



Filing Form for Notice of Scheme Change(s) falling within 10.1B of the Code on Pooled Retirement Funds (PRF Code) and Do Not Require SFC's Prior Approval

This Filing Form should be used by applicant in support of any filing submitted to the Securities and Futures Commission (the "Commission" or the "SFC") on or after 30 November 2022 for changes falling within 10.1B of the PRF Code.

Amended

- The Product Provider is reminded to use/fill in this Filing Form for the purpose of filing for changes falling within 10.1B of the PRF Code.
- The Product Provider is reminded to tick ALL boxes that are applicable in this Filing Form.

To: Investment Products Division
Securities and Futures Commission
Attention: [name of officer (if applicable)]

Dear Sirs,

1. We _____ (acting on the instructions of _____ [state the name of Product Provider] (please delete if the Product Provider is making this filing directly)) hereby file to the Commission the notice to scheme participants regarding the change(s) falling within 10.1B of the PRF Code to the scheme(s) referred in paragraph 2 below.

2. The change(s) is/are related to the following scheme(s) authorized by the Commission:-

(a) Name of the PRF scheme

(b) Name and type¹ of the investment portfolio(s)

1. _____

2. _____

3. _____

4. _____

5. _____

(Please use separate sheet(s), if necessary)

¹ Please indicate the type of investment portfolio pursuant to 8.10 of the PRF Code, i.e. fund investing in SFC-authorized fund(s), cash management portfolio, guaranteed fund or direct investment fund.

3. (i) We confirm that while the change(s) is/are not subject to the Commission's prior approval pursuant to 10.1 of the PRF Code, such change(s) is/are in compliance with the applicable provisions of the PRF Code and other guidelines that are published by the Commission from time to time.

Nature of the change(s) is set out below:

- (a) Changes which fall within 10.1B of the PRF Code ("10.1B Changes")

Amended

Item	Brief details of change(s)	Please tick if the change(s) are made to comply with the revised requirements under the PRF Code and such change(s) does/do not fall within 10.1 of the PRF Code	Please tick if the change(s) are UF-driven changes (as defined in the PRF Code)
1.			
2.			
3.			
4.			
5.			

(Please use separate sheet(s), if necessary)

- (b) Changes of investment delegate(s) that do not require the SFC's prior approval

Newly added

- Replacement of existing investment delegate(s)

Name of new investment delegate(s): _____

Name of existing investment delegate(s): _____

- Appointment of new investment delegate(s)

Name of new investment delegate(s): _____

- Removal of existing investment delegate(s)

Name of existing investment delegate(s) to be removed: _____

- (ii) We confirm, with respect to the amendments to constitutive document(s)² of the scheme mentioned under paragraph 3(i) _____ *(please insert relevant number(s) to indicate which change(s))* above ("CD Amendments"), that:-

- (a) the amendments have been certified by the trustee/insurance company as provided under 10.2 of the PRF Code; or
- the amendments do not require prior approval from the SFC; or
- the amendments require prior approval from the scheme participants pursuant to the constitutive document(s) of the scheme and such approval has been obtained; or

² Please submit a copy of the (i) duly executed revised constitutive document(s) and (ii) revised constitutive document(s) with mark up changes and proper annotations against Appendix B to the PRF Code for the revised sections upon execution.

- (b) the amendments have been notified to the trustee/insurance company of the scheme and the trustee/insurance company does not have any objection thereto; or
- (c) the amendments reflect 10.1B Changes.
- (iii) We confirm, with respect to the replacement of existing investment delegate(s) and/or the appointment of new investment delegate(s) of the scheme(s) mentioned under paragraph 3(i)(b) above, that:-
- Newly added*
- (a) the new investment delegate(s) is/are currently managing other existing SFC-authorized fund(s) and belong(s) to the same corporate group as the management company or (in the case of delegation by the immediate delegate of the management company to the new sub-investment delegate(s)) the immediate delegate of the management company;
- (b) the change(s) will not involve any new proposed all-time investment management delegation arrangement or result in a change to any all-time investment management delegation arrangement currently adopted by the scheme(s); and
- (c) the duly completed and properly executed confirmation(s) and undertaking(s) as set out in the “Compliance Checklist for Application of Pooled Retirement Funds” which are applicable to the change(s) have been submitted in support of this Filing Form.
- (iv) We confirm, with respect to the removal of existing investment delegate(s) of the scheme(s) mentioned under paragraph 3(i)(b) above, that:-
- Newly added*
- (a) the confirmation(s)/undertaking(s) previously provided by the management company remain(s) valid; and
- (b) the investment delegate(s) to be removed was/were not appointed and delegated at all times with the investment management functions subject to the authorization conditions imposed by the SFC.
4. We confirm that, in respect of the change(s) as referred in paragraph 3 above, that: -
- (i) the notice to scheme participants contains the key information of the change(s); and
- (ii) the notice period to be provided to scheme participants is in compliance with the constitutive documents and offering documents of the PRF scheme and the applicable provisions of the PRF Code;
5. We confirm that the 10.1B Change(s):
- (i) the change(s) is/are in the process of obtaining approval from the Mandatory Provident Fund Schemes Authority (the “MPFA”);
- the change(s) has/have been approved by the MPFA; or
- the change(s) does/do not require approval by the MPFA;

- (ii) has/have been notified to the MPFA, who does not have any objection thereto; or
- does/do not require to be notified to the MPFA;

6. We confirm that unless otherwise specifically allowed for in this Filing Form, no deletion, addition or amendment has been made to standard template of the current prescribed Filing Form as published on the SFC website.

7. (If applicable) We have instructed _____ [*Please state name of law firm*] to act on our behalf in relation to this filing. The contact details of the lawyer(s) handling the matter are as follows:-

Name of lawyer-in-charge: _____

Position: _____

Telephone number: _____

Email: _____

Address: _____

Yours faithfully,

Name:
Position:
Duly authorized³
For and on behalf of
[*Applicant's name*]
Date:

³ The signatory is expected to be a senior-ranking executive of the Product Provider (or an appropriate person designated by the senior-ranking executive of the Product Provider) with overall responsibility for the filing.