="display: flex; justify-content: space-between;"> <div>(Surname)</div> <div>(Other Names)</div> </div>
Name in Chinese (if any) (same as HKID Card)	<div style="display: flex; justify-content: space-between;"> <div>_____</div> <div>_____</div> </div> <div style="display: flex; justify-content: space-between;"> <div>(Surname)</div> <div>(Other Name)</div> </div>
Salutation	Mr/Miss/Mrs/Ms *(Please delete as appropriate)
HKID Card No.	_____ ( )
Residential Address	<div style="display: flex; justify-content: space-between;"> <div>_____</div> <div>_____</div> <div>_____</div> <div>_____</div> </div> <div style="display: flex; justify-content: space-between;"> <div>_____</div> <div>_____</div> </div> <div style="display: flex; justify-content: space-between;"> <div>(Flat/Room)</div> <div>(Floor)</div> <div>(Block)</div> <div>(Name of Building)</div> </div> <div style="display: flex; justify-content: space-between;"> <div>_____</div> <div>_____</div> </div> <div style="display: flex; justify-content: space-between;"> <div>(Number &amp; Name of Street)</div> <div>(District)</div> </div> <div style="text-align: center;">HK / KLN / NT *(Please delete as appropriate)</div> <div style="display: flex; justify-content: space-between;"> <div>_____</div> <div>_____</div> <div>_____</div> <div>_____</div> </div> <div style="display: flex; justify-content: space-between;"> <div>(Country)</div> <div>(City)</div> <div>(State)</div> <div>(Postal Code (if any))</div> </div>
Mobile Telephone No.	
Office Telephone No.	
Business Email Address	
Personal Email Address (optional)	

**Section II – QUALIFYING EXAMINATION**

Examination Body  
(Qualifying Examination)

- ☐ Vocational Training Council  
(Mandatory Provident Fund Schemes Examination)
- ☐ Hong Kong Securities and Investment Institute  
(MPF Intermediaries Examination)

(Please tick the appropriate box)

Date of Passing Examination (dd/mm/yyyy)

*Please ensure that you take and pass a qualifying examination specified by the MPFA within one year immediately before the date of application (1) if you have **not** been registered as an MPF intermediary for the past three years OR (2) if you have been registered as a subsidiary intermediary for the past three years, but your registration has been revoked and the last revocation is because of non-compliance of continuing training requirement.*

**Section III – QUALIFICATION(S) AS A TYPE B REGULATEE**

(Please tick **ALL** qualifications as a Type B regulatee which you **currently** possess.)

**Securities and Futures Commission Regime**

- ☐ Licensed Representative (Type 1 and/or Type 4)

**Hong Kong Monetary Authority Regime**

- ☐ Relevant Individual (including Executive Officer) (Type 1 and/or Type 4)

**Insurance Authority Regime**

- ☐ Licensed Long Term Individual Insurance Agent
- ☐ Licensed Long Term Technical Representative (Agent)
- ☐ Licensed Long Term Technical Representative (Broker)

**Section IV – FURTHER INFORMATION OF APPLICANT**

- Have any of your qualifications as a Type B regulatee, currently or formerly possessed by you, been revoked on disciplinary grounds as specified in s34K(1) of the MPFSO within one year immediately before the date of signing this application?  
Yes/No\*
- Do you have any of your qualifications as a Type B regulatee, that is currently possessed by you, currently suspended as specified in s34K(2) of the MPFSO?  
Yes/No\*
- Has your registration as an MPF registered intermediary (if any) ever been revoked by the MPFA under s34ZW(3)(a)(i) of the MPFSO within one year immediately before the date of signing this application?  
Yes/No\*
- Have you ever been disqualified by the MPFA under s34ZW(3)(a)(ii) of the MPFSO from being registered as an intermediary for carrying on regulated activities?  
Yes/No\*

\*(please delete as appropriate)

**Section V – DECLARATION**

I, the above-named applicant, hereby

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 s34ZI(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 s34ZI(1) of the MPFSO within seven working days after it occurs.

Name of Applicant ( <i>same as HKID Card</i> )	
Signature of Applicant	
Date of Signature <sup>1</sup>	

✦ **Warning:** Section 43E(1) of the MPFSO makes it an offence punishable with a maximum of one year's imprisonment and a fine of \$100,000 for the first occasion and two 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.

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<sup>1</sup> 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 and the Securities and Futures Commission (the three regulators), even if I do not possess any qualification capacity under all of the three regulators, 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 three regulators 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 and/or the three regulators 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 Continuing Professional Development activities 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 three regulators 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. <b>understand</b> 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 <sup>2</sup>	

**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 (applicable to registered principal intermediary only).
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	

<sup>2</sup> Please see *Explanatory Notes*.

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

★ **Warning:** Section 43E(1) of the MPFSO makes it an offence punishable with a maximum of one year's imprisonment and a fine of \$100,000 for the first occasion and two 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	

<sup>3</sup> 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 (MPFA) website - [www.mpfa.org.hk](http://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 one 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 three 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.
8. The total application fees are HK\$420 (HK\$290 for registration of a subsidiary intermediary and HK\$130 for approval of attachment of a subsidiary intermediary to a principal intermediary). Please make the payment by a crossed cheque in Hong Kong dollar payable to "MPFA Administration Account" or such other electronic payment methods as provided by the MPFA from time to time.

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***Please staple your cheque here (Cheque no.: \_\_\_\_\_) and write down the following information of the applicant on the back of the cheque:***

- ☐ ***name***
- ☐ ***day time contact number***

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#### **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 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 Mandatory Provident Fund Schemes Authority (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/corporation seeking to be a principal intermediary and/or an application for approval of an individual as a responsible officer and/or any other form of application 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 in the processing of or, as the case may be, 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;
  - (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 regulators 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 8, Tower 1, Kowloon Commerce Centre, 51 Kwai Cheong Road, Kwai Chung, Hong Kong.

## MANDATORY PROVIDENT FUND SCHEMES AUTHORITY (MPFA)

<b>Form INT-3</b> SI-Application (Ins. Agency)
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**Applications for Registration as a Subsidiary Intermediary  
 (by a Licensed 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))

<b>Section I – PARTICULARS OF APPLICANT</b> (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> <div>_____</div> <div>_____</div> <div>_____</div> <div>_____</div> </div> <div> <div>(Flat/Room)</div> <div>(Floor)</div> <div>(Block)</div> <div>(Name of Building)</div> </div> <div> <div>_____</div> <div>_____</div> </div> <div> <div>(Number &amp; Name of Street)</div> <div>(District)</div> </div> <div>HK / KLN / NT    *(Please delete as appropriate)</div>
Address of Registered Office <i>(if different from the Address of Principal Place of Business in Hong Kong)</i>	<div> <div>_____</div> <div>_____</div> <div>_____</div> <div>_____</div> </div> <div> <div>(Flat/Room)</div> <div>(Floor)</div> <div>(Block)</div> <div>(Name of Building)</div> </div> <div> <div>_____</div> <div>_____</div> </div> <div> <div>(Number &amp; Name of Street)</div> <div>(District)</div> </div> <div>HK / KLN / NT    *(Please delete as appropriate)</div>
Correspondence Address <i>(if different from the Address of Principal Place of Business in Hong Kong)</i>	<div> <div>_____</div> <div>_____</div> <div>_____</div> <div>_____</div> </div> <div> <div>(Flat/Room)</div> <div>(Floor)</div> <div>(Block)</div> <div>(Name of Building)</div> </div> <div> <div>_____</div> <div>_____</div> </div> <div> <div>(Number &amp; Name of Street)</div> <div>(District)</div> </div> <div>HK / KLN / NT    *(Please delete as appropriate)</div>
Telephone No.	
Fax No.	
Email Address	

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

## Section II – FURTHER INFORMATION OF APPLICANT

- (a) Is your corporation a Type B regulatee of an industry regulator (by being a licensed long term insurance agency) but not a Type A regulatee of an industry regulator?  
Yes/No\*
- (b) Have any of your corporation's qualifications as a Type B regulatee of any industry regulator, currently or formerly possessed by your corporation, been revoked on disciplinary grounds as specified in s34K(1) of the MPFSO within one year immediately before the date of signing this application?  
Yes/No\*
- (c) Do you have any of your corporation's qualifications as a Type B regulatee, that is currently possessed by your corporation, currently suspended as specified in s34K(2) of the MPFSO?  
Yes/No\*
- (d) Has your corporation's registration as an MPF registered intermediary (if any) ever been revoked by the MPFA under s34ZW(3)(a)(i) of the MPFSO within one year immediately before the date of signing this application?  
Yes/No\*
- (e) Has your corporation ever been disqualified by the MPFA under s34ZW(3)(a)(ii) of the MPFSO from being registered as an intermediary for carrying on regulated activities?  
Yes/No\*

\*( please delete as appropriate)

**Section III – DECLARATION**

We, the above-named applicant, hereby

1. **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. ✦
2. **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.
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. **declare** that the board of directors / the partnership has passed a resolution approving this application.
5. **understand** that s34ZI(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 s34ZI(1) of the MPFSO within seven working days after it occurs.

Name of Authorized Signatory (same as HKID Card) <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 <sup>1</sup>	1.	2.
Position held		
Date of Signature <sup>2</sup>		

✦ **Warning:** Section 43E(1) of the MPFSO makes it an offence punishable with a maximum of one year's imprisonment and a fine of \$100,000 for the first occasion and two 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.

<sup>1</sup> Please see *Explanatory Note 1* on the signing requirements.

<sup>2</sup> 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 and the Securities and Futures Commission (the three regulators), even if we do not possess any qualification capacity under all of the three regulators, 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 three regulators 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 and/or the three regulators 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 three regulators 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 <sup>3</sup>	1.	2.

<sup>3</sup> Please see *Explanatory Note 1* on the signing requirements.

Position held		
Date of Signature <sup>4</sup>		

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<sup>4</sup> 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 (applicable to registered principal intermediary only).
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 (same as HKID Card)  (Responsible Officer of / Person Authorized by the Principal Intermediary <b>OR</b> Person Authorized by the Corporation Seeking to be a Principal Intermediary*)  *(Please delete as appropriate)	
Position held	
Authorized Signature <sup>5</sup>	
Date of Signature <sup>6</sup>	

✦ **Warning:** Section 43E(1) of the MPFSO makes it an offence punishable with a maximum of one year's imprisonment and a fine of \$100,000 for the first occasion and two 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.

<sup>5</sup> Please see *Explanatory Note 1* on the signing requirements

<sup>6</sup> 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 a Licensed 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 (MPFA) website - [www.mpfa.org.hk](http://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 a licensed 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.
8. The total application fees are HK\$420 (HK\$290 for registration of a subsidiary intermediary and HK\$130 for approval of attachment of a subsidiary intermediary to a principal intermediary). Please make the payment by a crossed cheque in Hong Kong dollar payable to "MPFA Administration Account" or such other electronic payment methods as provided by the MPFA from time to time.

