

**Application for Opening of Entity Applicant Account
(Online Portal for Insurance Intermediaries)**

Please complete all items in BLOCK LETTERS. All amendments must be signed by Applicant.

I. Basic Information on Agency/Broker Company Licence Applicant ("Applicant")

Name in English	
Name in Chinese	
† Licence proposed to be applied	<input type="checkbox"/> Insurance Agency Licence <input type="checkbox"/> Insurance Broker Company Licence
Business Registration Number	
Company Registration Number (if applicable)	

II. Information on Proposed Owner of Entity Applicant Account

Name in English	<i>Surname</i>	<i>First/Other Names</i>	Name in Chinese (if any)
Hong Kong Identity Card No. <i>(First 4 characters (e.g. A123))</i>		Position in Applicant	
Mobile Phone No. <i>(For receiving One-Time Password (OTP) via SMS)</i>		Email Address <i>(For receiving account activation email and communication with the Insurance Authority.)</i>	<i>Please underline numeric characters.</i>

† Please tick the appropriate box.



III. Declaration by Proposed Entity Applicant Account Owner

I, _____, hereby declare and confirm that:

- I agree to act as the Entity Applicant Account Owner and the Supervisor Account Owner if the relevant Application for Insurance Agency/Broker Company Licence is approved by the Insurance Authority ("IA").
- All the information provided in this Application and any documents in connection with this Application are **COMPLETE, TRUE and CORRECT**.
- I consent to the Entity Applicant making this Application to the IA appointing me as the Entity Applicant Account Owner.
- I have read, understood and I agree to the contents of the attached Personal Information Collection Statement.
- I consent to the IA using any personal data I have provided to the IA in (or in support of) this Application or will provide in the future, for the purposes described in the attached Personal Information Collection Statement.
- I understand the IA may make enquiries and seek further information or documents from me as it thinks appropriate.
- I have read, understood and I agree to be bound by the attached terms and conditions applicable to the use of the Online Portal and related services/functions.

Signature of Proposed Entity Applicant Account Owner

Date

IV. Declaration by Entity Applicant

I/We hereby declare and confirm that:

- I am/We are duly authorized to endorse this declaration and make this Application for the Entity Applicant Account.
- I/We believe the proposed Entity Applicant Account Owner is suitable to control and manage (i) the Entity Applicant Account on behalf of the Applicant, and (ii) the Supervisor Account Owner if the relevant Application for Insurance Agency/Broker Company Licence is approved by the IA.
- The Entity Applicant Account Owner is duly authorized to submit relevant applications and notification(s) in relation to applying for an Insurance Agency/Broker Company Licence on behalf of the Applicant, namely Application for Insurance Agency Licence/ Insurance Broker Company Licence, Application(s) for Proposed Appointment of a Responsible Officer and Individual Licence Application(s) and/or Notification of Appointment.
- I/We believe all the information and documents given in (or in support of) this Application are **COMPLETE, TRUE and CORRECT**.
- I/We understand that if there is any change to the Entity Applicant Account Owner or Supervisor Account Owner, I/we must notify the IA of the change in writing as soon as practicable.
- I/We have read, understood and I/we agree to the contents of the attached Personal Information Collection Statement.
- I/We should comply with the Personal Data (Privacy) Ordinance (Cap. 486) and all relevant guidelines issued by the Office of the Privacy Commissioner for Personal Data, Hong Kong, in relation to any personal data collected from the proposed Entity Applicant Account Owner.
- I/We understand that the IA may make enquiries and seek further information as it thinks appropriate.
- I/We have read, understood and I agree to be bound by the attached terms and conditions applicable to the use of the Online Portal and related services/functions.

*Name of Authorized Person
(Director / Partner / Sole Proprietor)
(*Please delete where appropriate.)

Signature

Date

Terms and Conditions

By opening the Entity Applicant Account and/or Supervisor Account (collectively, the "Account(s)"), you unconditionally agree to be bound by the following:

- Username and password of the Account Owner(s) must remain in his/her possession and control, and be used solely by himself/herself to login to the Account(s).
- The Account Owner(s) shall act in good faith and exercise all diligence in carrying out his/her duties in relation to the use of the Online Portal.
- The Account Owner(s) should ensure the Administration Accounts opened are appropriate and their owners shall act in good faith and exercise all diligence in carrying out their duties in relation to the use of the Online Portal.
- The Account Owner(s) must ensure the account opening procedures for Administration and Individual Accounts are adequate, in particular, the internal control procedures for passing the Account Opening Password to the Individual Account Owners.
- The Account Owner(s) must comply with the relevant regulatory requirements in handling any personal data belonging to the owners of the Administration and the Individual Accounts and administered by the entity applicants and/or principals.

