

**Membership Enrolment Form for Manulife ORSO Scheme**  
**宏利職業退休計劃僱員參加表格**  
 (Not applicable to MPF Exempted ORSO Registered Scheme)  
 (不適用於獲強積金豁免的註冊職業退休計劃)

## Notes:

- Please complete this form in BLOCK LETTERS and tick the appropriate boxes.
- Please initial next to any corrections you make on this form.
- Manulife will process this request upon receipt of this completed form and all pertinent document(s), if any.
- All specified amount must be in the currency selected by the Employer.
- In order to include this member on the Debit Note and the Accounting Statement, this form must reach Manulife at least 5 working days before the billing date.

## 注意事項:

- 請用正楷填寫本表格，並在適當空格內加✓號。
- 如須作出任何刪改，請於刪改之位置旁簽署。
- 宏利將於收訖已填妥表格及有關文件（如有）後處理是項申請。
- 所有金額須以有關僱主採用之貨幣計算。
- 宏利必須在付款通知書及會計報表的印發日期五個工作天前收訖此表格，方可包括此成員於該等文件內。

 Employer (Company) Name 僱主（公司）名稱： University of Macau

 Group Number 團體保單編號： GD 990747 — Subgroup Number 分組編號： \_\_\_\_\_

Certificate Number 證書編號： \_\_\_\_\_ (ONLY applicable to Group with certificate number specified by employer 只適用於由僱主訂明證書編號之團體保單)

**A. Personal Information 個人資料**

## 1. Name 姓名：

Surname in English 英文姓氏 _____	Given Name in English 英文名字 _____	Surname in Chinese 中文姓氏 _____	Given Name in Chinese 中文名字 _____
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 2. Sex 性別：  M 男      3.  HKID No. 香港身份證號碼： \_\_\_\_\_ (\_\_\_\_)

 F 女       Passport No. 護照號碼： \_\_\_\_\_  
 (ONLY for person without HKID Card 只供沒有香港身份證的人士填寫)

dd 日 / mm 月 / yyyy 年	dd 日 / mm 月 / yyyy 年
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4. Date of Birth 出生日期： \_\_\_\_\_      5. Employment Date 受僱日期： \_\_\_\_\_

 6. Coverage Date 保障生效日期： 01 / \_\_\_\_ / \_\_\_\_

## 7. Contribution Information 供款資料

Must fill in 必須填寫	If applicable 如適用				
	Please provide information for contribution as defined in the Plan Document. 請參照「計劃文件」內釐定的供款細則，提供所需資料。				
(a) Monthly Salary 月薪 HKD港元 / USD美元 <sup>#</sup>	(b) Employee Monthly Optional Contribution 僱員自選每月供款 Amount 金額 / Percentage 百分比 <sup>#</sup>	(c) Current Monthly Fixed Contribution 現時每月固定供款金額 HKD港元 / USD美元 <sup>#</sup>		(d) Title / Member Category 職位 / 成員類別 (如：1, 2, 3)	(e) Schedule Class 計劃類別
		Employee 僱員	Employer 僱主		
		NA 不適用	NA 不適用		NA 不適用

(# Please delete whichever is inappropriate 請刪除不適用處)

## 8. Current Residential Address 現時住址： (all correspondence will be sent to the following address 所有通訊文件將寄往以下地址)

Room / Flat 室 _____	Floor 樓 _____	Block 座 _____	Name of Building / Estate 大廈 / 屋邨名稱 _____
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Street No. & Name 街道名稱及號碼 _____	District 地區 _____	<input type="checkbox"/> Hong Kong 香港 <input type="checkbox"/> Kowloon 九龍 <input type="checkbox"/> New Territories 新界
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City 城市* _____	Postal Code 郵寄代碼* _____	Country 國家* _____
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\* Mandatory for overseas address 海外地址必須填寫

9. Mobile Phone* 手提電話： (_____) (Country Code 國家號碼) Phone No. 電話號碼	10. Residential Tel.* 住宅電話號碼： (_____) (Country Code 國家號碼) Phone No. 電話號碼
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\* The number will be taken as a Hong Kong phone number if you do not fill in the space for "Country Code". 如沒有填寫“國家號碼”，該號碼將被視為香港電話號碼。

11. Email Address 電郵地址： \_\_\_\_\_ @ \_\_\_\_\_

All the above contact information applies to all of your products / services in Hong Kong and Macau provided by all companies within the Manulife group of companies and also companies which provide trustee / custodian services to Manulife. 以上所有聯絡資料，均適用於您持有，並由宏利集團旗下公司，以及為本公司提供信託 / 託管服務的公司，於香港及澳門所提供的產品 / 服務上。

 To apply the above address to this member account only, please "✓" this box. 如以上地址只適用於此成員帳戶，請在方格內填上「✓」號。

 For Office Use:  ID


**B. Investment Choice 投資選擇 (for those policies with investment choices made by Employees 只適用於容許僱員作出投資選擇之保單計劃)****Important Notes 重要事項：**

- After this investment choice takes effect, the below specified contribution % will be applied to all future contributions and monies that have NOT yet been allocated under the account.  
以下指示之供款分配率將於此投資選擇生效後，適用於所有在帳戶內未經分配的新供款及金額。
- A minimum of 5%, and in whole number is required for each selected fund. The allocation percentage must add up to 100% in total.  
每項所選之基金之最低分配率為百分之五並且必須為整數。供款分配率之總和必須等於百分之一百。
- In the event of (i) invalid, unclear or incomplete investment instructions; or (ii) no investment instruction is being provided; all future employee and employer contributions will be allocated according to your employer's investment allocation or any other method as determined by Manulife from time to time until completion of the processing of any further investment instructions received by Manulife.  
如(i)所註明的投資指示不符合規定、不清晰、不完整；或(ii)沒有註明任何投資指示，則日後所有僱員及僱主供款將會根據您的僱主的投資分配或宏利不時決定的其他方法進行分配，直至宏利收到並完成處理進一步投資指示。
- For the information of Investment Choice, including Fund Price and Fund Fact Sheet, please refer to Manulife website www.manulife.com.hk.  
有關投資選擇資料，包括基金價格及基金概覽，請參閱宏利網頁www.manulife.com.hk。