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***Please staple your cheque here (Cheque no.: \_\_\_\_\_) and write down the following information of the applicant on the back of the cheque:***

- ☐ ***name***
  - ☐ ***day time contact number***
- 

#### 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 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 Mandatory Provident Fund Schemes Authority (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/corporation seeking to be a principal intermediary and/or an application for approval of an individual as a responsible officer and/or any other form of application 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 in the processing of or, as the case may be, 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;
  - (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 regulators 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 8, Tower 1, Kowloon Commerce Centre, 51 Kwai Cheong Road, Kwai Chung, 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 A RESPONSIBLE OFFICER	
Name in English (same as HKID Card)	<div> <div></div> <div></div> </div> <div> <div>(Surname)</div> <div>(Other Names)</div> </div>
Name in Chinese (if any) (same as HKID Card)	<div> <div></div> <div></div> </div> <div> <div>(Surname)</div> <div>(Other Name)</div> </div>
HKID Card No.	<div></div> <div>( )</div>
Office Address (English) (if different from the Address of Principal Place of Business of the Principal Intermediary)	<div> <div></div> <div></div> <div></div> <div></div> </div> <div> <div>(Flat/Room)</div> <div>(Floor)</div> <div>(Block)</div> <div>(Name of Building)</div> </div> <div> <div></div> <div></div> </div> <div> <div>(Number &amp; Name of Street)</div> <div>(District)</div> </div> <div>HK / KLN / NT *(Please delete as appropriate)</div>
Office Address (Chinese) (if different from the Address of Principal Place of Business of the Principal Intermediary)	<div> <div></div> <div></div> <div></div> <div></div> </div> <div> <div>(Flat/Room)</div> <div>(Floor)</div> <div>(Block)</div> <div>(Name of Building)</div> </div> <div> <div></div> <div></div> </div> <div> <div>(Number &amp; Name of Street)</div> <div>(District)</div> </div> <div>HK / KLN / NT *(Please delete as appropriate)</div>
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 4A 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 in other regulatory regimes (the Securities and Futures Commission, the Hong Kong Monetary Authority and the Insurance Authority)?

- ☐ No
- ☐ Yes, please specify: \_\_\_\_\_

## **Section II – JOB RESPONSIBILITIES OF INDIVIDUAL TO ACT AS A 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 THE 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 s34I(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 one year immediately before the date of signing this application, the individual has not had an approval as a responsible officer revoked under s34ZW(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 s34ZW(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 (same as HKID Card)  (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.)	
Capacity	Sole Proprietor / Partner / Director * *(Please delete as appropriate)
Authorized Signature	
Date of Signature <sup>1</sup>	

✦ **Warning:** Section 43E(1) of the MPFSO makes it an offence punishable with a maximum of one year's imprisonment and a fine of \$100,000 for the first occasion and two 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.

<sup>1</sup> Please see *Explanatory Notes*.

## Section V – DECLARATION OF INDIVIDUAL TO ACT AS A 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 seven working days of the change.

Name of Individual ( <i>same as HKID Card</i> )	
Signature of Individual	
Date of Signature <sup>2</sup>	

★ **Warning:** Section 43E(1) of the MPFSO makes it an offence punishable with a maximum of one year's imprisonment and a fine of \$100,000 for the first occasion and two 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 Approval		
Input Officer		Checking Officer		Approving Officer	

<sup>2</sup> 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 Mandatory Provident Fund Schemes Authority (MPFA) website - [www.mpfa.org.hk](http://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.
6. The application fee is HK\$660. Please make the payment by a crossed cheque in Hong Kong dollar payable to "MPFA Administration Account" or such other electronic payment methods as provided by the MPFA from time to time.

---

***Please staple your cheque here (Cheque no.: \_\_\_\_\_) and write down the following information of the applicant on the back of the cheque:***

- ☐ ***name***
- ☐ ***day time contact number***

---

#### 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 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 Mandatory Provident Fund Schemes Authority (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/corporation seeking to be a principal intermediary and/or an application for approval of an individual as a responsible officer and/or any other form of application 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 in the processing of or, as the case may be, 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;
  - (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 regulators 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 8, Tower 1, Kowloon Commerce Centre, 51 Kwai Cheong Road, Kwai Chung, Hong Kong.

## MANDATORY PROVIDENT FUND SCHEMES AUTHORITY (MPFA)

**Form INT-5**  
 Change  
 Attachment

**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.:

<b>Section I – SUBSIDIARY INTERMEDIARIES (INDIVIDUALS) WHO CEASE TO BE ATTACHED TO THE PRINCIPAL INTERMEDIARY</b> <i>(If there is insufficient space, please continue on a separate sheet.)</i>					
No.	Name <i>(same as HKID Card for individuals)</i> <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)<sup>1</sup>. 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>	Responsible Officer (Yes /No)
	Surname	Other Names			
<b>Total number of subsidiary intermediaries who cease to be attached</b>					

<sup>1</sup> Please refer to *Explanatory Note 1*.



**Section II – SUBSIDIARY INTERMEDIARIES (LICENSED 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 (in alphabetical order)	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)<sup>2</sup>. 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>
<b>Total number of subsidiary intermediaries which cease to be attached</b>			

<sup>2</sup> Please refer to *Explanatory Note 1*.

**Section III – SUBSIDIARY INTERMEDIARIES (INDIVIDUALS) TO BE ATTACHED TO THE PRINCIPAL INTERMEDIARY<sup>3</sup>***(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 <sup>4</sup>	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			
<b>Total number of subsidiary intermediaries to be attached</b>					

**Section IV – SUBSIDIARY INTERMEDIARIES (LICENSED LONG TERM INSURANCE AGENCIES) TO BE ATTACHED TO THE PRINCIPAL INTERMEDIARY<sup>3</sup>***(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 <sup>4</sup>
<b>Total number of subsidiary intermediaries to be attached</b>			

<sup>3</sup> 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.

<sup>4</sup> Please refer to *Explanatory Note 2*.

## Section V – DECLARATION BY PRINCIPAL INTERMEDIARY / CORPORATION SEEKING TO BE A 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 (applicable to registered principal intermediary only).

(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 ( <i>same as HKID Card</i> ) (Responsible Officer of / Person Authorized by, the Principal Intermediary; Person Authorized by the Corporation Seeking to be a Principal Intermediary; <b>AND/OR</b> Sole-proprietor / Partner / Director authorized by the Principal Intermediary in the situation where <u>one or more responsible officer(s) cease(s) to be</u> <u>attached to the Principal Intermediary</u> )* <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 one year's imprisonment and a fine of \$100,000 for the first occasion and two 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 Mandatory Provident Fund Schemes Authority (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 / Corporation seeking to be a Principal Intermediary for the purpose of carrying on regulated activities.
2. Please read the *Handbook on MPF Intermediary Registration* (available at the MPFA website - [www.mpfa.org.hk](http://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.
6. For application for approval of attachment of a subsidiary intermediary to a principal intermediary, the application fee for each application in respect of each of the subsidiary intermediaries named in sections III and IV of this Form is HK\$130. Please make the payment by a crossed cheque in Hong Kong dollar payable to "MPFA Administration Account" or such other electronic payment methods as provided by the MPFA from time to time.
7. No fee is currently charged for notification of a principal intermediary's withdrawal of consent to a subsidiary intermediary.

---

***Please staple your cheque here (Cheque no.: \_\_\_\_\_) and write down the following information of the applicant on the back of the cheque:***

- ☐ ***name***
  - ☐ ***day time contact number***
-

**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. Please provide information on all Type B qualifications which the subsidiary intermediary currently possesses.

Sections III and IV must be completed by using the following code(s):

<b>Regime</b>	<b>Code</b>
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	
Licensed Long Term Individual Insurance Agent	LAP
Licensed Long Term Insurance Agency	LAC
Licensed Long Term Technical Representative (Agent)	TRA
Licensed Long Term Technical Representative (Broker)	TRB

## Personal Information Collection Statement

This Personal Information Collection Statement 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 Mandatory Provident Fund Schemes Authority (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 approval of attachment of a subsidiary intermediary to a principal intermediary/corporation seeking to be a principal intermediary and/or notification of principal intermediary's withdrawal of consent to a subsidiary intermediary 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 in the processing of or, as the case may be, refusal of your application or notification, 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;
  - (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 regulators 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 8, Tower 1, Kowloon Commerce Centre, 51 Kwai Cheong Road, Kwai Chung, Hong Kong.

**MANDATORY PROVIDENT FUND SCHEMES AUTHORITY (MPFA)**  
**Notification of Principal Intermediary's Withdrawal of Consent to a Subsidiary Intermediary**  
**(eForm to be Completed by Principal Intermediary)**  
 (under section 34ZG(2) of the Mandatory Provident Fund Schemes Ordinance (Cap 485) (MPFSO))

eForm INT-5B  
Attachment Cessation

Notes on Completion of this eForm

Personal Information Collection Statement

Name of principal intermediary:

MPF registration no.:

Section I

[SI (Individuals)]

Section II

[SI (Licensed Long Term  
Insurance Agencies)]

Section III

[Declaration  
by PI]

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

	Del.	eForm No.	Name (Same as HKID card for individuals)		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). 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 (Please tick the box if the subsidiary intermediary is the responsible officer of your corporation.)
			Surname	Other Names			
1	<input type="checkbox"/>				<input type="text"/>	<input type="text"/>	<input type="checkbox"/>
2	<input type="checkbox"/>				<input type="text"/>	<input type="text"/>	<input type="checkbox"/>
3	<input type="checkbox"/>				<input type="text"/>	<input type="text"/>	<input type="checkbox"/>
4	<input type="checkbox"/>				<input type="text"/>	<input type="text"/>	<input type="checkbox"/>
5	<input type="checkbox"/>				<input type="text"/>	<input type="text"/>	<input type="checkbox"/>
6	<input type="checkbox"/>				<input type="text"/>	<input type="text"/>	<input type="checkbox"/>
7	<input type="checkbox"/>				<input type="text"/>	<input type="text"/>	<input type="checkbox"/>
8	<input type="checkbox"/>				<input type="text"/>	<input type="text"/>	<input type="checkbox"/>
9	<input type="checkbox"/>				<input type="text"/>	<input type="text"/>	<input type="checkbox"/>
10	<input type="checkbox"/>				<input type="text"/>	<input type="text"/>	<input type="checkbox"/>



11	<input type="checkbox"/>				<input type="text"/>		<input type="text"/>			<input type="checkbox"/>
12	<input type="checkbox"/>				<input type="text"/>		<input type="text"/>			<input type="checkbox"/>
13	<input type="checkbox"/>				<input type="text"/>		<input type="text"/>			<input type="checkbox"/>
14	<input type="checkbox"/>				<input type="text"/>		<input type="text"/>			<input type="checkbox"/>
15	<input type="checkbox"/>				<input type="text"/>		<input type="text"/>			<input type="checkbox"/>
16	<input type="checkbox"/>				<input type="text"/>		<input type="text"/>			<input type="checkbox"/>
17	<input type="checkbox"/>				<input type="text"/>		<input type="text"/>			<input type="checkbox"/>
18	<input type="checkbox"/>				<input type="text"/>		<input type="text"/>			<input type="checkbox"/>
19	<input type="checkbox"/>				<input type="text"/>		<input type="text"/>			<input type="checkbox"/>
20	<input type="checkbox"/>				<input type="text"/>		<input type="text"/>			<input type="checkbox"/>
Total number of subsidiary intermediaries who cease to be attached										