Personal Information Collection Statement ("PICS")

This PICS is made by the Insurance Authority ("IA") to comply with the notification requirements of the Personal Data (Privacy) Ordinance (Cap. 486) (the "PDPO"). You are advised to read it carefully as it sets out the policies and practices of the IA in relation to your personal data (as defined in the PDPO), the purposes for which the IA may collect and use your personal data and the persons to whom your personal data may be transferred.

Purpose of Collection

Your personal data provided in (and in support of or in connection with) this application by you or by any other persons may be used and held by the IA for one or more of the following purposes:

- (a) to administer and/or enforce the provisions of any relevant ordinances (including the Insurance Ordinance (Cap. 41) (the "Ordinance")) and any regulations, rules, codes, guidelines, circulars or other regulatory instruments made or promulgated pursuant to the powers vested in the IA as in force at the relevant time and to carry out its functions as a regulator of the insurance industry, including:
 - (i) to process any application made to or received by the IA under the Ordinance;
 - (ii) to consider any application(s) under the Ordinance where you may otherwise have a connection;
 - (iii) to investigate complaints and non-compliance, handle enquiries, supervise and monitor compliance with the requirements under the insurance regulatory framework administered by the IA;
 - (iv) to conduct legal proceedings, inspection, investigation, and taking enforcement/ disciplinary actions;
- (b) for any statistical and research purposes; and/or
- (c) any other purposes as permitted by the laws of Hong Kong.

You are obliged to supply the requested personal data in response to any request from the IA in exercising its powers or carrying out its functions (including processing your application(s)). Failure to provide the requested personal data may result in the IA being unable to exercise its powers or carry out its functions (including processing your application(s)) and may affect the IA's assessment of your fitness and propriety under the Ordinance.

Transfer/Matching of Personal Data

In performing the IA's functions under the relevant laws and regulations, your personal data held by the IA may, for the aforesaid purposes, be disclosed or transferred to any third parties, including financial regulators in Hong Kong (including but not limited to the Mandatory Provident Fund Schemes Authority, the Securities and Futures Commission and the Hong Kong Monetary Authority), educational institutions/examination bodies in or outside of Hong Kong (e.g. for the purposes of conducting qualifying examinations or verifying academic/professional qualifications), relevant appointing principals (authorized insurer, licensed insurance agency and/or licensed insurance broker company (as the case may be)), the Travel Industry Authority, the Travel Industry Council of Hong Kong, law enforcement agencies, the relevant courts, tribunals and committees and/or other local and/or overseas regulatory/government/judicial bodies as permitted and/or required under the laws of Hong Kong, pursuant to any regulatory/supervisory/investigatory assistance arrangements between the IA and such regulators/bodies (within or outside of Hong Kong) or persons engaged by the IA to assist it in the performance of its functions.

Personal data may also be used by the IA and/or disclosed or transferred by the IA to the above parties for the purposes of comparing, verifying and/or carrying out a matching procedure¹ of those data.

Access to Data

Under the PDPO, you have the right to request access to and to request the correction of, your personal data held by the IA. If you wish to request access to or correction of your data held by the IA, you may do so by filling in a "Data Access Request Form"² and sending it by post to the Data Privacy Officer of the IA at 19/F, 41 Heung Yip Road, Wong Chuk Hang, Hong Kong for processing of your request. The IA has the right to charge a reasonable fee for processing any such request.

Enquiries

Any enquiries regarding the personal data collected, used or transferred by the IA, or requests for access to personal data or correction of personal data should be addressed to the Data Privacy Officer of the IA at the above address.

A copy of the IA's Privacy Policy is made available at the IA's website: www.ia.org.hk

¹ "matching procedure" is defined in section 2 of the PDPO.

² A copy of the Data Access Request Form is available at: https://www.pcpd.org.hk/english/resources_centre/publications/forms/files/Dform.pdf