

## Checklist of Documents for Insurance Broker Company Licence Application

*Please provide the Insurance Authority (“IA”) with the following documents, where applicable, when you submit the insurance broker company licence application. The IA may request further information if necessary when processing the application.*

1. Application for Insurance Broker Company Licence (Form A4);
2. Application for Proposed Appointment of a Responsible Officer (Form A3);
3. Individual Licence Application by the proposed Responsible Officer (Form A1) together with the supporting documents as stated in the Notes on Individual Licence Application (if the proposed Responsible Officer has not applied to the IA for a formal licence);
4. Resume of the proposed Responsible Officer regarding his/her insurance and management experience (including the period, name of employer, nature of business, job title, and number of staff under his/her supervision);
5. Supplemental Form – Information on Director/Controller (Individual) (Form S5) (if applicable);
6. Supplemental Form – Information on Director/Controller (Body Corporate) (Form S6) (if applicable);
7. Copy of Business Registration Certificate;
8. Copy of Articles of Association;
9. Copy of Certificate of Incorporation, or copy of Certificate of Registration of non-Hong Kong company;
10. Copy of the latest Annual Return and other statutory filings submitted to the Companies Registry (if applicable);
11. A shareholding chart showing all corporate and individual shareholders (with their percentage of holdings) and ultimate beneficiary owners;
12. A group chart showing the group of companies, and with information indicating those are listed companies or licensed/registered with the insurance or other financial regulators in Hong Kong or elsewhere;
13. An organization chart depicting management and governance structure, position of senior management and proposed Responsible Officer, as well as business and operational units/functions/departments;
14. Proposed business plan detailing the types of insurance products to be distributed, scope of services to be provided, target market clientele and source of business;
15. Three reference letters issued by insurers for each of the proposed line(s) of business in support of the intended business relationship with the applicant;
16. Internal control policies and procedures (e.g. operational manual, compliance manual, manual on Anti-Money Laundering);
17. Copy of the latest financial statements (if the applicant has been incorporated for 12 months or more);
18. Copy of insurance quotation of the Professional Indemnity Insurance;
19. Copy of the latest bank statement of own operating bank account(s);
20. Copy of the latest bank statement of client account(s) (if applicable);
21. Copy of written notice sent to the authorized institution with which the client account is maintained pursuant to section 71 of the Insurance Ordinance (if applicable); and
22. Application fee - If the application is considered generally complete, the IA will notify the applicant to submit the crossed cheque for the fees which are payable for processing the application (this will include the fee for any accompanying application to appoint a Responsible Officer (“RO”)).