Date of notification submitted to the MPFA

Save Back

**MANDATORY PROVIDENT FUND SCHEMES AUTHORITY (MPFA)**  
**Notification of Principal Intermediary's Withdrawal of Consent to a Subsidiary Intermediary**  
**(eForm to be Completed by Principal Intermediary)**  
 (under section 34ZG(2) of the Mandatory Provident Fund Schemes Ordinance (Cap 485) (MPFSO))

eForm INT-5B  
Attachment Cessation

Notes on Completion of this eForm

Personal Information Collection Statement

Name of principal intermediary:

MPF registration no.:

Section I

[SI (Individuals)]

Section II

[SI (Licensed Long Term  
Insurance Agencies)]

Section III

[Declaration  
by PI] ✓

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**Section II - SUBSIDIARY INTERMEDIARIES (LICENSED LONG TERM INSURANCE AGENCIES) WHO CEASE TO BE ATTACHED TO THE PRINCIPAL INTERMEDIARY**

	Del.	eForm No.	Name	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). 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.)	
1	<input type="checkbox"/>					
2	<input type="checkbox"/>					
3	<input type="checkbox"/>					
4	<input type="checkbox"/>					
5	<input type="checkbox"/>					
6	<input type="checkbox"/>					
7	<input type="checkbox"/>					
8	<input type="checkbox"/>					
9	<input type="checkbox"/>					
10	<input type="checkbox"/>					

11	<input type="checkbox"/>						
12	<input type="checkbox"/>						
13	<input type="checkbox"/>						
14	<input type="checkbox"/>						
15	<input type="checkbox"/>						
16	<input type="checkbox"/>						
17	<input type="checkbox"/>						
18	<input type="checkbox"/>						
19	<input type="checkbox"/>						
20	<input type="checkbox"/>						
Total number of subsidiary intermediaries which cease to be attached							

Date of notification submitted to the MPFA

 Save

 Back

**MANDATORY PROVIDENT FUND SCHEMES AUTHORITY (MPFA)**  
**Notification of Principal Intermediary's Withdrawal of Consent to a Subsidiary Intermediary**  
**(eForm to be Completed by Principal Intermediary)**  
(under section 34ZG(2) of the Mandatory Provident Fund Schemes Ordinance (Cap 485) (MPFSO))

eForm INT-5B  
Attachment Cessation

[Notes on Completion of this eForm](#)[Personal Information Collection Statement](#)

Name of principal intermediary:

MPF registration no.:


Section I

[SI (Individuals)]

Section II

[SI (Licensed Long Term  
Insurance Agencies)]

Section III

[Declaration  
by PI] [Click here to download the Excel template for import](#) Import**Section III - DECLARATION BY PRINCIPAL INTERMEDIARY**

1. We, , 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. We **certify** that we have read the **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.
  3. We **declare** that to the best of our knowledge and belief, the information given in this eForm (including 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 this eForm.
- ☐ We have read and understood each of the above statements in this Section III.

Name of person authorized by the principal intermediary for completing and submitting this notification  
(Same as HKID card)

Responsible officer ☐ Yes ☐ No

☐ Sole-proprietor / Partner / Director in the situation where one or more responsible officer(s) cease(s) to be attached to the principal intermediary

Position of this authorized person

<div></div>
<div></div>
<div></div>

⚡**Warning:** Section 43E(1) of the MPFSO makes it an offence punishable with a maximum of one year's imprisonment and a fine of \$100,000 for the first occasion and two 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.

Date of notification submitted to the MPFA

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 **Save**  **Back**



### Notes on Completion of this eForm

1. This eForm is to be completed by a principal intermediary to notify the Mandatory Provident Fund Schemes Authority (MPFA) of withdrawal of its consent to a subsidiary intermediary for carrying on regulated activities for the principal intermediary.
2. Please read the *Handbook on MPF Intermediary Registration* (available at the MPFA website - [www.mpfa.org.hk](http://www.mpfa.org.hk)) and the [Personal Information Collection Statement](#) before completing this eForm.
3. Please note that the MPFA may require further information and/or documentary evidence in support of the withdrawal of consent to a subsidiary intermediary.
4. Please also note that some of the information provided in the notification may appear in a public register of intermediaries for regulated activities.
5. No fee is currently charged for notification of a principal intermediary's withdrawal of consent to a subsidiary intermediary.

## Personal Information Collection Statement

This Personal Information Collection Statement 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 Mandatory Provident Fund Schemes Authority (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 approval of attachment of a subsidiary intermediary to a principal intermediary/corporation seeking to be a principal intermediary and/or notification of principal intermediary's withdrawal of consent to a subsidiary intermediary 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 in the processing of or, as the case may be, refusal of your application or notification, 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;
  - (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 regulators 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 8, Tower 1, Kowloon Commerce Centre, 51 Kwai Cheong Road, Kwai Chung, Hong Kong.

## MANDATORY PROVIDENT FUND SCHEMES AUTHORITY (MPFA)

## Notification of Change of Information by a Principal Intermediary

<b>Form INT-6</b> PI-Change Particulars
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Name of Principal Intermediary: \_\_\_\_\_

MPF Registration No.: \_\_\_\_\_

(Please complete items with changes only.)

Section I – CHANGE OF PRINCIPAL INTERMEDIARY INFORMATION		
	New Particulars	Effective Date
Name in English		
Name in Chinese (if any)		
Address of Principal Place of Business in Hong Kong (English)	<div> <div>_____</div> <div>_____</div> <div>_____</div> <div>_____</div> </div> <div> <div>(Flat/Room)</div> <div>(Floor)</div> <div>(Block)</div> <div>(Name of Building)</div> </div> <div> <div>_____</div> <div>_____</div> </div> <div> <div>(Number &amp; Name of Street)</div> <div>(District)</div> </div> <div> <div>HK / KLN / NT</div> <div>*(Please delete as appropriate)</div> </div>	
Address of Principal Place of Business in Hong Kong (Chinese)	<div> <div>_____</div> <div>_____</div> <div>_____</div> <div>_____</div> </div> <div> <div>(Flat/Room)</div> <div>(Floor)</div> <div>(Block)</div> <div>(Name of Building)</div> </div> <div> <div>_____</div> <div>_____</div> </div> <div> <div>(Number &amp; Name of Street)</div> <div>(District)</div> </div> <div> <div>HK / KLN / NT</div> <div>*(Please delete as appropriate)</div> </div>	
Address of Registered Office	<div> <div>_____</div> <div>_____</div> <div>_____</div> <div>_____</div> </div> <div> <div>(Flat/Room)</div> <div>(Floor)</div> <div>(Block)</div> <div>(Name of Building)</div> </div> <div> <div>_____</div> <div>_____</div> </div> <div> <div>(Number &amp; Name of Street)</div> <div>(District)</div> </div> <div> <div>HK / KLN / NT</div> <div>*(Please delete as appropriate)</div> </div>	

	New Particulars	Effective Date
Correspondence Address	<div> <div>_____</div> <div>_____</div> <div>_____</div> <div>_____</div> </div> <div> <div>(Flat/Room)</div> <div>(Floor)</div> <div>(Block)</div> <div>(Name of Building)</div> </div> <div> <div>_____</div> <div>_____</div> </div> <div> <div>(Number &amp; Name of Street)</div> <div>(District)</div> </div> <div>HK / KLN / NT *(Please delete as appropriate)</div>	
Telephone No.		
Fax No.		
Email Address		
Responsible Officer (only changes of personal particulars to be notified)	Name of Responsible Officer: _____ MPF Registration No.: _____ Office Address (English): <div> <div>_____</div> <div>_____</div> <div>_____</div> <div>_____</div> </div> <div> <div>(Flat/Room)</div> <div>(Floor)</div> <div>(Block)</div> <div>(Name of Building)</div> </div> <div> <div>_____</div> <div>_____</div> </div> <div> <div>(Number &amp; Name of Street)</div> <div>(District)</div> </div> <div>HK/ KLN / N T *(Please delete as appropriate)</div> Office Address (Chinese): <div> <div>_____</div> <div>_____</div> <div>_____</div> <div>_____</div> </div> <div> <div>(Flat/Room)</div> <div>(Floor)</div> <div>(Block)</div> <div>(Name of Building)</div> </div> <div> <div>_____</div> <div>_____</div> </div> <div> <div>(Number &amp; Name of Street)</div> <div>(District)</div> </div> <div>HK/ KLN / NT *(Please delete as appropriate)</div> Position held in Principal Intermediary: _____	
Compliance Officer (Same as HKID card)	<div> <div>(English)</div> <div>(Chinese)(if any)</div> </div> <div> <div>_____</div> <div>_____</div> <div>_____</div> <div>_____</div> </div> <div> <div>(Surname)</div> <div>(Other Names)</div> <div>(Surname)</div> <div>(Other Name)</div> </div> Position held in Principal Intermediary: _____  Telephone No.: _____	

	New Particulars	Effective Date
Compliance Officer	Fax No.: _____  Email Address: _____	
Contact Person <i>(Same as HKID card)</i>	<div style="display: flex; justify-content: space-between;"> <span>(English)</span> <span>(Chinese)(if any)</span> </div> <div style="display: flex; justify-content: space-between; margin-top: 10px;"> <div style="width: 45%;">           _____  <i>(Surname)</i> </div> <div style="width: 45%;">           _____  <i>(Other Names)</i> </div> </div> <div style="display: flex; justify-content: space-between; margin-top: 10px;"> <div style="width: 45%;">           _____  <i>(Surname)</i> </div> <div style="width: 45%;">           _____  <i>(Other Name)</i> </div> </div> Office Address:  <div style="display: flex; justify-content: space-between; margin-top: 10px;"> <div style="width: 25%;">           _____  <i>(Flat/Room)</i> </div> <div style="width: 15%;">           _____  <i>(Floor)</i> </div> <div style="width: 15%;">           _____  <i>(Block)</i> </div> <div style="width: 45%;">           _____  <i>(Name of Building)</i> </div> </div> <div style="display: flex; justify-content: space-between; margin-top: 10px;"> <div style="width: 60%;">           _____  <i>(Number &amp; Name of Street)</i> </div> <div style="width: 40%;">           _____  <i>(District)</i> </div> </div> <i>HK / KLN / NT* (Please delete as appropriate)</i>  Position held in Principal Intermediary: _____  Telephone No.: _____  Fax No.: _____  Email Address: _____	
Qualification as a Type A Regulatee After Change <sup>1</sup>	<input type="checkbox"/> New qualification(s) acquired Please specify the qualification code(s):	<i>Date of Acquisition</i>
	<input type="checkbox"/> Qualification(s) ceased Please specify the qualification code(s):	<i>Date of Cessation</i>
	<input type="checkbox"/> Qualification(s) suspended Please specify the qualification code(s):	<i>Period of Suspension</i>

<sup>1</sup> Please see *Explanatory Note 1*.

**Section II(a) – CESSATION TO CARRY ON REGULATED ACTIVITY BY PRINCIPAL INTERMEDIARY**☐ Yes

Effective Date:

**Section II(b) – CONSENT TO MPFA TO REVOKE OUR REGISTRATION AS A PRINCIPAL INTERMEDIARY**☐ Yes**Section III – RESPONSIBLE OFFICER CEASING TO BE AN OFFICER WITH SPECIFIED RESPONSIBILITIES**

*(If a responsible officer continues to remain as a subsidiary intermediary of the principal intermediary after ceasing to be an officer with specified responsibilities, please complete this Section. If the responsible officer also ceases to be a subsidiary intermediary of the principal intermediary, please only complete Sections I & V of Form INT-5 (Change Attachment).)*

Name of Responsible Officer  
(same as HKID Card)

MPF Registration No.

