

## Appendix IV

### List of MPF Guidelines and Codes

Guideline No.	Name of Guidelines	Version Date
<b>Part I Guidelines on Licensing</b>		
I.1	Guidelines on Application for Approval as Trustees	12/98
I.2	Guidelines on Application for Registration of Provident Fund Schemes	12/98
I.3	Guidelines on Custodians	1/01
I.4	Guidelines on Eligible Insurers	12/98
I.5	Guidelines on Application for Approval of Constituent Funds	12/98
I.6	Guidelines on Application for Approval of Pooled Investment Funds	12/98
I.7	Guidelines on Central Securities Depositories	5/99
I.8	Guidelines on Custodial / Subcustodial Agreement	10/00
<b>Part II Guidelines on Reporting Requirements</b>		
II.1	Guidelines on Monthly Returns of Registered Schemes	2/99
II.2	Guidelines on Monthly Returns of Approved Pooled Investment Funds being Capital Preservation Funds	2/99
II.3	Guidelines on Quarterly Returns of Constituent Funds	2/99
II.4	Guidelines on Annual Statements of Registered Schemes	1/01
II.5	Guidelines on Annual Statements of Approved Pooled Investment Funds	5/99
II.6	Guidelines on Internal Control Report for each Registered Scheme	5/99
<b>Part III Guidelines on Investment</b>		
III.1	Guidelines on Debt Securities	1/01
III.2	Guidelines on Other Securities	1/01
III.3	Guidelines on Eligible Overseas Banks	1/01
III.4	Guidelines on Recognized Exchanges	3/99
III.5	Guidelines on Investment Managers	6/99
III.6	Guidelines on Capital Preservation Funds	12/99
III.7	Guidelines on Security Lending	3/99
III.8	Guidelines on Repurchase Agreements	3/99
III.9	Guidelines on Reserving Standards for Investment Guarantees	2/01
<b>Part IV Guidelines on Scheme Operations</b>		
IV.1	Guidelines on Disclosure of Annual Fees	3/00
IV.2	Guidelines on Reports Relating to Payment of Mandatory Contributions	3/99
IV.3	Guidelines on Election Forms for Transfer of Accrued Benefits	4/99
IV.4	Guidelines on Payment of Accrued Benefits – Documents to be Submitted to Approved Trustees	1/01
IV.5	Guidelines on Payment of Accrued Benefits – Permanent Departure from Hong Kong	4/99
IV.6	Guidelines on Notice for Unclaimed Benefits	4/99
IV.7	Guidelines on Fees for Portability	5/99
IV.8	Guidelines on Enrolment and Contribution Arrangements for Relevant Employees other than Casual Employees	10/00
IV.9	Guidelines on Enrolment and Contribution Arrangements for Casual Employees	10/00
IV.10	Guidelines on Enrolment and Contribution Arrangements for Self-employed Persons	10/00

Guideline No.	Name of Guidelines	Version Date
IV.11	Guidelines on Contribution Period in respect of a Relevant Employee	7/00
IV.12	Guidelines on Relevant Income in respect of a Relevant Employee	7/00
IV.13	Guidelines on Compensation Fund	1/01
IV.14	Guidelines on Remittance Statement	9/00
IV.15	Guidelines on Person Exempt under section 4(3) of the Mandatory Provident Fund Schemes Ordinance	9/00
IV.16	Guidelines on MPF Coverage on Employees Working Outside Hong Kong	9/00
IV.17	Guidelines on Contribution Arrangement of a Self-employed Person	10/00
IV.18	Guidelines on Contribution Arrangement of a Self-employed Person who Sustains a Loss	10/00
IV.19	Guidelines on Minimum and Maximum Levels of Relevant Income of a Self-employed Person	10/00
IV.20	Guidelines on Prepayment of Contributions	10/00
<b>Part V Guidelines on ORSO Interface</b>		
V.1	Guidelines on MPF Exempted ORSO Schemes – Application for Exemption of ORSO Exempted Schemes	12/99
V.2	Guidelines on MPF Exempted ORSO Schemes – Application for Exemption of ORSO Registered Schemes	12/99
V.3	Guidelines on MPF Exempted ORSO Schemes – Treatment of Accrued Rights of Existing Members who join MPF Schemes	4/99
V.4	Guidelines on MPF Exempted ORSO Schemes – Preservation of Benefits	4/99
V.5	Guidelines on MPF Exempted ORSO Schemes – Illustrative Examples	5/99
V.6	Guidelines on MPF Exempted ORSO Schemes – Application for Approval of Appointment of Trustees	6/99
V.7	Guidelines on MPF Exempted ORSO Schemes – Application for Approval of Appointment of Directors of Trustees	6/99
V.8	Guidelines on MPF Exempted ORSO Schemes – Application for Withdrawal of Exemption Certificate of an ORSO Exempted Scheme	5/00
V.9	Guidelines on MPF Exempted ORSO Schemes – Application for Withdrawal of Exemption Certificate of an ORSO Registered Scheme	5/00
V.10	Guidelines on MPF Exempted ORSO Schemes – Filing of Annual Report	12/00
V.11	Guidelines on MPF Exempted ORSO Schemes – Withdrawal of Minimum MPF Benefits	12/00
<b>Others</b>		
	Code of Conduct for MPF Intermediaries	10/00
	Code on MPF Investment Funds	12/99
	Erratum to the Code on MPF Investment Funds	5/00