Fund Name 基金名稱	Allocation of Employee Contribution (%) 僱員供款分配率	Allocation of Employer Contribution (%) 僱主供款分配率
Capital Guarantee Fund 資金保證基金 (D-067)	%	%
International Equity Fund 國際股票投資基金 (S-065)	%	%
International Bond Fund 國際債券基金 (S-066)**	%	%
Balanced Fund 均衡基金 (S-068)**	%	%
Pacific Asian Equity Fund 亞太股票投資基金 (S-071)	%	%
Japan Equity Fund 日本股票投資基金 (S-072)	%	%
North American Equity Fund 北美股票投資基金 (S-073)	%	%
European Equity Fund 歐洲股票投資基金 (S-074)	%	%
Hong Kong Equity Fund 香港股票投資基金 (S-075)	%	%
Stable Fund 穩健基金^ (S-078)**	%	%
Aggressive Fund 進取基金^ (S-079)**	%	%
China Value Fund 中華威力基金^ (S-080)**	%	%
Healthcare Fund 康健護理基金^ (S-081)**	%	%
Hang Seng Index Tracking Fund 恒指基金^ (S-082)**	%	%
Schroder Balanced Investment Fund 施羅德組合投資基金^ (S-083)**	%	%
US Equity Strategic Fund 美國股票策略投資基金^ (S-084)**	%	%
JPMorgan Global Bond Fund 摩根環球債券基金^ (S-085)**	%	%
Technology Fund 科技基金^ (S-086)**	%	%
Total 合共	100 %	100 %

\*\* For Manulife (MIL) Product only (That is, scheme setup after May 1995) 只適用於Manulife(MIL)產品 (即計劃在1995年5月之後成立)

^ Applicable to Hong Kong dollar policy only. 只適用於以港元作貨幣單位的保單。

**C. Tax Residency Self-Certification (Must Fill) 稅務居民身份自我證明 (必須填寫)****US Foreign Account Tax Compliance Act 美國海外帳戶稅收合規法案**

By signing on this application, I certify that 本人簽署本申請書，特茲證明：

The answer below is true and accurate, and I agree to notify Manulife within 30 days if there is any change in any of the information which I have provided. 以下回答乃真確無誤，本人所提供之資料若有任何變更，本人同意在三十天內通知宏利有關變動。

**Are you a United States person, being a U.S. citizen, U.S. resident for U.S. federal income tax purposes or U.S. Resident Alien (i.e. a so-called U.S. Green Card holder) 您是否美國人士、美國公民、符合美國所得稅目的之美國居民，或擁有美國居民身份之外僑 (即美國綠卡持有人) ?**

**Yes 是** (Please provide your consent to report along with U.S. TIN, by submitting the Form W-9. Please also complete your U.S. jurisdiction of tax residency and TIN in Automatic Exchange of Financial Account Information in Tax Matters Section.)  
(請提交W-9表格，以表示您同意申報並提供閣下的美國稅務識別號碼。請同時於自動交換財務帳戶資料部份填寫有關美國稅務居民司法管轄區及美國稅務編號的資料。)

**No 否**

Instructions for the above:

- You must answer "Yes" if you are a U.S. citizen even though you reside outside of the U.S.
- You must answer "Yes" if you hold multiple citizenships, one of which is U.S. citizenship.
- You must answer "Yes" if you were born in the U.S. (or U.S. Territory) and have not legally surrendered U.S. citizenship.
- You may be considered a U.S. resident for U.S. federal income tax purposes (and therefore, must answer "Yes") if you meet the "Substantial Physical Presence Test". You will meet this test if, for instance, during the current year, you were present in the U.S. for at least 183 days under a specified formula. For more details, please refer to the information on the IRS' website <http://www.irs.gov/Individuals/International-Taxpayers/Substantial-Presence-Test>.
- You must answer "Yes" if the U.S. Citizenship and Immigration Service (USCIS) has issued you a U.S. alien registration card as a lawful permanent resident of the United States.
- You must answer "Yes" irrespective of your Green Card's expiration date and irrespective of whether such expiration date has passed as of the date you sign and complete this form.
- You should answer "No" if your Green Card has been officially abandoned, revoked, or relinquished as of the date you sign and complete this form and you are not a US citizen or a U.S. resident for U.S. federal income tax purposes for any other reason.
- The above certification is mandatory for enrolment on or after July 1, 2014.

重要事項：

- 如您為美國公民，即使在美國境外定居，仍須回答「是」。
- 如您持有重國籍包括美國公民身份，必須回答「是」。
- 如您出生在美國 (或美國屬地) 出生而且並未合法放棄美國公民身分，必須回答「是」。
- 如您通過「親身居留測試」，可視作符合美國所得稅目的之美國居民 (故此必須回答「是」)。舉例說，按指定計算方法，如您在本年度停留美國至少183天，則視作通過有關測試。有關詳情，請瀏覽美國稅務局網站 (<http://www.irs.gov/Individuals/International-Taxpayers/Substantial-Presence-Test>)。
- 如您獲美國公民與移民事務局發出外國人登記卡作為永久合法居留美國的證明，必須回答「是」。
- 不論您所持綠卡何日到期，亦不論您在簽署及填交本表格當天是否已屆綠卡到期日，均須回答「是」。
- 在簽署及填交本表格當天，若您已正式放棄、撤銷或取消您所持綠卡，而且已非美國公民、符合美國所得稅目的或其他原因之美國居民，請回答「否」。
- 所有於2014年7月1日或之後之僱員參加申請均須附有上述證明。

## Automatic Exchange of Financial Account Information in Tax Matters 自動交換財務帳戶資料

This is a self-certification provided by you to Manulife for the purpose of Automatic Exchange of Financial Account Information ("AEOI") in compliance with tax law and regulations (including but not limited to the Inland Revenue Ordinance (Cap.112) and regulations based on the Organisation for Economic Co-operation and Development ("OECD") Common Reporting Standard ("CRS") for automatic exchange of information). The data collected may be transmitted by Manulife to the Inland Revenue Department ("IRD") which may further exchange such information to the competent authority of another reportable jurisdiction.