Effective Date of Cessation

**Section IV – DECLARATION**

1. 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.
2. We **declare** that to the best of our knowledge and belief the information given in this Form (including all supporting documents) is correct and complete.✦
3. 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.

Name of Responsible Officer authorized by the  
Principal Intermediary **OR**

Sole-proprietor, Partner or Director authorized  
by the Principal Intermediary in the situation,  
where a responsible officer ceases to be an  
officer with specified responsibilities

(same as HKID Card)

Authorized Signature

(Responsible Officer / Sole-proprietor / Partner /  
Director)\*

\*(Please delete as appropriate)

Date of Signature<sup>2</sup>

<sup>2</sup> Please see *Explanatory Note 4*.

- ✦ **Warning:** Section 43E(1) of the Mandatory Provident Fund Scheme Ordinance makes it an offence punishable with a maximum of one year's imprisonment and a fine of \$100,000 for the first occasion and two 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					
Notification No.					
Receipt Date			Date of Updating		
Input Officer		Checking Officer		Approving Officer	

## MANDATORY PROVIDENT FUND SCHEMES AUTHORITY

### Notification of Change of Information by a Principal Intermediary

#### Notes on Completion of this Form

1. This Form is to be used by a principal intermediary for notifying the Mandatory Provident Fund Schemes Authority (MPFA) of any cessation, change, acquisition or suspension as specified in s34ZE(1) of the Mandatory Provident Fund Scheme Ordinance (MPFSO) within seven working days after it occurs as required under s34ZE(2). A person, who, without reasonable excuse, contravenes the aforesaid s34ZE(2) of the MPFSO commits an offence. This form is also to be used by a principal intermediary for notifying the MPFA of any change in other particulars or information previously supplied to the MPFA in connection with an application for registration as a principal intermediary and for approval of responsible officer(s).
2. Please read the *Handbook on MPF Intermediary Registration* (available at the MPFA website - [www.mpfa.org.hk](http://www.mpfa.org.hk)) and the *Personal Information Collection Statement* below before completing this Form.
3. In the case of reporting a change in name, please provide a copy of relevant documentary evidence, such as Certificate of Change of Name. For reporting a change of principal place of business, please provide a copy of Business Registration Certificate or other supporting documents.
4. Please initial any amendments made in this Form.
5. Please note that the MPFA may require further documentary evidence in support of the notification of change(s), when necessary.
6. Please also note that some of the information provided in this notification may appear in a public register of intermediaries for regulated activities.

#### Explanatory Notes

1. Section I must be completed by writing down the following code(s) when there is a change in the following “**qualifications as a Type A regulatee**” with the relevant regulators.
2. When your corporation has already had the qualification to conduct Type 1 **or** Type 4 regulated activity under the regime of the Securities and Futures Commission or the Hong Kong Monetary Authority, simply acquiring the **other** Type 4 or Type 1 licence/registration under the same regime is **not** required to notify the MPFA.
3. When your corporation has already had the qualification to conduct both Type 1 **and** Type 4 regulated activities under the regime of the Securities and Futures Commission or the Hong Kong Monetary Authority, your corporation is **only** required to notify the MPFA if the licence/registration in relation to both Type 1 **and** Type 4 regulated activities under the same regime is suspended or revoked.

Regime	Code
Securities and Futures Commission Regime	
Licensed Corporation (Type 1 and/or Type 4)	LC
Hong Kong Monetary Authority Regime	
Authorized Financial Institution (Type 1 and/or Type 4)	AFI
Insurance Authority Regime	
Authorized Long Term Insurer	IC
Licensed Long Term Insurance Broker Company	IB

4. The date of signature is **not** the date of notification of change(s). The date of notification of change(s) is, in general, the date on which the MPFA **receives** this form.

## Personal Information Collection Statement

This Personal Information Collection Statement 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 Mandatory Provident Fund Schemes Authority (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 your notification of change of information 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 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 in the processing of your notification, 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;
  - (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 regulators 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 8, Tower 1, Kowloon Commerce Centre, 51 Kwai Cheong Road, Kwai Chung, Hong Kong.

MANDATORY PROVIDENT FUND SCHEMES AUTHORITY (MPFA)  
Notification of Change of Information by a Principal Intermediary

eForm INT-6  
PI-Change  
Particulars

Notes on Completion of this eForm

Personal Information Collection Statement

Name of Principal Intermediary	
MPF Registration No.	

Section I - CHANGE OF PRINCIPAL INTERMEDIARY INFORMATION	Section II - CESSATION TO CARRY ON REGULATED ACTIVITY BY PRINCIPAL INTERMEDIARY	Section III - RESPONSIBLE OFFICER CEASING TO BE AN OFFICER WITH SPECIFIED RESPONSIBILITIES +
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Basic Information	Responsible Officer	Compliance Officer	Contact Person	Qualification as a Type A Regulatee After Change	
New Particulars					Effective Date
Name in English	<input type="text"/>			<input type="text"/>	<div><div>✓</div><div>✕</div></div>
Name in Chinese (if any)	<input type="text"/>			<input type="text"/>	<div><div>✓</div><div>✕</div></div>

Address of Principal Place of Business in Hong Kong (English)	<div> <div>(Flat/Room)</div> <div>(Floor)</div> <div>(Block)</div> <div>(Name of Building)</div> </div> <div> <div>(Number &amp; Name of Street)</div> <div>(District)</div> </div> <div> <input type="radio"/> HONG KONG           <input type="radio"/> KOWLOON           <input type="radio"/> NEW TERRITORIES         </div> <div> <div>(Flat/Room)</div> <div>(Floor)</div> <div>(Block)</div> <div>(Name of Building)</div> </div> <div> <div>(Number &amp; Name of Street)</div> <div>(District)</div> </div> <div> <input type="radio"/> HONG KONG           <input type="radio"/> KOWLOON           <input type="radio"/> NEW TERRITORIES         </div>		<div> <input checked="" type="checkbox"/> <input type="checkbox"/> </div> <div> <input checked="" type="checkbox"/> <input type="checkbox"/> </div>
Address of Principal Place of Business in Hong Kong (Chinese)	<div> <input type="radio"/> 香港           <input type="radio"/> 九龍           <input type="radio"/> 新界         </div> <div>(District)</div> <div>(Number &amp; Name of Street)</div> <div> <div>(Name of Building)</div> <div>(Block)</div> <div>(Floor)</div> <div>(Flat/Room)</div> </div> <div> <input type="radio"/> 香港           <input type="radio"/> 九龍           <input type="radio"/> 新界         </div> <div>(District)</div> <div>(Number &amp; Name of Street)</div> <div> <div>(Name of Building)</div> <div>(Block)</div> <div>(Floor)</div> <div>(Flat/Room)</div> </div>	<div> <input type="text"/> </div>	<div> <input checked="" type="checkbox"/> <input type="checkbox"/> </div> <div> <input checked="" type="checkbox"/> <input type="checkbox"/> </div>
Address of Registered Office	<div> <div>(Flat/Room)</div> <div>(Floor)</div> <div>(Block)</div> <div>(Name of Building)</div> </div> <div> <div>(Number &amp; Name of Street)</div> <div>(District)</div> </div> <div> <input type="radio"/> HONG KONG           <input type="radio"/> KOWLOON           <input type="radio"/> NEW TERRITORIES         </div> <div> <input checked="" type="radio"/> English Format           <input type="radio"/> Chinese Format         </div> <div> <div>(Flat/Room)</div> <div>(Floor)</div> <div>(Block)</div> <div>(Name of Building)</div> </div> <div> <div>(Number &amp; Name of Street)</div> <div>(District)</div> </div> <div> <input type="radio"/> HONG KONG           <input type="radio"/> KOWLOON           <input type="radio"/> NEW TERRITORIES         </div>	<div> <input type="text"/> </div>	<div> <input checked="" type="checkbox"/> <input type="checkbox"/> </div> <div> <input checked="" type="checkbox"/> <input type="checkbox"/> </div>

Correspondence Address	_____ <small>(Flat/Room)</small>	_____ <small>(Floor)</small>	_____ <small>(Block)</small>	_____ <small>(Name of Building)</small>		
	_____ <small>(Number &amp; Name of Street)</small>		_____ <small>(District)</small>			
	<input type="radio"/> HONG KONG <input type="radio"/> KOWLOON <input type="radio"/> NEW TERRITORIES					
	<input checked="" type="radio"/> English Format <input type="radio"/> Chinese Format					
	_____ <small>(Flat/Room)</small>	_____ <small>(Floor)</small>	_____ <small>(Block)</small>	_____ <small>(Name of Building)</small>		
	_____ <small>(Number &amp; Name of Street)</small>		_____ <small>(District)</small>			
	<input type="radio"/> HONG KONG <input type="radio"/> KOWLOON <input type="radio"/> NEW TERRITORIES					
Telephone No.	_____ _____				_____ <small>(Effective Date)</small>	<input checked="" type="checkbox"/> <input type="checkbox"/>
Fax No.	_____ _____				_____ <small>(Effective Date)</small>	<input checked="" type="checkbox"/> <input type="checkbox"/>
Email Address	_____ _____				_____ <small>(Effective Date)</small>	<input checked="" type="checkbox"/> <input type="checkbox"/>
Re-input Email Address	_____ _____				_____ <small>(Effective Date)</small>	<input checked="" type="checkbox"/> <input type="checkbox"/>

**Legend**

 Edit
  Confirm
  Abort Change
  Select Effective Date
  Upload Supporting Documents
  View File

 Save as Draft

 Next

(Click "Next" to go to Section IV Declaration)

Section I - CHANGE OF PRINCIPAL INTERMEDIARY INFORMATION		Section II - CESSATION TO CARRY ON REGULATED ACTIVITY BY PRINCIPAL INTERMEDIARY		Section III - RESPONSIBLE OFFICER CESSATING TO BE AN OFFICER WITH SPECIFIED RESPONSIBILITIES ▴	
Basic Information	Responsible Officer	Compliance Officer	Contact Person	Qualification as a Type A Regulatee After Change	
Name of Responsible Officer		<input type="text"/>			
MPF Registration No.		<input type="text"/>			
New Particulars				Effective Date	
Office Address (English)	<div> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> </div> <div> <small>(Flat/Room)</small> <small>(Floor)</small> <small>(Block)</small> <small>(Name of Building)</small> </div>				
	<div> <input type="text"/> <input type="text"/> </div> <div> <small>(Number &amp; Name of Street)</small> <small>(District)</small> </div>				
	<input type="radio"/> HONG KONG <input type="radio"/> KOWLOON <input type="radio"/> NEW TERRITORIES				
	<div> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> </div> <div> <small>(Flat/Room)</small> <small>(Floor)</small> <small>(Block)</small> <small>(Name of Building)</small> </div>				
Office Address (Chinese)	<div> <input type="text"/> <input type="text"/> </div> <div> <small>(Number &amp; Name of Street)</small> <small>(District)</small> </div>				
	<input type="radio"/> 香港 <input type="radio"/> 九龍 <input type="radio"/> 新界				
	<div> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> </div> <div> <small>(Name of Building)</small> <small>(Block)</small> <small>(Floor)</small> <small>(Flat/Room)</small> </div>				
	<div> <input type="text"/> <input type="text"/> </div> <div> <small>(Number &amp; Name of Street)</small> <small>(District)</small> </div>				
				<input type="text"/> <input type="text"/>	<input type="text"/> <input type="text"/>

