

# **User Guide of the Insurance Intermediaries Connect**

***– New Insurance Agency / New Insurance  
Broker Company Applicant***



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# 1. Introduction

To lodge an application for Insurance Agency Licence / Insurance Broker Company Licence electronically via Insurance Intermediaries Connect ("IIC"), Entity Applicant<sup>1</sup> is required to submit a signed Form A2a via IIC to apply for an **Entity Applicant Account** to initiate the process.

During application process, the Entity Applicant Account owner ("EAA") is required to submit (1) Insurance Agency Licence / Insurance Broker Company Licence, (2) Application(s) for Proposed Appointment of Responsible Officer(s) and (3) Individual Licence Application for the proposed Responsible Officer(s) on behalf of the Entity Applicant.

Upon applications (1),(2) and (3) approved by the Insurance Authority ("IA"), the **Entity Applicant Account** would be automatically switched to an **Supervisor Account** which currently Authorised Insurers / Agencies / Broker Companies use for daily operation.

## Insurance Agency Licence / Insurance Broker Company Licence Application Workflow




<sup>1</sup> Entity Applicant refers to an applicant which is in the nature of a sole proprietor, partnership or company.



## 2. Preparation – Opening of Entity Applicant Account

- Go to IIC login page and click the “*Apply for New Insurance Agency / Insurance Broker Company Licence*” button.
- Fill in basic information of the Agency/Broker Company Licence Applicant (“Entity Applicant”).
- Upload signed Form A2a and valid Business Registration Certificate.

Entity Applicant Account Creation



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Insurance Authority

This function is applicable to Entity Applicant who intends to apply Insurance Agency / Insurance Broker Company Licence only.

To apply for a New Insurance Agency / Insurance Broker Company Licence, please fill in the information below to submit an application for opening an entity applicant account.  
You would be notified the result following the IA's review.

Company Name in English:

Company Name in Chinese:

Licence Type  
 Insurance Agency Licence  
 Insurance Broker Company Licence

Business Registration Number:

Upload Business Registration Supporting Document

Upload Account Opening Form




- Provide information of the proposed Entity Applicant Account owner.

Please provide information on the proposed entity account owner.

Name in English	<input type="text" value="Surname"/>
	<input type="text" value="First / Other Names"/>
Name in Chinese (if any)	<input type="text" value="Name in Chinese"/>
HKID (First 4 characters):	<input type="text" value="X123"/>
Email Address:	<input type="text" value="name@example.com"/>
Mobile Phone No.	<input type="text"/>
	One-time passwords will be sent to this mobile phone number.
Job Position	<input type="text"/>

- The proposed EAA will receive email notification with an activation link. once the application is approved.
- EAA would be directed to an activation page which requires OTP authentication.
  - Input partial mobile number
  - Receive OTP via SMS

Account Activation

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Insurance Authority

To activate your account in Insurance Intermediaries Connect, please enter below information.

Email Address:

Mobile No.:

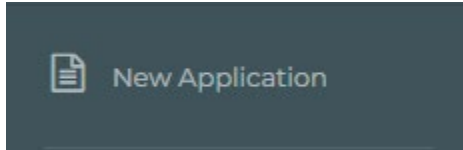


- The information inputted into the activation page shall be consistent with the information provided in the “Form A2a – Application for Opening of Entity Applicant Account” in order to pass the authentication.
- After successful authentication, an OTP will be sent to the supervisor account owner’s registered mobile number via SMS and he/ she is required to enter the OTP within **5 minutes** in order to activate the supervisor account. If the account owner is unable to receive the OTP, he/ she can request a new OTP by clicking the “*Re-send*” button.
- The EAA shall enter the self-defined username and new password to complete the account activation process in accordance with the following:
  - The requirements for username:
    - Between 6-20 characters with no space
  - The requirements for password:
    - Minimum password length: 10 characters;
    - Password cannot be the same as the user ID;
    - Password must be a combination of lowercase letter(s), uppercase letter(s), number(s) and special character(s) (Allowed special characters are “! @ # \$ \_ ? – &”);
    - Password must be changed after 180 days;
    - Password can only be changed once per day;
    - Recent password shall not be reused.
- The EAA shall return to the IIC login page to login with the newly created Entity Applicant Account username and password to access the application function.