這是您向宏利提供的自我證明，以作自動交換財務帳戶資料用途以遵守稅務法律及規例（包括但不限於《稅務條例》（第112章）和根據自動交換資料有關的經濟合作與發展組織（“OECD”）《共同匯報標準》（“CRS”）的規則）。宏利可把收集所得的資料交給稅務局，稅務局會將資料交到另一申報稅務司法管轄區的主管部門。

This self-certification will remain valid unless there is any change in circumstances relating to your status of tax residency(ies). You must notify Manulife within 30 days if there is any change in circumstances that makes any of the information provided in any parts of this self-certification form incorrect or incomplete and provide an updated self-certification form.

這自我證明是有效文件除非您的稅務居住地相關的情況有所改變。如情況有所改變，以致影響本自我證明所述的個人的稅務居民身份，或引致本表格任何部分所載的資料不正確或不完整，您必須在情況有所改變後的30天內通知宏利有關的改變並提供最新的自我證明。

Manulife **MUST** obtain the complete and valid tax residency self-certification for the setting up of member record. To avoid any delay in the setting up of member record and contribution settlement (if any), please read and complete all the appropriate parts below.

宏利在開立成員帳戶前，**必須**取得完整及有效的稅務居民身份自我證明。為避免成員帳戶開立及供款處理（如有）有任何延誤，請細閱並完成以下所有適用部分。

As a financial institution, Manulife is not allowed to give tax or legal advice. If you have any questions regarding your tax residency, please consult your tax adviser or visit the OECD and Inland Revenue Department's AEOI website at <http://www.oecd.org/tax/automatic-exchange/crs-implementation-and-assistance/> and [http://www.ird.gov.hk/eng/tax/dta\\_aeoi.htm](http://www.ird.gov.hk/eng/tax/dta_aeoi.htm) respectively, or simply scan the QR code, for more CRS and related information.

作為金融機構，宏利不獲允許提供稅務或法律意見。若您對您的稅務居民身份有任何疑問，請諮詢專業稅務顧問或瀏覽OECD (<http://www.oecd.org/tax/automatic-exchange/crs-implementation-and-assistance/>) 及 稅務局 ([http://www.ird.gov.hk/eng/tax/dta\\_aeoi.htm](http://www.ird.gov.hk/eng/tax/dta_aeoi.htm)) 有關自動交換財務帳戶資料的網頁，或掃描此二維碼，以獲取更多 CRS 及相關資料。



(OECD)



(IRD稅務局)

The personal information, including name, HKID No., date of birth and current residential address, provided in Part A forms part of this self-certification. 於A部分提供的個人資料，包括姓名、香港身份證號碼、出生日期及現時住址，會成為此自我證明的一部分。

(1) I hereby declare that, 本人在此聲明：

(Please put a "✓" in the appropriate box and fill in the information, if required. 請在適當的方格上填上「✓」及填寫所需資料。)

My Tax Residence is 本人之稅務居住地

Hong Kong **ONLY**, with no tax residence in any other jurisdictions (Taxpayer Identification Number (TIN): my HKID Card No. provided)  
只有香港，及沒有處於任何其他司法管轄區的稅務居住地（稅務編號：本人提供的香港身份證號碼）  
(You may skip Part C(2). 您可略過C(2)部分。)

Hong Kong (Taxpayer Identification Number (TIN): my HKID Card No. provided) and also some other jurisdictions  
是香港（稅務編號：本人提供的香港身份證號碼）及其他司法管轄區  
(Please fill out Part C(2). 請填寫C(2)部分。)

NOT Hong Kong, but instead some other jurisdictions  
不是香港而是其他司法管轄區  
(Please fill out Part C(2). 請填寫C(2)部分。)

(2) Please list all jurisdictions where you are a resident for tax purposes and Taxpayer Identification Number or its Functional Equivalent (TIN) for each jurisdiction (If you have provided HKID No. in Part A the Personal Information, you are not required to fill out the information in regard to Hong Kong Tax Residence below). If the space provided is insufficient, please provide it in the below format on additional sheet(s). Please refer to the OECD website at <https://www.oecd.org/tax/automatic-exchange/crs-implementation-and-assistance/tax-residency> or simply scan the QR code for tax residency related information.

請在以下列明您在所有司法管轄區符合稅務的居民的稅務編號或具有等同功能的識別編號（稅務編號）（如您已在A部份「個人資料」欄提供香港身份證號碼，則無須於下方填寫香港稅務居住地資料）。如下列位置不敷應用，請按以下格式另加新頁。請參考 OECD 網站：<https://www.oecd.org/tax/automatic-exchange/crs-implementation-and-assistance/tax-residency> 或掃描此二維碼的稅務居民資料。



(OECD-TR)

Jurisdiction of Tax Residency 稅務居民司法管轄區	TIN <sup>Remarks 1</sup> 稅務編號 <sup>註1</sup>	If no TIN available, please indicate Reason A, B or C below <sup>Remarks 2</sup> 若未能提供稅務編號，請於下方填上理由A、B或C <sup>註2</sup>	Please explain why you are unable to obtain a TIN if you selected Reason B. 若您選擇理由B，請在下方解釋無法取得稅務編號的原因。
1			
2			
3			

Reason A : The jurisdiction where the account holder is a resident for tax purposes does not issue TINs to its residents.  
理由 A - 帳戶持有人所屬的稅務居民司法管轄區沒有向其居民發出稅務編號。

Reason B : The account holder is unable to obtain a TIN. (Please explain why you are unable to obtain TIN in the above table if you have selected this reason.)  
理由 B - 帳戶持有人無法獲得稅務編號。（若您選擇這理由，請在上表解釋您無法獲得稅務編號的原因。）

Reason C : No TIN is required. (Note: Only select this reason if the authority of the relevant jurisdiction of residence does not require the TIN to be disclosed.)  
理由 C - 無需稅務編號。（註：只有在相關司法管轄區的主管當局不需要披露該司法管轄區發出的稅務編號方可選擇這理由。）

**WARNING :** It is an offence under section 80(2E) of the Inland Revenue Ordinance if any person, in making a self-certification, makes a statement that is misleading, false or incorrect in a material particular AND knows, or is reckless as to whether, the statement is misleading, false or incorrect in a material particular. A person who commits the offence is liable on conviction to a fine at level 3 (i.e. HK\$10,000).