Position held in Principal Intermediary






Legend

-  Edit
-  Confirm
-  Abort Change
-  Select Effective Date
-  Upload Supporting Documents
-  View File







 Save as Draft



 Next

(Click "Next" to go to Section IV Declaration)

Section I - CHANGE OF PRINCIPAL INTERMEDIARY INFORMATION		Section II - CESSATION TO CARRY ON REGULATED ACTIVITY BY PRINCIPAL INTERMEDIARY		Section III - RESPONSIBLE OFFICER CEASING TO BE AN OFFICER WITH SPECIFIED RESPONSIBILITIES ▴	
Basic Information		Responsible Officer		Compliance Officer	
Contact Person		Qualification as a Type A Regulatee After Change			
New Particulars				Effective Date	
Name (Same as HKID Card)	(English)		(Chinese) (if any)		
	(Surname)	(Other Names)	(Surname)	(Other Name)	
	(English)		(Chinese)		
	(Surname)	(Other Names)	(Surname)	(Other Name)	
Position held in Principal Intermediary					<div> <input type="text"/>  <div>   </div> </div>
Telephone No.					
Fax No.					
Email Address					
Re-input Email Address					




**Legend**

 Edit
  Confirm
  Abort Change
  Select Effective Date
  Upload Supporting Documents
  View File

 Save as Draft
  Next

(Click "Next" to go to Section IV Declaration)



Section I - CHANGE OF PRINCIPAL INTERMEDIARY INFORMATION		Section II - CESSATION TO CARRY ON REGULATED ACTIVITY BY PRINCIPAL INTERMEDIARY		Section III - RESPONSIBLE OFFICER CESSING TO BE AN OFFICER WITH SPECIFIED RESPONSIBILITIES +	
Basic Information	Responsible Officer	Compliance Officer	Contact Person	Qualification as a Type A Regulatee After Change	
New Particulars				Effective Date	
Name (Same as HKID Card)	(English)		(Chinese) (if any)		
	(Surname)	(Other Names)	(Surname)	(Other Name)	
Office Address	(English)		(Chinese)		<input type="text"/> 
	(Surname)	(Other Names)	(Surname)	(Other Name)	
	(Flat/Room)	(Floor)	(Block)	(Name of Building)	
	(Number & Name of Street)		(District)		
	<input type="radio"/> HONG KONG <input type="radio"/> KOWLOON <input type="radio"/> NEW TERRITORIES				
	<input checked="" type="radio"/> English Format <input type="radio"/> Chinese Format				
Position held in Principal Intermediary					<input type="text"/>  
Telephone No.					
Fax No.					



Email Address	<input type="text"/>		
Re-Input Email Address	<input type="text"/>		

Legend

-  Edit
-  Confirm
-  Abort Change
-  Select Effective Date
-  Upload Supporting Documents
-  View File

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(Click "Next" to go to Section IV Declaration)



Qualification(s) Suspended	Effective Date
Please tick the relevant qualification(s).	
<b>Securities and Futures Commission Regime</b>	
<input type="checkbox"/> Licensed Corporation (Type 1 and/or Type 4) <i>Note</i>	
<b>Hong Kong Monetary Authority Regime</b>	
<input type="checkbox"/> Authorized Financial Institution (Type 1 and/or Type 4) <i>Note</i>	Suspension Start Date: <input type="text"/>
<b>Insurance Authority Regime</b>	Suspension End Date: <input type="text"/>
<input type="checkbox"/> Authorized Long Term Insurer	
<input type="checkbox"/> Licensed Long Term Insurance Broker Company	

**Legend**

 Edit

 Confirm

 Abort Change

 Select Effective Date

 Upload Supporting Documents

 View File

 Save as Draft

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(Click "Next" to go to Section IV Declaration)

**MANDATORY PROVIDENT FUND SCHEMES AUTHORITY (MPFA)**  
**Notification of Change of Information by a Principal Intermediary**

**eForm INT-6**  
PI-Change  
Particulars

Notes on Completion of this eForm

Personal Information Collection Statement

Name of Principal Intermediary

MPF Registration No.

Section I - CHANGE OF PRINCIPAL  
INTERMEDIARY INFORMATION

Section II - CESSATION TO CARRY ON  
REGULATED ACTIVITY BY PRINCIPAL  
INTERMEDIARY

Section III - RESPONSIBLE OFFICER  
CEASING TO BE AN OFFICER WITH  
SPECIFIED RESPONSIBILITIES +

New Particulars

Effective Date

☐ Cessation to carry on regulated activity by principal intermediary

☐ Consent to MPFA to revoke our registration as a principal intermediary



**Legend**



Edit



Confirm



Abort Change



Select Effective Date



Upload Supporting Documents



View File

Save as  
Draft

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(Click "Next" to go to Section IV Declaration)

**MANDATORY PROVIDENT FUND SCHEMES AUTHORITY (MPFA)**  
**Notification of Change of Information by a Principal Intermediary**

eForm INT-6  
PI-Change  
Particulars

Notes on Completion of this eForm

Personal Information Collection Statement

Name of Principal Intermediary

MPF Registration No.

Section I - CHANGE OF PRINCIPAL  
INTERMEDIARY INFORMATION

Section II - CESSATION TO CARRY ON  
REGULATED ACTIVITY BY PRINCIPAL  
INTERMEDIARY

Section III - RESPONSIBLE OFFICER  
CESSING TO BE AN OFFICER WITH  
SPECIFIED RESPONSIBILITIES ♦

New Particulars

Effective Date

♦ (If a responsible officer continues to remain as a subsidiary intermediary of the principal intermediary after ceasing to be an officer with specified responsibilities, please complete this Section. If the responsible officer also ceases to be a subsidiary intermediary of the principal intermediary, please only complete Sections I & III of eForm INT-5B (Attachment Cessation).)

Name of Responsible Officer

MPF Registration No.



**Legend**



Edit



Confirm



Abort Change



Select Effective Date



Upload Supporting Documents



View File

Save as Draft

Next

**MANDATORY PROVIDENT FUND SCHEMES AUTHORITY (MPFA)**  
**Notification of Change of Information by a Principal Intermediary**

eForm INT-6  
 PI-Change  
 Particulars

Notes on Completion of this eForm

Personal Information Collection Statement

Name of Principal Intermediary

MPF Registration No.

**Section I - CHANGE OF PRINCIPAL INTERMEDIARY INFORMATION**

**Basic Information**

New Particulars		Effective Date

**Section IV - Declaration and Consent**

1. 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.
2. We **declare** that to the best of our knowledge and belief, the information given in this eForm (including the supporting documents attached) is correct and complete.†
3. 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 eForm.

☐ We **have read and understood** each of the above statements in this Section IV.

For section II, we **consent** to receiving notice(s) or document(s) from the MPFA given for the purposes of Part 4A of the Mandatory Provident Fund Schemes Ordinance (MPFSO) by way of electronic mail at the electronic mail address(es) provided in this eForm and such other electronic mail address(es) from time to time notified to the MPFA by us pursuant to section 34ZE of the MPFSO. We understand that the giving of consent would not in any way affect the MPFA's right to give any notice(s) or document(s) by way of other means prescribed under the MPFSO.

☐ Please tick the box if you **do not wish** to give the above consent.

<p>Name of Responsible Officer authorized by the Principal Intermediary for completing and submitting this Notification <i>(Same as HKID Card)</i></p> <p>The authorized Responsible Officer needs to be a sole-proprietor, partner or director of the principal intermediary in the situation, where a responsible officer ceases to be an officer with specified responsibilities.</p>	<div><input type="checkbox"/> Responsible Officer</div> <div><input type="radio"/> Sole-proprietor <input type="radio"/> Partner <input type="radio"/> Director</div>
<p>Date of Notification</p>	<div></div>

† **Warning:** Section 43E(1) of the MPFSO makes it an offence punishable with a maximum of one year's imprisonment and a fine of \$100,000 for the first occasion and two 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.

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Confirm and Submit to MPFA



## Notes on Completion of this eForm

1. This eForm is to be used by a principal intermediary for notifying the Mandatory Provident Fund Schemes Authority (MPFA) of any cessation, change, acquisition or suspension as specified in s34ZE(1) of the Mandatory Provident Fund Schemes Ordinance (MPFSO) within seven working days after it occurs as required under s34ZE(2). A person, who, without reasonable excuse, contravenes the aforesaid s34ZE(2) of the MPFSO commits an offence. This eForm is also to be used by a principal intermediary for notifying the MPFA of any change in other particulars or information previously supplied to the MPFA in connection with an application for registration as a principal intermediary and for approval of responsible officer(s).
2. Please read the Handbook on MPF Intermediary Registration (available at the MPFA website - [www.mpfa.org.hk](http://www.mpfa.org.hk)) and the Personal Information Collection Statement below before completing this eForm.
3. In the case of reporting a change in name, please provide a copy of relevant documentary evidence, such as Certificate of Change of Name. For reporting a change of principal place of business, please provide a copy of Business Registration Certificate or other supporting documents.
4. Please note that the MPFA may require further documentary evidence in support of the notification of change(s), when necessary.
5. Please also note that some of the information provided in this notification may appear in a public register of intermediaries for regulated activities.
6. When your corporation has already had the qualification to conduct Type 1 or Type 4 regulated activity under the regime of the Securities and Futures Commission or the Hong Kong Monetary Authority, simply acquiring the other Type 4 or Type 1 licence/registration under the same regime is not required to notify the MPFA.
7. When your corporation has already had the qualification to conduct both Type 1 and Type 4 regulated activities under the regime of the Securities and Futures Commission or the Hong Kong Monetary Authority, your corporation is only required to notify the MPFA if the licence/registration in relation to both Type 1 and Type 4 regulated activities under the same regime is suspended or revoked.



## Personal Information Collection Statement

This Personal Information Collection Statement 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 Mandatory Provident Fund Schemes Authority (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 your notification of change of information 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 in the processing of your notification, 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;
  - (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 regulators 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 8, Tower 1, Kowloon Commerce Centre, 51 Kwai Cheong Road, Kwai Chung, Hong Kong.