### **3. Step 1 – Fill in Entity Application Form**

- After logging into the IIC, EAA may click “**New Application**” to start the application process.



- EAA is required to complete the whole Agency / Broker Company licence application form.
- [Applicable to **Agency applicants** only] In respect to the section “Appointing Principal(s)”, EAA is required to select the Authorized Insurer(s) which agree to appoint the Agency Applicant.
- In respect to the section “Character, Financial Status, Disciplinary Action & Investigation”, if any of the answers were “Yes”, the EAA will need to provide further information to supplement his/her answers for IA’s consideration. For issues concerning criminal records, financial records and disciplinary actions, the Entity Applicant can use the specified Supplemental Forms on the IA’s website (<https://www.ia.org.hk/en/infocenter/forms/intermediaries.html>) to provide the required information. The completed Supplemental Forms with supporting document(s), if any, should be uploaded to the relevant folder in the section “Supporting Documents”.
- In respect to the section “Supporting Documents”, the EAA will be required to upload relevant supporting documents,. The IIC can support format such as JPG, JPEG, PNG and PDF, with **each file of a maximum size of 2 MB**.
- After the documents have been uploaded, the EAA will be directed to the “Declaration” page. He/she should confirm all information is true and accurate and click the button “**Submit**”.



## 4. Step 2 – Fill in Application form for Proposed Responsible Officer(s)

- After completing Agency / Broker Company licence application form, the EAA would be directed to Application for Proposed Appointment of a Responsible Officer (Form A3).
- EAA is required to complete the information for the sections I to VII.
- In Section III “Particulars of Proposed Responsible Officer”
  - (a) If the proposed RO is holding an **Active** licence,
    - EAA is required to input licence number of the proposed RO
    - After inputting the licence number and pressing “**Look up**”, name of the proposed RO would be prefilled
    - Licence details of the proposed RO would be shown for reference

### III. Particulars of Proposed Responsible Officer (“RO”)

Please provide the following information on your proposed Responsible Officer.

Licence No.

The proposed RO does not possess any active licence.

Full Name in English

Full Name in Chinese (If any)

- (b) If the proposed RO **has never been licensed** or if the licence has been **Revoked** or has **Expired**,
  - EAA should create an Individual Applicant account for the proposed RO separately prior to this RO application
    - Details of creating an Individual Applicant account, please refer to Section 4 of User Guide of the Insurance Intermediaries Connect for Principals available at IA’s website (<https://ia.org.hk/en/infocenter/forms/intermediaries.html>).



- EAA shall check the box “*the proposed RO does not hold an active licence*”, all Individual Applicant accounts (which have been *activated* by the applicants) would be shown in the pull-down menu.
- EAA may choose the proposed RO from the pull-down menu.

### III. Particulars of Proposed Responsible Officer (“RO”)

Please provide the following information on your proposed Responsible Officer.

Licence No.

The proposed RO does not possess any active licence.

Applicant Name

Applicant Email Address

Applicant Tel Number

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- EAA shall (i) create an individual applicant account for the proposed RO who does not hold an **Active** insurance intermediary licence and (ii) ensure the proposed RO has activated his/her applicant account before completing this Application for Proposed Appointment of a RO. For details of creating an individual applicant account, please refer to section 4 of User Guide of the Insurance Intermediaries Connect for Principals available at IA’s website (<https://ia.org.hk/en/infocenter/forms/intermediaries.html>).
- After completing Sections I to VII, the Application for Proposed Appointment of a RO would be passed to the proposed RO(s) for review and completion of remaining sections.



- Meanwhile, EAA may view the application status and review the application at any time. EAA will be notified by email once the proposed RO has completed the application or has returned it with comments.