**警告：**根據《稅務條例》第80（2E）條，如任何人在作出自我證明時，在明知一項陳述在要項上屬具誤導性、虛假或不正確，或罔顧一項陳述是否在要項上屬具誤導性、虛假或不正確下，作出該項陳述，即屬犯罪。一經定罪，可處第3級（即HK\$10,000）罰款。

## D. Declaration 聲明

It is hereby DECLARED, UNDERSTOOD AND AGREED that :

As a member of the scheme, I shall be bound by the provisions of the Pooling Agreement.

I declare that, to the best of my knowledge and belief, the information given in this form/and its attachments is correct and complete.

I have read all the notes on this form. All information supplied hereunder together with any subsequent alterations thereof will be accurate. The scheme administrator will be authorized to collect any updated information from me.

I hereby authorize my employer to obtain from me any updated information and/or any additional information that are reasonably required by Manulife to administer the Scheme and to provide the same to Manulife to enable Manulife to administer the Scheme. The said information may be treated by Manulife in the same manner as mentioned above and in the "Notice to Customers relating to the Personal Data (Privacy) Ordinance".

I understand that I should seek professional advice from a qualified investment consultant before making any investment decision. I hereby declare that the investment decision indicated herein above in Part B has been reached as a result of my own independent judgement and opinion.

I undertake that if there is any change in the information provided, I shall notify Manulife as soon as reasonably practicable. I also undertake to supply additional information in respect of me to Manulife upon request for the purpose of complying with the Anti-Money Laundering and Counter-Terrorist Financing (Financial Institutions) Ordinance.

I acknowledge and agree that (i) the information contained in Part A and Part C is collected and may be kept by Manulife for the purpose of automatic exchange of financial account information and (ii) such information and information regarding the account holder and any reportable account(s) may be reported by Manulife to the Inland Revenue Department of the Government of the Hong Kong Special Administrative Region and exchanged with the competent authorities of a reportable jurisdiction(s) in which the account holder may be a resident for tax purposes, pursuant to the legal provisions for exchange of financial account information provided under the Inland Revenue Ordinance (Cap.112) and (iii) I agree to the obligation that the account holder must comply with requests made by Manulife to comply with the CRS (AEOI) requirements under the Inland Revenue Ordinance and/or applicable laws and regulations, and such obligation forms the basis of the account to be opened.

I undertake to advise Manulife of any change in circumstances which affects the tax residency status of the individual identified in Part C or causes the information contained herein to become incorrect or incomplete, and to provide Manulife with a suitably updated self-certification within 30 days of such change in circumstances.

I acknowledge and agree to the right of Manulife (including its sponsored funds/entities) not to accept this enrolment application or to terminate my membership under the policy (if applicable) in case I cannot satisfy their requirements on any of their regulatory or tax compliance obligations.

I declare that the information on the above Part C Certifications section is true, correct, and complete.

I have received and read the "Notice to Customers relating to the Personal Data (Privacy) Ordinance" ("Notice"). I understand and agree to the Notice. I confirm my consent as referred to in the sections entitled **Use of Personal Data in Direct Marketing and Provision of Personal Data for Use in Direct Marketing** of the Notice subject to any objection as indicated by me below:

(IMPORTANT NOTES: Please note that direct marketing can include offers of special discounts, coupons or gift items. You can leave these boxes blank.)

I object to Manulife using my personal data in direct marketing as referred to in the section entitled **Use of Personal Data in Direct Marketing** of the Notice.

Any person or entity which is not a party to the Pooling Agreement shall have no rights under the Contracts (Rights of Third Parties) Ordinance (Cap. 623 of the Laws of Hong Kong) to enforce any terms of this Pooling Agreement.

本人明白並同意：

本人作為計劃成員，將受匯集協議之規定及條例所管限。

本人聲明，就本人所知及所信，本表格上提供的資料/及其附件均屬正確及完整。

本人已閱讀本表格之所有注意事項。本人於本表格內提供之資料及其後作出之修訂均正確無誤。計劃管理人亦將獲授權向本人收集任何更新資料。

本人謹此授權僱主向本人索取或更新提供之資料及/或已提交予宏利因管理計劃而需取得之額外資料，並向宏利提供該等資料以便宏利管理計劃。宏利可按以上及於《有關〈個人資料（私隱）條例〉的客戶通知》所述，處理有關資料。

本人明白本人在作出任何投資決定前，須先向合資格投資顧問尋求專業建議。本人特此聲明於B部分之投資決定，乃出於本人之獨立判斷及意見。

本人承諾假使所提供的資料有任何更改，本人將於合理的切實可行範圍內盡快通知宏利有關之改動。本人並承諾會因應宏利的要求提供本人的附加資料以遵守《打擊洗錢及恐怖分子資金籌集（金融機構）條例》。

本人確認及同意，宏利可根據《稅務條例》（第112章）有關交換財務帳戶資料的法律條文(i)收集於A及C部分所載資料並可備存作自動交換財務帳戶資料用途及(ii)把該等資料和關於帳戶持有人及任何須申報帳戶的資料向香港特別行政區政府稅務局申報，從而把資料交換到帳戶持有人的稅務司法管轄區的主管當局，以及(iii)本人同意帳戶持有人必須遵守宏利的要求以便遵守《稅務條例》及/或適用法律及規例的CRS (AEOI) 規定，並為日後開立帳戶之基礎。

本人承諾，如情況有所改變，以致影響於C部分所述的個人的稅務居民身份，或引致其所載的資料不正確或不完整，本人會通知宏利，並會在情況發生改變後30天內，向宏利提交一份適當更新的自我證明。