**MANDATORY PROVIDENT FUND SCHEMES AUTHORITY (MPFA)****Notification of Change of Information by a Subsidiary Intermediary**

<b>Form INT-7</b> <b>SI-Change</b> <b>Particulars</b>
---

Name of Subsidiary Intermediary: \_\_\_\_\_

MPF Registration No.: \_\_\_\_\_

*(Please complete items with changes only.)*

<b>Section I – CHANGE OF PERSONAL INFORMATION (FOR INDIVIDUAL)</b>		
	<b>New Particulars</b>	<b>Effective Date</b>
Name in English <i>(same as HKID Card)</i>	<div>_____</div> <div><i>(Surname )</i>                      <i>(other names)</i></div>	
Name in Chinese <i>(if any)</i> <i>(same as HKID Card)</i>	<div>_____</div> <div><i>(Surname)</i>                      <i>(other name)</i></div>	
Residential Address	<div> <div>_____</div> <div><i>(Flat/Room)</i>    <i>(Floor)</i>    <i>(Block)</i>    <i>(Name of Building)</i></div> </div> <div> <div>_____</div> <div><i>(Number &amp; Name of Street)</i>    <i>(District)</i></div> </div> <div> <div>_____</div> <div><i>HK / KLN / NT</i>    <i>*(Please delete as appropriate)</i></div> </div> <div> <div>_____</div> <div><i>(Country)</i>    <i>(City)</i>    <i>(State)</i>    <i>(Postal Code (if any))</i></div> </div>	
Mobile Telephone No.		
Office Telephone No.		
Business Email Address		
Personal Email Address		

<b>Section II – CHANGE OF INFORMATION</b>			
<b>(FOR LICENSED LONG TERM INSURANCE AGENCY)</b>			
	<b>New Particulars</b>		<b>Effective Date</b>
Name in English			
Name in Chinese (if any)			
Address of Principal Place of Business in Hong Kong	<div> <div>_____</div> <div>_____</div> <div>_____</div> <div>_____</div> </div> <div> <div>(Flat/Room)</div> <div>(Floor)</div> <div>(Block)</div> <div>(Name of Building)</div> </div> <div> <div>_____</div> <div>_____</div> </div> <div> <div>(Number &amp; Name of Street)</div> <div>(District)</div> </div> <div> <div>HK / KLN / NT</div> <div>*(Please delete as appropriate)</div> </div>		
Address of Registered Office	<div> <div>_____</div> <div>_____</div> <div>_____</div> <div>_____</div> </div> <div> <div>(Flat/Room)</div> <div>(Floor)</div> <div>(Block)</div> <div>(Name of Building)</div> </div> <div> <div>_____</div> <div>_____</div> </div> <div> <div>(Number &amp; Name of Street)</div> <div>(District)</div> </div> <div> <div>HK / KLN / NT</div> <div>*(Please delete as appropriate)</div> </div>		
Correspondence Address	<div> <div>_____</div> <div>_____</div> <div>_____</div> <div>_____</div> </div> <div> <div>(Flat/Room)</div> <div>(Floor)</div> <div>(Block)</div> <div>(Name of Building)</div> </div> <div> <div>_____</div> <div>_____</div> </div> <div> <div>(Number &amp; Name of Street)</div> <div>(District)</div> </div> <div> <div>HK / KLN / NT</div> <div>*(Please delete as appropriate)</div> </div>		
Telephone No.			
Fax No.			
Email Address			
<b>Contact Person Information</b>			
Name (Same as HKID card)	(English)  <div> <div>_____</div> <div>_____</div> </div> <div> <div>(Surname)</div> <div>(Other Names)</div> </div>	(Chinese) (if any)  <div> <div>_____</div> <div>_____</div> </div> <div> <div>(Surname)</div> <div>(Other Name)</div> </div>	
Position held			
Telephone No.			
Fax No.			

	New Particulars	Effective Date
Email Address		

**Section III – CHANGE OF QUALIFICATION AS A TYPE B REGULATEE<sup>1</sup>**

New Particulars	Effective Date
<input type="checkbox"/> New qualification(s) acquired Please specify the qualification code(s):	<i>Date of Acquisition</i>
<input type="checkbox"/> Qualification(s) ceased Please specify the qualification code(s):	<i>Date of Cessation</i>
<input type="checkbox"/> Qualification(s) suspended Please specify the qualification code(s):	<i>Period of Suspension</i>

**Section IV – CHANGE OF OFFICE ADDRESS OF A RESPONSIBLE OFFICER OF A PRINCIPAL INTERMEDIARY (if the Subsidiary Intermediary is a Responsible Officer)**

Name of Principal Intermediary			
MPF Registration No. of Principal Intermediary			
	<b>New Particulars</b>	<b>Effective Date</b>	
Office Address of Responsible Officer (English)	<div> <div>_____</div> <div>_____</div> <div>_____</div> <div>_____</div> </div> <div> <div>(Flat/Room)</div> <div>(Floor)</div> <div>(Block)</div> <div>(Name of Building)</div> </div> <div> <div>_____</div> <div>_____</div> </div> <div> <div>(Number &amp; Name of Street)</div> <div>(District)</div> </div> <div>HK / KLN / NT    *(Please delete as appropriate)</div>		
Office Address of Responsible Officer (Chinese)	<div> <div>_____</div> <div>_____</div> <div>_____</div> <div>_____</div> </div> <div> <div>(Flat/Room)</div> <div>(Floor)</div> <div>(Block)</div> <div>(Name of Building)</div> </div> <div> <div>_____</div> <div>_____</div> </div> <div> <div>(Number &amp; Name of Street)</div> <div>(District)</div> </div> <div>HK / KLN / NT    *(Please delete as appropriate)</div>		

<sup>1</sup> Please see *Explanatory Notes 1, 2 & 3*.

**Section V(a) – CEASING TO BE A RESPONSIBLE OFFICER OF A PRINCIPAL INTERMEDIARY**

Name of Principal Intermediary	
MPF Registration No. of Principal Intermediary	
Effective Date	

**Section V(b) – REQUEST MPFA TO REVOKE MY APPROVAL AS A RESPONSIBLE OFFICER OF THE PRINCIPAL INTERMEDIARY LISTED IN SECTION V(a) ABOVE**
☐ Yes
**Section VI – DECLARATION**

1. I/We **certify** that I/we have read the attached Personal Information Collection Statement (PICS) and **understand** my/our rights and obligations in relation to the personal data provided by me/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. I/We **declare** that to the best of my/our knowledge and belief the information given in this Form (including all supporting documents) is correct and complete. ✦
3. I/We **undertake** to immediately notify the MPFA of any matter which has come to my/our attention and which may affect the validity of any information given in this Form.

**For Subsidiary Intermediary (Individual)**

Name of Subsidiary Intermediary (same as HKID Card)	
Signature	
Date of Signature <sup>2</sup>	

**For Subsidiary Intermediary (Licensed Long Term Insurance Agency)**

Name of Subsidiary Intermediary	
Name of Authorized Signatory (same as HKID Card)  (The signatory must be a sole proprietor, partner or director authorized by the Subsidiary Intermediary, depending on the company form of the Subsidiary Intermediary.)	

<sup>2</sup> Please see *Explanatory Note 4*.

Capacity	Sole Proprietor / Partner / Director* Authorized by the Subsidiary Intermediary *(Please delete as appropriate)
Authorized Signature	
Date of Signature <sup>3</sup>	

★ **Warning:** Section 43E(1) of the Mandatory Provident Fund Schemes Ordinance makes it an offence punishable with a maximum of one year's imprisonment and a fine of \$100,000 for the first occasion and two 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					
Notification No.					
Receipt Date			Date of Updating		
Input Officer		Checking Officer		Approving Officer	

<sup>3</sup> Please see *Explanatory Note 4*.



## MANDATORY PROVIDENT FUND SCHEMES AUTHORITY

### Notification of Change of Information by a Subsidiary Intermediary

#### Notes on Completion of this Form

1. This Form is to be used by a subsidiary intermediary to notify the Mandatory Provident Fund Schemes Authority (MPFA) any change, acquisition, cessation or suspension as specified in s34ZI(1) of the Mandatory Provident Fund Scheme Ordinance (MPFSO) within seven working days after it occurs as required under s34ZI(2). A person, who, without reasonable excuse, contravenes the aforesaid s34ZI(2) of the MPFSO commits an offence. This form is also to be used by a subsidiary intermediary for notifying the MPFA of any change in other particulars or information previously supplied to the MPFA in connection with an application for registration as a subsidiary intermediary.
2. Please read the *Handbook on MPF Intermediary Registration* (available at the MPFA website - [www.mpfa.org.hk](http://www.mpfa.org.hk)) and the *Personal Information Collection Statement* below before completing this Form.
3. If there is an intended cessation of attachment of a subsidiary intermediary to a principal intermediary without any change, acquisition, cessation or suspension specified in s34ZI(1) of the MPFSO, the subsidiary intermediary need not submit this form but instead the principal intermediary is required to submit the [Form INT-5] for notification of withdrawal of consent for attachment in relation to the subsidiary intermediary.
4. Please initial any amendments made in this Form.
5. Please note that the MPFA may require further documentary evidence in support of the notification of change(s), when necessary.
6. Please also note that some of the information provided in the notification may appear in a public register of intermediaries for regulated activities.

#### For individual subsidiary intermediary

7. In the case of reporting a change of name, please either present a Hong Kong identity card and the relevant Deed Poll to the MPFA in person or attach copies of the Hong Kong identity card and the relevant Deed Poll to this Form.

#### For subsidiary intermediary which is a licensed long term insurance agency

8. In the case of reporting a change of name, please provide copies of relevant legal documents in support (e.g. a Certificate of Change of Name for a Hong Kong company).

#### Explanatory Notes

1. Section III must be completed by writing down the following code(s) when there is a change in the following “**qualifications as a Type B regulatee**” with the relevant regulators.
2. When you have already had the qualification to conduct Type 1 **or** Type 4 regulated activity under the regime of the Securities and Futures Commission or the Hong Kong Monetary Authority, simply acquiring the **other** Type 4 or Type 1 licence under the same regime, or being as a relevant individual for conducting further Type 4 **or** Type 1 regulated activity under the same regime is **not** required to notify the MPFA.
3. When you have already had the qualification to conduct both Type 1 **and** Type 4 regulated activities under the regime of the Securities and Futures Commission or the Hong Kong Monetary Authority, you are only required to notify the MPFA if the licence in relation to both Type 1 **and** Type 4 regulated activities under the same regime is suspended or revoked, or being as a relevant individual under the Hong Kong Monetary Authority regime, the engagement of both Type 1 **and** Type 4 regulated activities is no longer allowed.

Regime	Code
Securities and Futures Commission Regime	
Licensed Representative (Type 1 and/or Type 4)	RA
Monetary Authority Regime	
Relevant Individual (Including Executive Officer) (Type 1 and/or Type 4)	REI
Insurance Authority Regime	
Licensed Long Term Individual Insurance Agent	LAP
Licensed Long Term Insurance Agency	LAC
Licensed Long Term Technical Representative (Agent)	TRA
Licensed Long Term Technical Representative (Broker)	TRB

4. The date of signature is **not** the date of notification of change(s). The date of notification of change(s) is, in general, the date on which the MPFA **receives** this form.

## Personal Information Collection Statement

This Personal Information Collection Statement 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 Mandatory Provident Fund Schemes Authority (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 your notification of change of information 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 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 in the processing of your notification, 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;
  - (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 regulators 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 Personal Data (Privacy) Ordinance 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 8, Tower 1, Kowloon Commerce Centre, 51 Kwai Cheong Road, Kwai Chung, Hong Kong.

**MANDATORY PROVIDENT FUND SCHEMES AUTHORITY (MPFA)**  
**Notification of Change of Information by a Subsidiary Intermediary**

**eForm INT-7**  
 SI-Change  
 Particulars

Notes on Completion of this eForm

Personal Information Collection Statement

Name of Subsidiary Intermediary

MPF Registration No.