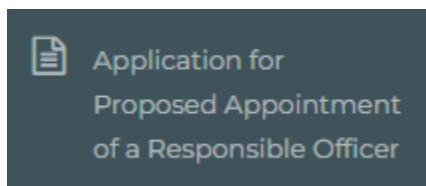
Application for Proposed Appointment of a Responsible Officer

IIC Referenc...	Status	Payment St...	Last Modifie...	Last Modifie...	Date of Cre...	Detail	PDF
██████████	Pending Confirmation by Proposed RO	N/A	██████████	██████████	██████████	View Details	Download Document(s)

## 5. Step 3 - Proposed RO verify and complete RO application

[This section is applicable to the **Proposed RO** only]

- The proposed RO needs to use his/her IIC individual account to review his/her RO application previously completed by the EAA.
- When there is an application pending the proposed RO's review, he/she will receive notification email. Also, a message will be shown under "Information Board" to remind him/her to complete the application upon logging into the IIC.
- After logging into the IIC, the proposed RO may click "*Application for Proposed Appointment of a Responsible Officer*" on the left vertical menu and click "*View Details*" to view the application.



Application for Proposed Appointment of a Responsible Officer

IIC Referenc...	Status	Payment St...	Last Modifie...	Last Modifie...	Date of Cre...	Detail	PDF
██████████	Pending Confirmation by Proposed RO	N/A	██████████	██████████	██████████	View Details	Download Document(s)



- Proposed RO shall review Sections I to VII previously completed by the EAA and shall check the box “*Verified with no comments?*” at the bottom of each page if the information is correct. He/she shall also access to the attachments and review accordingly.

Remarks by the Proposed RO

Please enter remarks if you have any comments on this section

Verified with no comments? [Next](#)

1 / 6 Completed

- If the Proposed RO considers the information is incorrect or inconsistent with their record, the Proposed RO shall mark his/her comments in relevant comment box at the bottom of each page, the application would then be returned to the Entity Applicant for amendment.

Remarks by the Proposed RO

Section VI is not correct.

[< Previous](#)  Verified with no comments? [Save & Return to Principal >](#)

3 / 6 Completed



## **6. Step 4 – Proposed RO fill in Form A3 and Individual Licence Application**

[This section is applicable to the **Proposed RO** only]

- If Sections I to VII of the RO application have been verified without comments, the proposed RO would be directed to complete the remaining sections and upload supporting document if necessary.
- Once the proposed RO has completed the remaining sections, he/she will be directed to the “Declaration Page”. By confirming all information is true and accurate, the proposed RO may then click the button **“Save & Submit”** for principal’s verification.
- An OTP will be sent to the proposed RO’s registered mobile number via SMS and he/ she is required to provide the OTP within **5 minutes**. If the proposed RO is unable to receive the OTP, he/ she can click the “Re-send” button to request a new OTP.
- The application status will then be shown as “Pending Confirmation by Principal”. The proposed RO may click **“View Details”** to view the application. He/she will be notified by email once the Principal has reviewed and confirmed the application, or has returned it with comments.
- After completing the RO application, the proposed RO is required to complete individual licence application. He/she may click **“New Application”** on the left vertical menu to start the application process.
- Process to submit individual licence application by proposed RO, please refer to Section 3 of the User Guide of Insurance Intermediaries Connect for Individual Applicants to Submit an Individual Licence Application available at IA’s website (<https://ia.org.hk/en/infocenter/forms/intermediaries.html>).



- Once the proposed RO has completed the RO application and/or individual licence application, an email notification will be sent to the EAA which requires him/her to verify the application and confirm the individual appointment.

## **7. Step 5 & 6 – Review RO application and Individual Licence Application and Confirm Appointment**

- After the RO application and/or the individual licence application are submitted by the proposed RO, the EAA will be notified by email to verify the RO application and/or individual licence application in the IIC. The EAA shall log in the IIC to start the application verification.

### Application for Proposed Appointment of a Responsible Officer

- After logging into the IIC, a notification would be shown under information board.

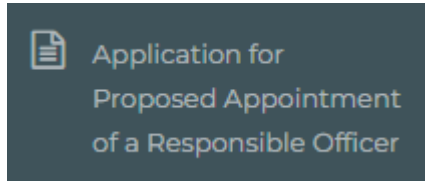
Welcome!

