

User Guide of the Insurance Intermediaries Connect for Principals

– Licence Renewal Application

***Applicable to Authorized Insurers, Licensed Insurance
Agencies and Licensed Insurance Broker Companies***



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Important: Users shall have basic understanding of the account management and basic functionality for principals in Insurance Intermediaries Connect (“IIC”). For details, please refer to below User guides.

A2 User Guide of the Insurance Intermediaries Connect for Principals

<https://ia.org.hk/en/infocenter/forms/intermediaries.html>

1. Account Setting in Supervisor Account

1.1. Set Access Rights of Administration Account for Individual Licence Renewal Application functions

- Go to **Detail** of selected administration account under **Administration Account Management**.

The screenshot shows the 'Administration Account Management' page. On the left sidebar, the 'Administration Account Management' menu item is highlighted with a red box. The main content area shows a table with columns: Name, Department, Job Title, Email, Status, and Detail. A single row is visible with a red box around the 'Detail' link icon.

Name	Department	Job Title	Email	Status	Detail
[REDACTED]	Agency Admin	Manager	deemedlicensee2+chansuman@gmail.com	Active	

- Tick the access rights of **Assign Renewal Application, Verify Renewal Application and/or Confirm Renewal Application** and click **Save** at top right corner of the page.

The screenshot shows the 'Access Rights' configuration page. Under the 'Functions in relation to Licence Application' section, the checkboxes for 'Assign Renewal Application', 'Verify Renewal Application', and 'Confirm Renewal Application' are highlighted with a red box.

Access Rights

General Functions

- Assign tasks from one administration account to another administration account
- Change in Particular
- Enforcement Correspondence
- Licensee Account Management
- Report
- Cpd Non Compliance Reporting Download and Upload
- Cpd Non Compliance Reporting History
- Search for Former Self-Regulatory Organization Past Registration Records
- Transfer Case Handler

Functions in relation to Licence Application

- Create Individual Account
- Verify Licence Application
- Confirm Appointment (Licence Application)
(This access right should be assigned to a person who is authorized by your Board of Directors / Key Person in Intermediary Management / Responsible Officer to give such confirmation to the IA.)
- Bulk Uploads of Account Creation
- Bulk Uploads of Application Creation
- Assign Renewal Application
- Verify Renewal Application
- Confirm Renewal Application
- Broker Company Licence Renewal Application

Functions in relation to Notifications

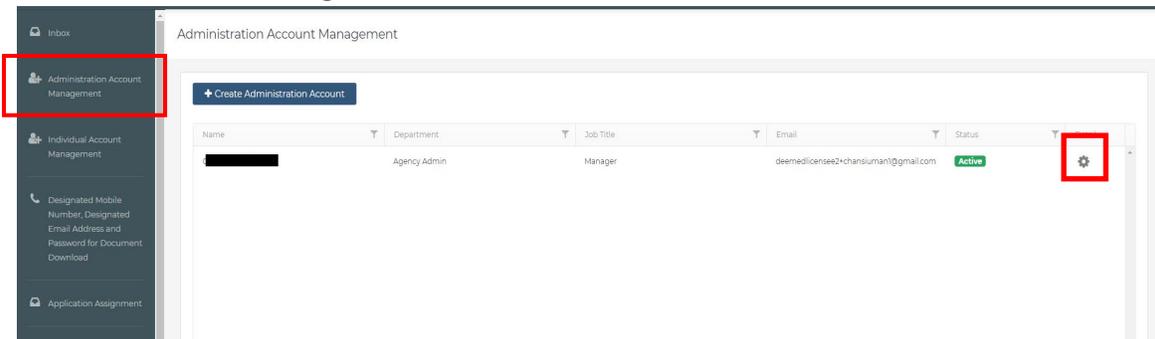
- New or Change Appointment
- Confirm Appointment (New or Change Appointment)
- New or Change Appointment Records
- Termination of Appointment
(This access right should be assigned to a person who is authorized by your Board of Directors / Key Person in Intermediary Management / Responsible Officer to give such notification to the IA.)
- Termination of Responsible Officer (RO)
(This access right should be assigned to a person who is authorized by your Board of Directors / Key Person in Intermediary Management / Responsible Officer to give such notification to the IA.)
- Bulk Termination of Appointment



1.2. Set Access Rights of Administration Account for Agency / Broker Company Licence Renewal Application functions

[Applicable to **Licensed Insurance Agencies** and **Licensed Insurance Broker Companies** only]

- Go to **Detail** of selected administration account under **Administration Account Management**.



- Tick the access rights of **Agency Licence Renewal Application** or **Broker Company Licence Renewal Application** (where applicable) and click **Save** at top right corner of the page.

2. Renewal Application Assignment by Principal

2.1. Assign Individual Renewal Application

- When a individual licensee submits a renewal application for principal's verification, a daily email with a list of application cases pending verification will be sent to the principal's company designated email. If principal would like to update the company designated email for receiving these emails, please go to "**Designated Mobile Number, Designated Email Address and Password for Document Download**" for the set up. For details, please refer to section 2.5 of the User Guide of the Insurance Intermediaries Connect for Principals.
- Principal will be required to assign the renewal application case to a case handler before the verification, this can be performed by the Supervisor/ Alternate Supervisor/ Administration account owner with relevant access right (collectively, Principal Authorized Administrator ("PAA")). For setting access right details, please refer to section 1.1.