**Section I - CHANGE  
OF PERSONAL  
INFORMATION (FOR  
INDIVIDUAL)**

**Section III - CHANGE  
OF QUALIFICATION  
AS A TYPE B  
REGULATEE**

**Section IV - CHANGE  
OF OFFICE ADDRESS  
OF A RESPONSIBLE  
OFFICER OF A  
PRINCIPAL  
INTERMEDIARY (if  
the Subsidiary  
Intermediary is a  
Responsible Officer)**

**Section V - CEASING  
TO BE A  
RESPONSIBLE  
OFFICER OF A  
PRINCIPAL  
INTERMEDIARY**

New Particulars

Effective Date

Name in English  
(same as HKID  
Card)

(Surname)

(Other Names)

(Surname)

(Other Names)



Name in Chinese  
(if any)  
(same as HKID  
Card)

(Surname)

(Other Name)

(Surname)

(Other Name)



Salutation

☐ Mr ☐ Miss ☐ Mrs ☐ Ms

☐ Mr ☐ Miss ☐ Mrs ☐ Ms


Residential  
Address

(Flat/Room)

(Floor)

(Block)

(Name of  
Building)

(Number &amp; Name of Street)

(District)

☐ HONG KONG ☐ KOWLOON

☐ NEW TERRITORIES

(Country)

(City)

(State)

(Postal Code  
(if any))
☒ English Format ☐ Chinese Format

(Flat/Room)

(Floor)

(Block)

(Name of  
Building)

(Number &amp; Name of Street)

(District)

☐ HONG KONG ☐ KOWLOON

☐ NEW TERRITORIES

(Country)

(City)

(State)

(Postal Code  
(if any))

Mobile Telephone No.	<input type="text"/>	<input type="text"/>			
Office Telephone No.	<input type="text"/>	<input type="text"/>			
Business Email Address	<input type="text"/>	<input type="text"/>			
Re-input Email Address	<input type="text"/>				
Personal Email Address	<input type="text"/>	<input type="text"/>			
Re-input Email Address	<input type="text"/>				

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- Select Effective Date
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**MANDATORY PROVIDENT FUND SCHEMES AUTHORITY (MPFA)**  
**Notification of Change of Information by a Subsidiary Intermediary**

**eForm INT-7**  
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 Particulars

Notes on Completion of this eForm

Personal Information Collection Statement

Name of Subsidiary Intermediary

MPF Registration No.

**Section I - CHANGE  
OF PERSONAL  
INFORMATION (FOR  
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**Section III - CHANGE  
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**Section IV - CHANGE  
OF OFFICE ADDRESS  
OF A RESPONSIBLE  
OFFICER OF A  
PRINCIPAL  
INTERMEDIARY (if  
the Subsidiary  
Intermediary is a  
Responsible Officer)**

**Section V - CEASING  
TO BE A  
RESPONSIBLE  
OFFICER OF A  
PRINCIPAL  
INTERMEDIARY**


New Qualification(s) Acquired

Effective Date

Please tick the relevant qualification(s).

**Securities and Futures Commission Regime**
☐ Licensed Representative (Type 1 and/or Type 4) **Note**
**Hong Kong Monetary Authority Regime**
☐ Relevant Individual (including Executive Officer) (Type 1 and/or Type 4)
**Note****Insurance Authority Regime**

- ☐ Licensed Long Term Individual Insurance Agent
- ☐ Licensed Long Term Technical Representative (Agent)
- ☐ Licensed Long Term Technical Representative (Broker)



Qualification(s) Ceased

Effective Date

Please tick the relevant qualification(s).


**Securities and Futures Commission Regime**
☐ Licensed Representative (Type 1 and/or Type 4) **Note**
**Hong Kong Monetary Authority Regime**
☐ Relevant Individual (including Executive Officer) (Type 1 and/or Type 4)
**Note****Insurance Authority Regime**


- ☐ Licensed Long Term Individual Insurance Agent
- ☐ Licensed Long Term Technical Representative (Agent)
- ☐ Licensed Long Term Technical Representative (Broker)


 



Qualification(s) Suspended	Effective Date	
Please tick the relevant qualification(s).		
<b>Securities and Futures Commission Regime</b>		
<input type="checkbox"/> Licensed Representative (Type 1 and/or Type 4) <b>Note</b>		
<b>Hong Kong Monetary Authority Regime</b>		
<input type="checkbox"/> Relevant Individual (including Executive Officer) (Type 1 and/or Type 4) <b>Note</b>	Suspension Start Date: <input type="text"/>	<input checked="" type="radio"/> <input type="radio"/>
<b>Insurance Authority Regime</b>		
<input type="checkbox"/> Licensed Long Term Individual Insurance Agent	Suspension End Date: <input type="text"/>	
<input type="checkbox"/> Licensed Long Term Technical Representative (Agent)		
<input type="checkbox"/> Licensed Long Term Technical Representative (Broker)		


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**MANDATORY PROVIDENT FUND SCHEMES AUTHORITY (MPFA)**  
**Notification of Change of Information by a Subsidiary Intermediary**

**eForm INT-7**  
 SI-Change  
 Particulars

Notes on Completion of this eForm

Personal Information Collection Statement

Name of Subsidiary Intermediary

MPF Registration No.

Section I - CHANGE  
OF PERSONAL  
INFORMATION (FOR  
INDIVIDUAL)

Section III - CHANGE  
OF QUALIFICATION  
AS A TYPE B  
REGULATEE

Section IV - CHANGE  
OF OFFICE ADDRESS  
OF A RESPONSIBLE  
OFFICER OF A  
PRINCIPAL  
INTERMEDIARY (if  
the Subsidiary  
Intermediary is a  
Responsible Officer)

Section V - CEASING  
TO BE A  
RESPONSIBLE  
OFFICER OF A  
PRINCIPAL  
INTERMEDIARY

Name of Principal Intermediary

MPF Registration No. of Principal Intermediary



New Particulars

Effective Date

Office Address of  
Responsible Officer  
(English)

(Flat/Room) (Floor) (Block) (Name of Building)

(Number & Name of Street) (District)

☐ HONG KONG ☐ KOWLOON  
☐ NEW TERRITORIES

(Flat/Room) (Floor) (Block) (Name of Building)

  
(Number & Name of Street) (District)

☐ HONG KONG ☐ KOWLOON  
☐ NEW TERRITORIES





Office Address of Responsible Officer (Chinese)	<input type="text"/>		<input type="text"/>	<input type="text"/>	<input type="text"/>
	(Flat/Room)		(Floor)	(Block)	(Name of Building)
	<input type="text"/>		<input type="text"/>		
	(Number & Name of Street)		(District)		
	<input type="radio"/> 香港 <input type="radio"/> 九龍 <input type="radio"/> 新界				
	<input type="radio"/> 香港 <input type="radio"/> 九龍		<input type="text"/> <input type="button" value="v"/>		
	<input type="radio"/> 新界		(District)		
	<input type="text"/>				
	(Number & Name of Street)				
	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	
	(Name of Building)	(Block)	(Floor)	(Flat/Room)	

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Change



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Effective Date



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**MANDATORY PROVIDENT FUND SCHEMES AUTHORITY (MPFA)**  
**Notification of Change of Information by a Subsidiary Intermediary**

**eForm INT-7**  
 SI-Change  
 Particulars

Notes on Completion of this eForm

Personal Information Collection Statement

Name of Subsidiary Intermediary

MPF Registration No.

Section I - CHANGE  
OF PERSONAL  
INFORMATION (FOR  
INDIVIDUAL)

Section III - CHANGE  
OF QUALIFICATION  
AS A TYPE B  
REGULATEE

Section IV - CHANGE  
OF OFFICE ADDRESS  
OF A RESPONSIBLE  
OFFICER OF A  
PRINCIPAL  
INTERMEDIARY (*if  
the Subsidiary  
Intermediary is a  
Responsible Officer*)

Section V - CEASING  
TO BE A  
RESPONSIBLE  
OFFICER OF A  
PRINCIPAL  
INTERMEDIARY

Name of Principal Intermediary

MPF Registration No. of Principal Intermediary

New Particulars

Effective Date

☐ Ceasing to be a Responsible Officer of a Principal Intermediary

☒ ☐

☐ Request MPFA to Revoke My Approval as a Responsible Officer of the Principal Intermediary Listed in Section V above

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**MANDATORY PROVIDENT FUND SCHEMES AUTHORITY (MPFA)**  
**Notification of Change of Information by a Subsidiary Intermediary**

eForm INT-7  
 SI-Change  
 Particulars

Notes on Completion of this eForm

Personal Information Collection Statement

Name of Subsidiary Intermediary

MPF Registration No.

**Section I - CHANGE OF PERSONAL INFORMATION (FOR INDIVIDUAL)**

New Particulars

Effective Date

**Section VI - DECLARATION AND CONSENT**

1. I/We **certify** that I/we have read the attached **Personal Information Collection Statement (PICS)** and **understand** my/our rights and obligations in relation to the personal data provided by me/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. I/We **declare** that to the best of my/our knowledge and belief the information given in this eForm (including the supporting documents attached) is correct and complete.†
3. I/We **undertake** to immediately notify the MPFA of any matter which has come to my/our attention and which may affect the validity of any information given in this eForm.

☐ I/We **have read and understood** each of the above statements in this Section VI.

Name of Subsidiary Intermediary  
 (same as HKID Card)

Date of Notification

† **Warning:** Section 43E(1) of the Mandatory Provident Fund Schemes Ordinance makes it an offence punishable with a maximum of one year's imprisonment and a fine of \$100,000 for the first occasion and two 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.



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Confirm and Submit to  
 MPFA

## Notes on Completion of this eForm

1. This eForm is to be used by a subsidiary intermediary to notify the Mandatory Provident Fund Schemes Authority (MPFA) any change, acquisition, cessation or suspension as specified in s34ZI(1) of the Mandatory Provident Fund Schemes Ordinance (MPFSO) within seven working days after it occurs as required under s34ZI(2). A person, who, without reasonable excuse, contravenes the aforesaid s34ZI(2) of the MPFSO commits an offence. This eForm is also to be used by a subsidiary intermediary for notifying the MPFA of any change in other particulars or information previously supplied to the MPFA in connection with an application for registration as a subsidiary intermediary.
2. Please read the Handbook on MPF Intermediary Registration (available at the MPFA website - [www.mpfa.org.hk](http://www.mpfa.org.hk)) and the Personal Information Collection Statement below before completing this eForm.
3. If there is an intended cessation of attachment of a subsidiary intermediary to a principal intermediary without any change, acquisition, cessation or suspension specified in s34ZI(1) of the MPFSO, the subsidiary intermediary need not submit this eForm but instead the principal intermediary is required to submit the [eForm INT-5B] for notification of withdrawal of consent for attachment in relation to the subsidiary intermediary.
4. Please note that the MPFA may require further documentary evidence in support of the notification of change(s), when necessary.
5. Please also note that some of the information provided in this notification may appear in a public register of intermediaries for regulated activities.

### For individual subsidiary intermediary

6. In the case of reporting a change of name, please either present a Hong Kong identity card and the relevant Deed Poll to the MPFA in person or attach copies of the Hong Kong identity card and the relevant Deed Poll to this Form.

### For subsidiary intermediary which is a licensed long term insurance agency

7. In the case of reporting a change of name, please provide copies of relevant legal documents in support (e.g. a Certificate of Change of Name for a Hong Kong company).
8. For reporting a change of principal place of business, please provide a copy of Business Registration Certificate or other supporting documents.