**Information Board**

<input checked="" type="checkbox"/> Company Application (Status: Pending Confirmation)	<a href="#">Click here for detail</a>
<input checked="" type="checkbox"/> Application for Proposed Appointment of a Responsible Officer - [REDACTED] (Status: Pending Verification)	<a href="#">Click here for detail</a>



- EAA should click “**Application for Proposed Appointment of a Responsible Officer**” on the left vertical menu and click “**View Details**” to review the application.



#### Application for Proposed Appointment of a Responsible Officer

IIC Refe...	Licence...	Propos...	Status	Payme...	Last Mo...	Last Mo...	Date of ...	Detail	PDF
████████	████████	████████	Pending Confirmation by Principal	N/A	████████	████████	████████	<b>View Details</b>	<a href="#">Download Document...</a>

- If the proposed RO has made comments on sections II to VII, the comments will be displayed in the “**Comments by Proposed RO**” box in **red**. EAA should amend the application as appropriate.
- If sections I to VII are verified by the proposed RO without any issues, he/she should have completed sections VIII and IX of the application. EAA shall review the sections VIII and IX completed by the proposed RO and check the box “**Verified with no comments?**” of each section if consider the information is correct.

**Remarks by the Principal**

Please enter remarks if you have any comments on this section

< Previous  Verified with no comments? Next

4 / 6 Completed



- If EAA considers the information is incorrect or inconsistent with his/her record, he/she shall mark his/her comment in relevant comment box, the application would then be returned to the Proposed RO for amendment.

Remarks by the Principal

Information not correct

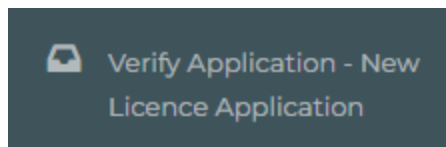
< Previous  Verified with no comments? Return to Proposed RO >

5 / 6 Completed

- After reviewing sections VIII and IX with no comment, EAA will be directed to the “Declaration Page”. EAA will be required to make relevant declarations on behalf of the Entity Applicant and click “*Confirm*”.

### Individual licence application

- After reviewing the RO application, the EAA is required to review the proposed RO’s individual licence application. He/she may click “*Verify Application – New Licence Application*” on the left vertical menu to start the application process.



- Process to verify the proposed RO’s individual licence application and confirm proposed RO’s appointment, please refer to Section 5 of the User Guide of the Insurance Intermediaries Connect for Principals available at IA’s website (<https://ia.org.hk/en/infocenter/forms/intermediaries.html>).



## **8. Step 7 – Applications submit to IA**

- [Applicable to **Broker Company** applicant only] After all RO application(s) and individual licence application(s) are verified and all RO(s)' appointment(s) are confirmed, they would be submitted to the IA for consideration together with the Application for Insurance Broker Company Licence.
- [Applicable to **Agency** applicant only] After all RO application(s) and individual licence application(s) are verified and all RO(s)' appointment(s) are confirmed, they, together with the Application for Insurance Agency Licence, would be submitted to the Appointing Principal(s) (i.e. Authorized Insurer agrees to appoint the Agency applicant) for verifying the applications and confirming the Agency applicant's appointment. The applications would be submitted to the IA for consideration after appointing principal(s) has verified the applications and confirmed the appointment(s).
- If the IA returns the application case to the Entity Applicant (e.g. due to incomplete application/missing information/further information or documents required), the EAA and/or proposed RO will receive a notification email. He/she can then login to the IIC and remarks by the IA on the return will be displayed. The EAA and proposed RO can amend the application details/upload supporting documents as appropriate. The EAA can also withdraw the application by clicking "**Withdraw Application**" if the Entity Applicant would not proceed with the application.



## 9. Step 8 – Payment

- If the application is considered generally complete, the IA will notify the EAA to pay relevant fee at IIC and reminder message will be displayed in the Information Board.
- Details of making payment at IIC, please refer to Section 18 of the User Guide of the Insurance Intermediaries Connect for Principals available at IA's website (<https://ia.org.hk/en/infocenter/forms/intermediaries.html>).

-----End-----