本人確認並同意，若本人未能符合就有關法規或稅務符規條款的要求，宏利(包括以宏利作為合規保證人之基金/機構)將有權拒絕此參與計劃之申請或終止本人於本計劃之成員資格(如適用)。

本人特此聲明於C部分聲明內之內容正確無訛及為事實之全部。

本人已收訖及閱畢《有關〈個人資料（私隱）條例〉的客戶通知》（「通知」）。本人清楚明白及同意該通知之內容。除本人如下所示提出之任何反對外，本人確認同意該通知內以**個人資料在直接促銷中的使用及提供個人資料作直接促銷**為標題之內容。

(重要提示：請注意直接促銷用途可包括提供特別折扣、優惠券或禮品。閣下可將這些空格留空。)

本人反對宏利按該通知內以**個人資料在直接促銷中的使用**為標題的部分，將本人之個人資料作直接促銷用途。

任何不是本匯集協議某一方的人士或實體，不能根據《合約（第三者權利）條例》（香港法例第623章）強制執行本匯集協議的任何條款。



Employee's Signature 僱員簽署

Date 日期

I/We declare that I/we have verified the identification information of the applicant on this application form against the proper identification documents including the Hong Kong Identity Card issued by the government authority in accordance with the Registration of Persons Ordinance.

本人/本人等聲明本人/本人等已核對此表格上的申請人載於合法身份證明文件內的資料，身份證明文件包括政府機關依人事登記條例發出的香港身份證。

	Company Chop 公司印章
	Employer's Authorized Signature 僱主授權人士簽署
Name & Title (in Block Letters) 姓名及職銜（正楷）	Date 日期

Completed form should be sent to the scheme administrator,

"Provident Funds Services, Manulife (International) Limited, 21/F, Tower A, Manulife Financial Centre, 223 - 231 Wai Yip Street, Kwun Tong, Kowloon, Hong Kong".  
請將填妥的表格寄交計劃管理人「香港九龍觀塘偉業街223 - 231號宏利金融中心A座21樓宏利人壽保險（國際）有限公司公積金服務部」。

## Notice to Customers relating to the Personal Data (Privacy) Ordinance (Version 20130401-01)

### DEFINITIONS

1. “**Data access request**”, “**data correction request**”, “**data subject**”, “**data user**”, “**direct marketing**”, “**matching procedures**” and “**personal data**” used throughout this Notice shall have the meaning as defined in the Ordinance.

For the purpose of this Notice:

“**customers**” shall mean data subjects and include (but not be limited to) existing and prospective insurance policy owners, insured, beneficiaries and other persons designated or entitled to receive moneys and/or other benefits under an insurance policy; and members under an occupational retirement scheme; and scheme members under a mandatory provident fund scheme; and share/unit holders of investment funds.

“**Hong Kong**” shall mean the Hong Kong Special Administrative Region.

“**Manulife**” shall mean Manulife (International) Limited, Manulife Provident Funds Trust Company Limited, Manulife Investment Management (Hong Kong) Limited, or a Manulife Fund (as the case may be) in respect of its respective customers.

“**Manulife Fund**” shall mean any investment fund sponsored or managed from time to time by a member of the Manulife Group (including but not limited to Manulife Global Fund and Manulife Advanced Fund SPC) and “**Manulife Funds**” shall mean all such investment funds.

“**Manulife Group**” shall mean Manulife Financial Corporation and its subsidiaries and affiliates (including but not limited to Manulife (International) Limited, Manulife Provident Funds Trust Company Limited, Manulife Investment Management (Hong Kong) Limited, and Manulife Funds. The rights and obligations of each member of Manulife Group under this Notice are several and not joint. No member of Manulife Group shall be liable for an act or omission by another member of Manulife Group.

“**Ordinance**” shall mean Personal Data (Privacy) Ordinance.

### COLLECTION

2. From time to time, it is necessary for customers to supply Manulife with personal data in connection with the establishment or continuation of business relationship, or provision of products or services. Failure to supply such data may result in Manulife being unable to establish or continue the business relationship, or provide products or services.
3. It is also the case that personal data are collected or received by Manulife from and/or in respect of customers in the ordinary course of the continuation of the business relationship, for example, when an application is made for a change of beneficiary/insured member under the insurance policy; or when notification is made by the employer of a change of employment/address of an employee member of an occupational retirement scheme/mandatory provident fund scheme; or when a joint share holder of an investment fund applies for investment fund switching.

### PURPOSES

4. The purposes for which personal data of a customer may be used will vary depending on the nature of the customer’s relationship with Manulife. Such purposes may include the following:
- processing, assessing and determining applications or requests made by customers for products and/or services;
  - administering, maintaining, managing and operating products and/or services provided to customers;
  - confirming customer’s identity and uniquely identifying customer;
  - confirming the accuracy of the information collected;
  - understanding customer’s financial situation better, evaluating customer application, assessing the risks Manulife is assuming and reviewing claims submitted to Manulife;