### For change of qualification as a Type B regulatee

9. When you have already had the qualification to conduct Type 1 or Type 4 regulated activity under the regime of the Securities and Futures Commission or the Hong Kong Monetary Authority, simply acquiring the other Type 4 or Type 1 licence under the same regime, or being as a relevant individual for conducting further Type 4 or Type 1 regulated activity under the same regime is not required to notify the MPFA

10. When you have already had the qualification to conduct both Type 1 **and** Type 4 regulated activities under the regime of the Securities and Futures Commission or the Hong Kong Monetary Authority, you are only required to notify the MPFA if the licence in relation to both Type 1 **and** Type 4 regulated activities under the same regime is suspended or revoked, or being as a relevant individual under the Hong Kong Monetary Authority regime, the engagement of both Type 1 **and** Type 4 regulated activities is no longer allowed.



## Personal Information Collection Statement

This Personal Information Collection Statement 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 Mandatory Provident Fund Schemes Authority (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 your notification of change of information 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 in the processing of your notification, 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;

- (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 regulators 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 8, Tower 1, Kowloon Commerce Centre, 51 Kwai Cheong Road, Kwai Chung, Hong Kong.

**MANDATORY PROVIDENT FUND SCHEMES AUTHORITY (MPFA)**  
**Notification of Change of Information by a Subsidiary Intermediary**

**eForm INT-7**  
 SI-Change  
 Particulars

Notes on Completion of this eForm

Personal Information Collection Statement

Name of Subsidiary Intermediary

MPF Registration No.

**Section II - CHANGE OF INFORMATION (FOR  
 LICENSED LONG TERM INSURANCE AGENCY)**

**Section III - CHANGE OF QUALIFICATION AS  
 A TYPE B REGULATEE**

Basic Info

Contact Person Info

New Particulars

Effective Date

Name in English

Name in Chinese  
 (if any)

Address of  
 Principal Place of  
 Business in Hong  
 Kong

(Flat/Room) (Floor) (Block) (Name of Building)

(Number & Name of Street) (District)

☐ HONG KONG ☐ KOWLOON  
☐ NEW TERRITORIES

☒ English Format ☐ Chinese Format

(Flat/Room) (Floor) (Block) (Name of Building)

(Number & Name of Street) (District)

☐ HONG KONG ☐ KOWLOON  
☐ NEW TERRITORIES



Address of Registered Office	<div> <div> <div>(Flat/Room)</div> <div>(Floor)</div> <div>(Block)</div> <div>(Name of Building)</div> </div> <div> <div>(Number &amp; Name of Street)</div> <div>(District)</div> </div> <div> <input type="radio"/> HONG KONG           <input type="radio"/> KOWLOON           <input type="radio"/> NEW TERRITORIES         </div> <div> <input checked="" type="radio"/> English Format           <input type="radio"/> Chinese Format         </div> <div> <div> <div>(Flat/Room)</div> <div>(Floor)</div> <div>(Block)</div> <div>(Name of Building)</div> </div> <div> <div>(Number &amp; Name of Street)</div> <div>(District)</div> </div> <div> <input type="radio"/> HONG KONG           <input type="radio"/> KOWLOON           <input type="radio"/> NEW TERRITORIES         </div> </div> </div>	<div> <div></div> <div></div> </div>	<div> <div></div> <div></div> </div>
Correspondence Address	<div> <div> <div>(Flat/Room)</div> <div>(Floor)</div> <div>(Block)</div> <div>(Name of Building)</div> </div> <div> <div>(Number &amp; Name of Street)</div> <div>(District)</div> </div> <div> <input type="radio"/> HONG KONG           <input type="radio"/> KOWLOON           <input type="radio"/> NEW TERRITORIES         </div> <div> <input checked="" type="radio"/> English Format           <input type="radio"/> Chinese Format         </div> <div> <div> <div>(Flat/Room)</div> <div>(Floor)</div> <div>(Block)</div> <div>(Name of Building)</div> </div> <div> <div>(Number &amp; Name of Street)</div> <div>(District)</div> </div> <div> <input type="radio"/> HONG KONG           <input type="radio"/> KOWLOON           <input type="radio"/> NEW TERRITORIES         </div> </div> </div>	<div> <div></div> <div></div> </div>	<div> <div></div> <div></div> </div>
Telephone No.	<div> <div></div> </div>	<div> <div></div> </div>	<div> <div></div> <div></div> </div>
Fax No.	<div> <div></div> </div>	<div> <div></div> </div>	<div> <div></div> <div></div> </div>

Email Address	<input type="text"/>	<input type="text"/>	<input type="button" value="✓"/>	<input type="button" value="✕"/>
Re-input Email Address	<input type="text"/>	<input type="text"/>		

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## Section II - CHANGE OF INFORMATION (FOR LICENSED LONG TERM INSURANCE AGENCY)

## Section III - CHANGE OF QUALIFICATION AS A TYPE B REGULATEE

Basic Info

Contact Person Info

New Particulars				Effective Date		
Name (same as HKID Card)	(English)		(Chinese)(if any)			
	(Surname)	(Other Names)	(Surname)	(Other Name)		
	(English)		(Chinese)(if any)			
	(Surname)	(Other Names)	(Surname)	(Other Name)		
Position held						
Telephone No.						
Fax No.						
Email Address						
Re-input Email Address						

### Legend



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**MANDATORY PROVIDENT FUND SCHEMES AUTHORITY (MPFA)**  
**Notification of Change of Information by a Subsidiary Intermediary**

**eForm INT-7**  
 SI-Change  
 Particulars

Notes on Completion of this eForm		Personal Information Collection Statement	
Name of Subsidiary Intermediary			
MPF Registration No.			
Section II - CHANGE OF INFORMATION (FOR LICENSED LONG TERM INSURANCE AGENCY)		Section III - CHANGE OF QUALIFICATION AS A TYPE B REGULATEE	
New Qualification(s) Acquired		Effective Date	
Please tick the relevant qualification(s).			
<b>Insurance Authority Regime</b> <input type="checkbox"/> Licensed Long Term Insurance Agency		<input type="text"/>	<input checked="" type="checkbox"/> <input type="checkbox"/>
Qualification(s) Ceased		Effective Date	
Please tick the relevant qualification(s).			
<b>Insurance Authority Regime</b> <input type="checkbox"/> Licensed Long Term Insurance Agency		<input type="text"/>	<input checked="" type="checkbox"/> <input type="checkbox"/>
Qualification(s) Suspended		Effective Date	
Please tick the relevant qualification(s).			
<b>Insurance Authority Regime</b> <input type="checkbox"/> Licensed Long Term Insurance Agency		Suspension Start Date: <input type="text"/>	<input checked="" type="checkbox"/> <input type="checkbox"/>
		Suspension End Date: <input type="text"/>	

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**MANDATORY PROVIDENT FUND SCHEMES AUTHORITY (MPFA)**  
**Notification of Change of Information by a Subsidiary Intermediary**

eForm INT-7  
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Notes on Completion of this eForm

Personal Information Collection Statement

Name of Subsidiary Intermediary

MPF Registration No.

**Section II - CHANGE OF INFORMATION (FOR LICENSED LONG TERM INSURANCE AGENCY)**

**Basic Info**

New Particulars

Effective Date

**Section VI - DECLARATION AND CONSENT**

1. I/We **certify** that I/we have read the attached **Personal Information Collection Statement (PICS)** and **understand** my/our rights and obligations in relation to the personal data provided by me/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. I/We **declare** that to the best of my/our knowledge and belief the information given in this eForm (including the supporting documents attached) is correct and complete.†
3. I/We **undertake** to immediately notify the MPFA of any matter which has come to my/our attention and which may affect the validity of any information given in this eForm.

☐ I/We **have read and understood** each of the above statements in this Section VI.

Name of Subsidiary Intermediary

Name of Person Authorized  
(same as HKID Card)

(The Person Authorized must be a sole proprietor, partner or director authorized by the Subsidiary Intermediary, depending on the company form of the Subsidiary Intermediary.)


Capacity

☐ Sole-proprietor ☐ Partner ☐ Director  
Authorized by the Subsidiary Intermediary

Date of Notification

† **Warning:** Section 43E(1) of the Mandatory Provident Fund Schemes Ordinance makes it an offence punishable with a maximum of one year's imprisonment and a fine of \$100,000 for the first occasion and two 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.

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 Confirm and Submit to MPFA

## Notes on Completion of this eForm

1. This eForm is to be used by a subsidiary intermediary to notify the Mandatory Provident Fund Schemes Authority (MPFA) any change, acquisition, cessation or suspension as specified in s34ZI(1) of the Mandatory Provident Fund Schemes Ordinance (MPFSO) within seven working days after it occurs as required under s34ZI(2). A person, who, without reasonable excuse, contravenes the aforesaid s34ZI(2) of the MPFSO commits an offence. This eForm is also to be used by a subsidiary intermediary for notifying the MPFA of any change in other particulars or information previously supplied to the MPFA in connection with an application for registration as a subsidiary intermediary.
2. Please read the Handbook on MPF Intermediary Registration (available at the MPFA website - [www.mpfa.org.hk](http://www.mpfa.org.hk)) and the Personal Information Collection Statement below before completing this eForm.
3. If there is an intended cessation of attachment of a subsidiary intermediary to a principal intermediary without any change, acquisition, cessation or suspension specified in s34ZI(1) of the MPFSO, the subsidiary intermediary need not submit this eForm but instead the principal intermediary is required to submit the [eForm INT-5B] for notification of withdrawal of consent for attachment in relation to the subsidiary intermediary.
4. Please note that the MPFA may require further documentary evidence in support of the notification of change(s), when necessary.
5. Please also note that some of the information provided in this notification may appear in a public register of intermediaries for regulated activities.

### For individual subsidiary intermediary

6. In the case of reporting a change of name, please either present a Hong Kong identity card and the relevant Deed Poll to the MPFA in person or attach copies of the Hong Kong identity card and the relevant Deed Poll to this Form.

### For subsidiary intermediary which is a licensed long term insurance agency

7. In the case of reporting a change of name, please provide copies of relevant legal documents in support (e.g. a Certificate of Change of Name for a Hong Kong company).
8. For reporting a change of principal place of business, please provide a copy of Business Registration Certificate or other supporting documents.

### For change of qualification as a Type B regulatee

9. When you have already had the qualification to conduct Type 1 or Type 4 regulated activity under the regime of the Securities and Futures Commission or the Hong Kong Monetary Authority, simply acquiring the other Type 4 or Type 1 licence under the same regime, or being as a relevant individual for conducting further Type 4 or Type 1 regulated activity under the same regime is not required to notify the MPFA



10. When you have already had the qualification to conduct both Type 1 **and** Type 4 regulated activities under the regime of the Securities and Futures Commission or the Hong Kong Monetary Authority, you are only required to notify the MPFA if the licence in relation to both Type 1 **and** Type 4 regulated activities under the same regime is suspended or revoked, or being as a relevant individual under the Hong Kong Monetary Authority regime, the engagement of both Type 1 **and** Type 4 regulated activities is no longer allowed.

## Personal Information Collection Statement

This Personal Information Collection Statement 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 Mandatory Provident Fund Schemes Authority (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 your notification of change of information 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 in the processing of your notification, 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;

- (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 regulators 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 8, Tower 1, Kowloon Commerce Centre, 51 Kwai Cheong Road, Kwai Chung, Hong Kong.