APPENDIX 4
LIST OF MPF GUIDELINES AND CODES

As at 31 March 2005

GUIDELINE NO.	NAME OF GUIDELINES	VERSION DATE
Part I Guidelines on Licensing		
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	5/03
I.4	Guidelines on Eligible Insurers	12/98
I.5	Guidelines on Application for Approval of Constituent Funds	5/03
I.6	Guidelines on Application for Approval of Pooled Investment Funds	12/98
I.7	Guidelines on Central Securities Depositories	10/04
I.8	Guidelines on Custodial / Subcustodial Agreement	10/00
Part II Guidelines on Reporting Requirements		
II.1	Guidelines on Monthly Returns of Registered Schemes	8/02
II.2	Guidelines on Monthly Returns of Approved Pooled Investment Funds being Capital Preservation Funds	7/01
II.3	Guidelines on Quarterly Returns of Registered Schemes	3/05
II.4	Guidelines on Annual Statements of Registered Schemes	3/05
II.5	Guidelines on Annual Statements of Approved Pooled Investment Funds	7/01
II.6	Guidelines on Internal Control Report for each Registered Scheme	5/99
II.7	Guidelines on Quarterly Returns of Approved Pooled Investment Funds	4/01
II.8	Guidelines on Monthly Statistical Returns of Registered Schemes	3/05
II.9	Guidelines on Notification of Events of Significant Nature	8/02
Part III Guidelines on Investment		
III.1	Guidelines on Debt Securities	5/04
III.2	Guidelines on Other Securities	8/04
III.3	Guidelines on Eligible Overseas Banks	5/03
III.4	Guidelines on Approved Exchanges	3/05
III.5	Guidelines on Investment Managers	5/04
III.6	Guidelines on Capital Preservation Funds	10/01
III.7	Guidelines on Securities Lending	5/03
III.8	Guidelines on Repurchase Agreements	3/99
III.9	Guidelines on Reserving Standards for Investment Guarantees	2/01
III.10	Guidelines on Index-Tracking Collective Investment Schemes	5/03

Appendix 4 (Cont'd)
LIST OF MPF GUIDELINES AND CODES

As at 31 March 2005

GUIDELINE NO.	NAME OF GUIDELINES	VERSION DATE
Part IV	**Guidelines on Scheme Operations**	
IV.1	[Repealed]	Repealed on 6/04
IV.2	Guidelines on Reports Relating to Payment of Mandatory Contributions	8/02
IV.3	Guidelines on Election Forms for Transfer of Accrued Benefits	7/01
IV.4	Guidelines on Payment of Accrued Benefits – Documents to be Submitted to Approved Trustees	5/04
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	8/02
IV.9	Guidelines on Enrolment and Contribution Arrangements for Casual Employees	5/02
IV.10	Guidelines on Enrolment and Contribution Arrangements for Self-employed Persons	5/02
IV.11	Guidelines on Contribution Period in respect of a Relevant Employee	5/04
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	8/02
IV.15	Guidelines on Person Exempt under section 4(3) of the Mandatory Provident Fund Schemes Ordinance	5/02
IV.16	Guidelines on MPF Coverage on Employees Working Outside Hong Kong	5/02
IV.17	Guidelines on Contribution Arrangement of a Self-employed Person	8/02
IV.18	Guidelines on Contribution Arrangement of a Self-employed Person who Sustains a Loss	8/02
IV.19	Guidelines on Minimum and Maximum Levels of Relevant Income of a Self-employed Person	8/02
IV.20	Guidelines on Prepayment of Contributions	5/02
IV.21	Guidelines on Reports Relating to the Notification of Unclaimed Benefits	8/02

Appendix 4 (Cont'd)

LIST OF MPF GUIDELINES AND CODES

As at 31 March 2005

GUIDELINE NO.	NAME OF GUIDELINES	VERSION DATE
Part V	**Guidelines on ORSO Interface**	
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	6/04
V.11	Guidelines on MPF Exempted ORSO Schemes – Withdrawal of Minimum MPF Benefits	12/00
	Codes and Guides	
	Code of Conduct for MPF Intermediaries	11/02
	Code on MPF Investment Funds	12/99
	Erratum to the Code on MPF Investment Funds	5/00
	Guide to Registration as MPF Intermediaries	4/03
	Code on Disclosure for MPF Investment Funds	6/04