- any purposes in connection with any claims made by or against or otherwise involving customers in respect of any products and/or services including but not limited to making, defending, analysing, investigating, processing, assessing, determining or responding to such claims;
- providing investment management services, dealing and advisory services, custody services and other services under the terms and conditions of the accounts a customer holds with Manulife;
- performing any functions and activities related to products and/or services including but not limited to marketing, audit, reporting, research, analysis, reinsurance, and general servicing and maintenance of online and other services;
- researching and/or designing products and/or services for customers, and promoting, improving and furthering the provision of products and/or services;
- conducting matching procedures (as defined in the Ordinance, but broadly includes comparison of two or more sets of the data subject’s data, for purposes of taking actions adverse to the interests of the data subject, such as declining an application);
- making disclosure under and/or complying with the requirements of any law, rules, regulations, codes of practice, guidelines or guidances binding on or applicable to Manulife or any member of Manulife Group (whether within or outside Hong Kong) including but not limited to making disclosure to local or foreign regulators, governmental bodies, industry recognised bodies (whether within or outside Hong Kong) such as federations or associations of insurers, credit reference agencies or auditors;
- complying with any contractual or other commitment or arrangement with local or foreign regulators, governmental bodies, or industry recognised bodies (whether within or outside Hong Kong) that is assumed by or imposed on Manulife or any member of Manulife Group by reason of its financial, commercial, business or other interests or activities in or related to the jurisdiction of the relevant local or foreign regulators, governmental bodies, or industry recognised bodies;
- for operational purposes, credit assessment, credit scoring models or statistical analysis (including in each case, behaviour analysis and evaluation on the overall relationship with Manulife Group which includes using such data to comply with any obligations, requirements, policies, procedures, measures or arrangements for sharing data and information within Manulife Group and/or other use of data and information in accordance with any Manulife Group-wide programmes for compliance with sanctions or prevention or detection of money laundering, terrorist financing or other unlawful activities), whether on the data subjects or otherwise;
- exercising any rights Manulife may have in connection with the provision to customers of products and/or services;
- conducting identity and/or credit checks;
- determining any amount of indebtedness owing to or from customers, and collecting and recovering any amount owing from customers or any person who has provided any security or undertaking for customers’ liabilities;
- enabling an actual or proposed assignee, transferee, participant or sub-participant of the rights or business of Manulife or any member of Manulife Group to evaluate the transaction intended to be the subject of the assignment, transfer, participation or sub-participation;
- purposes specifically provided for in any particular service or product offered by Manulife;
- any purposes relating to the above (including seeking professional advices) or any other purposes in accordance with the general policies of Manulife or any member of Manulife Group in relation to insurance, occupational retirement schemes, mandatory provident fund schemes, investment funds, wealth management services and other financial products and services as set out in notices, circulars, or other terms and conditions made available by Manulife or any member of Manulife Group to customers from time to time.

## TRANSFEREES

5. Personal data of a customer held by Manulife will be kept confidential but Manulife may transfer such data to the following persons and/or entities (whether within or outside Hong Kong) for any of the purposes set out in paragraph 4 above:
- (a) any person in connection with any claims made by or against or otherwise involving customers in respect of any products and/or services;
  - (b) any agent, contractor or third party service provider who provides administrative, telecommunications, computer, information technology, payment, data processing or storage, marketing, mailing, printing, telemarketing, customer satisfaction analysis, or other services to Manulife or any member of Manulife Group in connection with the operation of business, including any custodian, administrator, investment manager, investment advisor or distributor;
  - (c) any credit reference agencies or, in the event of default, any debt collection agencies;
  - (d) any advisor (including his or her employees) or other intermediary (including their employees);
  - (e) reinsurers and medical service providers;
  - (f) employers of the customers;
  - (g) any person which has undertaken to Manulife or any member of Manulife Group to keep such data confidential;
  - (h) any actual or proposed assignee, transferee, participant or sub-participant of the rights or business of Manulife or Manulife Group;
  - (i) any member of Manulife Group;
  - (j) any person to whom Manulife or any member of Manulife Group is under an obligation or otherwise required to make disclosure under the requirements of any law, rules, regulations, codes of practice, guidelines or guidances binding on or applicable to Manulife or any member of Manulife Group including but not limited to any local or foreign regulators, governmental bodies, or industry recognised bodies;
  - (k) any person to whom Manulife or any member of Manulife Group is under an obligation or otherwise required to make disclosure pursuant to any contractual or other commitment or arrangement with local or foreign regulators, governmental bodies, or industry recognised bodies (whether within or outside Hong Kong) that is assumed by or imposed on Manulife or any member of Manulife Group by reason of its financial, commercial, business or other interests or activities in or related to the jurisdiction of the relevant local or foreign regulators, governmental bodies, industry recognised bodies.

## USE OF PERSONAL DATA IN DIRECT MARKETING

6. Manulife intends to use, from time to time, customer's personal data in direct marketing of the following products and services:
- (a) insurance, provident funds and/or schemes, investment funds, wealth management services, or other financial products and services;
  - (b) reward, loyalty or privilege programmes and related products and services;
  - (c) products and services of co-branding partners of any member of Manulife Group (the names of such co-branding partners can be found in the application form(s) for the relevant products and services as the case may be).

Only the following kinds of personal data of the customer may be used in such direct marketing:

- (a) name;
- (b) gender;
- (c) date of birth;
- (d) part of identity card or passport number;
- (e) contact information (including but not limited to phone number, fax number, email address, correspondence address and residential address);
- (f) information about the products and/or services the customer has purchased or applied, including the distribution channels (including

their individual advisors or intermediaries) through which the products and/or services were purchased or applied for.

Manulife may not so use the data unless it has received the customer's consent to the intended use.

## PROVISION OF PERSONAL DATA FOR USE IN DIRECT MARKETING

7. Manulife intends to provide, from time to time and **for money and other property**, customer's personal data to Manulife Group (other than Manulife itself) for use by Manulife Group in direct marketing of the following products and services:
- (a) insurance, provident funds and/or schemes, investment funds, wealth management services, or other financial products and services;
  - (b) reward, loyalty or privilege programmes and related products and services;
  - (c) products and services of co-branding partners of any member of Manulife Group (the names of such co-branding partners can be found in the application form(s) for the relevant products and services as the case may be).

Only the following kinds of personal data of the customer may be provided to Manulife Group (other than Manulife itself) for use by Manulife Group in such direct marketing:

- (a) name;
- (b) gender;
- (c) date of birth;
- (d) part of identity card or passport number;
- (e) contact information (including but not limited to phone number, fax number, email address, correspondence address and residential address);
- (f) information about the products and/or services the customer has purchased or applied, including the distribution channels (including their individual advisors or intermediaries) through which the products and/or services were purchased or applied for.

Manulife may not so provide the data unless it has received the customer's written consent to the intended provision.

