

## Filing Form for Notice of Scheme Change(s) falling within 8.2B of the SFC Code on MPF Products (MPF 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 22 December 2023 for changes falling within 8.2B of the MPF Code.

- The issuer/applicant is reminded to use/fill in this Filing Form for the purpose of filing for changes falling within 8.2B of the MPF Code.
- The issuer/applicant 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 MPF issuer*] (*please delete if the MPF issuer is making this filing directly*)) hereby file to the Commission the notice to scheme participants or fund holders regarding the change(s) falling within 8.2B of the MPF 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 MPF scheme/umbrella fund (for approved pooled investment funds ("APIFs"))  
\_\_\_\_\_
  - (b) Name of the constituent fund(s) (for MPF scheme)/sub-fund(s) (for APIFs)
    1. \_\_\_\_\_
    2. \_\_\_\_\_
    3. \_\_\_\_\_
    4. \_\_\_\_\_
    5. \_\_\_\_\_  
(*Please use separate sheet(s), if necessary*)
  - (c) Name of the single fund(s) (for APIFs)
    1. \_\_\_\_\_
    2. \_\_\_\_\_

3. \_\_\_\_\_

4. \_\_\_\_\_

5. \_\_\_\_\_

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

3.  (i) We confirm that while the change(s) is/are not subject to the Commission's prior approval pursuant to 8.2 of the MPF Code, such change(s) is/are in compliance with the applicable provisions of the MPF 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 8.2B of the MPF Code ("8.2B Changes")

Item	Brief details of change(s)
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

- 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)<sup>1</sup> 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 do not require prior approval from the scheme participants or fund holders pursuant to the constitutive document(s) of

<sup>1</sup> Please submit a copy of the (i) duly executed revised constitutive document(s) and (ii) revised constitutive document(s) marked up against the latest version filed with the SFC.

- the scheme; or
- the amendments require prior approval from the scheme participants or fund holders pursuant to the constitutive document(s) of the scheme and such approval has been obtained;
- (b) the amendments have been notified to the trustee of the scheme and the trustee does not have any objection thereto;
- (c)  has/have been approved by the Mandatory Provident Fund Schemes Authority (“MPFA”); or  
 does/do not require the approval of the MPFA; and
- (d)  the amendments reflect 8.2B 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:-
- (a) the new investment delegate(s) is/are currently managing other existing SFC-authorized fund(s);
- (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 MPF Schemes” (for MPF scheme) / “Compliance Checklist for Application of Pooled Investment Funds” (for APIFs) 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:-
- (a) the confirmation(s)/undertaking(s) previously provided by the investment manager 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 the other 8.2B Change(s), save for the CD Amendments referred to in paragraphs 3(i) and 3(ii) above:
- has/have been approved by the MPFA; or  
 does/do not require the approval of the MPFA.
5. 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.

Amended

6. (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 authorized<sup>2</sup>

For and on behalf of

[*Applicant's name*]

Date:

<sup>2</sup> The signatory is expected to be a senior-ranking executive of the MPF issuer (or an appropriate person designated by the senior-ranking executive of the MPF issuer) with overall responsibility for the filing.