8. Under the Ordinance, a data subject has the right to:
- (a) request access to his or her personal data;
  - (b) request correction of any of his or her personal data which is inaccurate;
  - (c) ascertain a data user's policies and practices in relation to personal data;
  - (d) be informed of the kind of personal data held by the data user;
  - (e) be informed of the main purposes for which personal data held by the data user are or are to be used;
  - (f) make data access request and data correction request through the channel set out in paragraph 9 below.
9. In accordance with the provisions of the Ordinance, Manulife has the right to charge a reasonable fee for processing any data access request. Requests may be made in writing to the Privacy Officer at:

Manulife (International) Limited  
22/F., Tower A, Manulife Financial Centre, 223-231 Wai Yip Street,  
Kwun Tong, Kowloon, Hong Kong.

Manulife Provident Funds Trust Company Limited  
22/F., Tower A, Manulife Financial Centre, 223-231 Wai Yip Street,  
Kwun Tong, Kowloon, Hong Kong.

Manulife Investment Management (Hong Kong) Limited  
23/F., Manulife Tower, One Bay East,  
83 Hoi Bun Road, Kwun Tong, Kowloon, Hong Kong.

Manulife Global Fund, Manulife Advanced Fund SPC, or any of other Manulife Funds  
23/F., Manulife Tower, One Bay East,  
83 Hoi Bun Road, Kwun Tong, Kowloon, Hong Kong.

## 有關《個人資料(私隱)條例》的客戶通知 (20130401-01 版本)

### 定義

1. 本通知中使用的「查閱資料要求」、「改正資料要求」、「資料當事人」、「資料使用者」、「直接促銷」、「核對程序」及「個人資料」，具有《條例》中規定的含義。

就本通知而言：

「客戶」指資料當事人，包括（但不限於）現有及潛在保單持有人、受保人、受益人或指定或有權獲得保單下的款項及/或其他利益的其他人士；及職業退休計劃下的成員；及強積金計劃下的計劃成員；及投資基金的股份/單位持有人。

「香港」指香港特別行政區。

「宏利」指與各自客戶相關的宏利人壽保險(國際)有限公司、宏利公積金信託有限公司、宏利投資管理(香港)有限公司或某一宏利基金(視情況而定)。

「某一宏利基金」指由宏利集團的某一成員不時所發起或管理的任何投資基金(包括但不限於宏利環球基金及宏利盈進基金SPC)，而「宏利基金」指所有此等投資基金。

「宏利集團」指宏利金融有限公司及其子公司和關聯公司(其中包括但不限於宏利人壽保險(國際)有限公司、宏利公積金信託有限公司、宏利投資管理(香港)有限公司)及宏利基金。宏利集團每一成員於本通知下的權利和義務，均為單獨而非連帶的。對於宏利集團另一成員的任何作為或不作為，宏利集團的任何其他成員概不承擔任何責任。

「條例」指《個人資料(私隱)條例》。

### 收集

2. 為建立或繼續業務關係或提供產品或服務，客戶需要不時向宏利提供個人資料。如未能提供該等資料可能導致宏利無法建立或繼續業務關係，或無法提供產品或服務。
3. 另外，宏利在業務關係存續的正常過程中(例如，申請變更保單下的受益人/受保人；或僱主通知變更參與職業退休計劃/強積金計劃的僱員成員的僱用情況/地址；或投資基金聯合股份持有人申請基金轉換)從客戶處及/或針對客戶收集或獲得個人資料。

### 目的

4. 取決於客戶與宏利的關係性質，使用客戶個人資料的目的各有不同。該等目的可能包括：
- (a) 處理、評估和確定客戶對產品及/或服務的申請或要求；
  - (b) 執行、維持、管理和運作向客戶提供的產品及/或服務；
  - (c) 確認客戶身份並識別客戶；
  - (d) 確認所收集資訊的準確性；
  - (e) 加深了解客戶的財務狀況、評估客戶申請、評估宏利所承擔的風險並審核提交給宏利的理賠；
  - (f) 與客戶提出、針對客戶提出或在其他方面涉及客戶的、與任何產品及/或服務相關的任何索賠有關的任何目的，其中包括但不限於提出該等索賠、就其進行辯護、分析、調查、處理、評估、確定和應對；
  - (g) 根據客戶在宏利持有的帳戶的條款和條件提供投資管理服務、交易和顧問服務、託管服務和其他服務；
  - (h) 履行與產品及/或服務相關的任何職責和活動，包括但不限於市場

推廣、審計、報告、研究、分析、再保險以及一般服務和維持網上及其他服務；

- (i) 為客戶研究及/或設計產品及/或服務、宣傳、改進和改善產品及/或服務的提供；
- (j) 開展核對程序(定義見《條例》，但廣義包括對資料當事人兩套或更多套的資料進行比對，以採取不利於資料當事人的行動，例如拒絕申請)；
- (k) 根據對宏利或宏利集團任何成員(無論在香港境內還是境外)有約束力或對其適用的任何法律、法規、規章、守則、指引或指南的規定進行披露，包括但不限於向當地或外國的監管機構、政府機構、諸如保險公司聯會或協會等公認行業組織(無論在香港境內還是境外)、信貸資料服務機構或審計機構進行披露；
- (l) 由於宏利或宏利集團任何成員在相關當地或外國監管機構、政府機構、或公認行業組織(無論在香港境內還是境外)所在司法管轄區的或涉及該等司法管轄區的財務、商業、業務或其他利益或活動而由宏利或宏利集團任何成員承擔或施加給其的、與該等當地或外國監管機構、政府機構、或公認行業組織之間的任何合同、其他承諾或安排；
- (m) 用於經營目的、信貸評估、信貸評分模型或統計分析(每項均包括行為分析以及對與宏利集團之間總體關係的評估，其中包括為遵守關於在宏利集團內部共用資料和資訊的任何義務、要求、政策、程序、措施或安排而使用該等資料，及/或根據宏利集團內任何有關遵守制裁或防止或發現洗錢、為恐怖分子提供資金或其他非法活動的計劃而對資料和資訊進行的其他使用)，無論是針對資料當事人還是其他人的；
- (n) 行使宏利在向客戶提供產品及/或服務方面可能享有的任何權利；
- (o) 進行身份及/或信貸核查；
- (p) 確定應向客戶支付或客戶應付的任何債務金額，向客戶或向為客戶債務提供任何擔保或承諾的任何人收取和追討任何應收金額；
- (q) 使宏利或宏利集團任何成員的權利或業務的實際或擬議受讓人、承讓人、參與人或次級參與人能對該等轉讓、參與或次級參與擬涉及的交易進行評估；
- (r) 宏利提供的任何特定服務或產品中具體規定的目的；
- (s) 與上述相關的任何目的(包括尋求專業意見)，或根據宏利或宏利集團任何成員的一般政策進行的、與保險、職業退休計劃、強積金計劃、投資基金、財富管理服務以及宏利或宏利集團任何成員不時向客戶提供的通知、通告或其他條款和條件中所述的其他金融產品和服務相關的任何其他目的。

### 承轉人

5. 宏利持有的客戶個人資料將予以保密，但宏利可就上文第4條所載的任何目的將該等資料移轉給下列人士及/或實體(無論在香港境內還是境外)：
- (a) 與客戶、針對客戶或涉及客戶就任何產品及/或服務提起的任何索賠相關的任何人士；
  - (b) 向宏利或宏利集團任何成員提供與業務經營相關的行政管理、電信通訊、電腦、資訊技術、付款、資料處理或儲存、市場推廣、郵寄、列

印、電話行銷、客戶滿意度分析或其他服務的任何代理、承辦商或第三方服務供應商，包括任何託管人、執行人、投資管理人、投資顧問或分銷商；

- (c) 任何信貸資料服務機構或（如出現付款違約）任何債務托收機構；
- (d) 任何顧問（包括其僱員）或其他中介人士/機構（包括其僱員）；
- (e) 再保險商和醫療服務供應商；
- (f) 客戶的僱主；
- (g) 已向宏利或宏利集團任何成員承諾將對該等資料保密的任何人士；
- (h) 宏利或宏利集團的權利或業務的任何實際或擬議受讓人、承讓人、參與人或次級參與人；
- (i) 宏利集團的任何成員；
- (j) 宏利或宏利集團任何成員根據對其有約束力或適用的任何法律、法規、規章、守則、指引或指南的規定有義務或必須向其披露的任何人士，其中包括但不限於任何當地或外國的監管機構、政府機構或公認行業組織；
- (k) 根據由於宏利或宏利集團任何成員在相關當地或外國監管機構、政府機構、或公認行業組織（無論在香港境內還是境外）所在司法管轄區的或涉及該等司法管轄區的財務、商業、業務或其他利益或活動而由宏利或宏利集團任何成員承擔或施加給其的、與該等當地或外國監管機構、政府機構、公認行業組織之間的任何合同、其他承諾或安排，有義務或必須向其披露的任何人士。

## 個人資料在直接促銷中的使用

6. 宏利擬在下列產品和服務的直接促銷中不時使用客戶的個人資料：

- (a) 保險、公積金及/或公積金計劃、投資基金、財富管理服務或其他金融產品和服務；
- (b) 獎勵、忠誠度或特權計劃及相關產品和服務；
- (c) 宏利集團任何成員的合作品牌夥伴的產品和服務（合作品牌夥伴名稱見相關產品和服務（視情況而定）的申請表）。

在該等直接促銷中，僅可使用下列類型的客戶個人資料：

- (a) 姓名；
- (b) 性別；
- (c) 出生日期；
- (d) 身份證或護照號碼的一部分；
- (e) 聯絡資料（包括但不限於電話號碼、傳真號碼、電郵地址、通訊地址及住宅地址）；
- (f) 客戶已購買或申請的產品及/或服務的資料，包括購買或申請的產品及/或服務的分銷渠道（包括其個人顧問或中介機構）。

除非宏利已經就擬議使用獲得客戶的同意，否則不得如上所述使用資料。

## 提供個人資料作直接促銷

7. 宏利擬向宏利集團（除宏利本身之外）不時提供客戶的個人資料供宏利集團就下列產品和服務作直接促銷之用，以換取**金錢和其他財產**：

- (a) 保險、公積金及/或公積金計劃、投資基金、財富管理服務或其他金融產品和服務；
- (b) 獎勵、忠誠度或特權計劃及相關產品和服務；
- (c) 宏利集團任何成員的合作品牌夥伴的產品和服務（該等合作品牌夥伴名稱見相關產品和服務（視情況而定）的申請表）。

僅可向宏利集團（除宏利本身之外）提供下列類型的客戶個人資料供宏利集團作該等直接促銷之用：

- (a) 姓名；
- (b) 性別；
- (c) 出生日期；
- (d) 身份證或護照號碼的一部分；
- (e) 聯絡資料（包括但不限於電話號碼、傳真號碼、電郵地址、通訊地址及住宅地址）；
- (f) 客戶已購買或申請的產品及/或服務的資料，包括購買或申請的產品及/或服務的分銷渠道（包括其個人顧問或中介機構）。

除非宏利已就擬議提供獲得客戶的書面同意，否則不得如上所述提供資料。

8. 根據《條例》，資料當事人有權：

- (a) 要求查閱其個人資料；
- (b) 要求對其任何不準確的個人資料進行改正；
- (c) 查明資料使用者在個人資料方面的政策和慣例；
- (d) 了解資料使用者持有的個人資料類型；
- (e) 了解資料使用者持有的個人資料的主要目的或主要擬議目的；
- (f) 通過下文第9條所載的渠道提出查閱資料要求和改正資料要求。

9. 根據《條例》規定，宏利有權就處理任何查閱資料要求收取合理費用。要求可以書面形式提交給個人資料主任：

宏利人壽保險（國際）有限公司

香港九龍觀塘偉業街223-231號宏利金融中心A座22樓

宏利公積金信託有限公司

香港九龍觀塘偉業街223-231號宏利金融中心A座22樓

宏利投資管理（香港）有限公司

香港九龍觀塘海濱道83號宏利大樓23樓

宏利環球基金、宏利盈進基金SPC、或任何其他宏利基金

香港九龍觀塘海濱道83號宏利大樓23樓