- Log in IIC with **Supervisor account** or **PAA**.

- Notification will be shown in the Information Board if the account owner got the assignment right.

- Select “Application Assignment – Licence Renewal Application” on the left vertical menu.



- Choose the application(s) and assign to designated case officer and click “Confirm”.

Insurance Intermediaries Connect Last Login
9th May 2022, 6:06:01 pm

Renewal Application Assignment [Confirm](#)

Application(s) assign to:

Reference No.	Licence No.	Applicant Name	Submission Date	
R2200000230	XX1001	[REDACTED]	2022/05/09 18:05	<input checked="" type="checkbox"/>

2.2. Reassign Individual Renewal Application

- After case assignment, PAA can further reassign the case in “Case Handler Management”.

- Application Assignment - Licence Renewal Application
- Case Handler Management**
- Verify Application - New Licence Application

Case Handler Management [Cancel](#) [Confirm](#)

Type of Application/Account to be reassigned:

Original Case Handler:

[Search](#)

New Case Handler:

<input type="checkbox"/>	IIC Ref No.	Application Type	Applicant Name	Case Officer	Status
<input type="checkbox"/>	R2200000230	Renewal Application	[REDACTED]	Chan Tai Man	Pending for Verification



- Case Handler will receive daily notification if renewal cases were assigned and have not yet reviewed at the end of the day.

3. Verification by Principal

3.1. Verify Individual Renewal Application by Principal

- Log in **Supervisor account** (or other admin account designated as “**Case Handler**”). For details of access right setting, please refer to section 1.1.

Insurance Intermediaries Connect

Eng

Login

Username

Password

Please enter the following:

0:00 / 0:03

Capcha

I understand and agree to the NOTICE below.

LOGIN

Forgot Password | Forgot Username | Unlock Account

NOTICE: You are about to access the Insurance Intermediaries Connect (the "IIC") of the Insurance Authority ("IA"). By accessing the IIC, you unconditionally agree to be bound by the [terms and conditions](#) of the IIC. Unless otherwise stated, all copyright and other intellectual property rights in the materials contained in the IIC belong to the IA. These materials may be downloaded or printed for personal use or for use within an individual firm or organization but may only be used for personal viewing purposes or for viewing within that firm or organization. Furthermore, these materials may not be reproduced for or distributed to any third parties, or used for commercial purposes, without the IA's prior written consent.

Please note that any username and password of the authorized user must remain in his/her possession and control, and be used solely by himself/herself to login to the IIC. Any improper use of usernames and passwords for the IIC may affect the fitness and propriety of the person concerned under the Insurance Ordinance and may bring serious consequences. Unauthorized access, use, or modification of the IIC or of any data contained in the IIC, or in transit to/from the IIC, may constitute a violation of the laws of the Hong Kong Special Administrative Region.

- Notification will be shown in the Information Board regarding renewal application verification.

Inbox

Administration Account Management

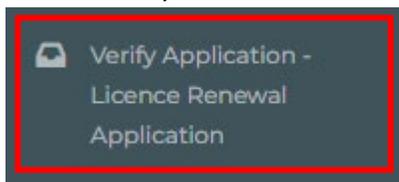
Individual Account Management

Welcome!

Information Board

1 renewal application(s) is/are pending for your verification. [Click here for detail](#)

- Select “Verify Application – Licence Renewal Application” (for individual licensees) in the left vertical menu.





- Below individual renewal applications will be highlighted in yellow:
 - Non-Hong Kong Permanent Resident
 - Indicated “Yes” in any of the questions in relation to Authorized Insurer/Licensed Insurance Agency/Licensed Insurance Broker Company (Section II)
 - Indicated “Yes” in any of the 14 questions in relation to Character, Financial Status, Disciplinary Action & Investigation

Verify Renewal Application

If the application has been verified with comments, bulk verification will not be available. Please click "Detail" to continue your verification. [Bulk Verify](#) ✓

<input type="checkbox"/>	Reference No.	Licence No.	Applicant Name	Submission Date	Status	NonPermanent... /Yes in Sect II or...	Detail
<input type="checkbox"/>	R2200000230	XX1001	██████████	2022/05/09 18:27	First submission	Yes	

- Case Officer may choose multiple cases and “Bulk verify” the cases without putting remarks/ticking the checkbox on each page of the application form. Alternatively, case officer can click the gearwheel icon for details and view each section of the application.
- **Principals should put in place proper controls to ensure all the information provided in the application and any documents in connection with the application are COMPLETE, TRUE and CORRECT.**
- Please refer to Step 3.2 for Bulk Verification to verify MORE THAN ONE applications OR refer to Step 3.3 for Verification of ONE particular application



3.2. Bulk Verification by Principal – Verify MORE THAN ONE applications

- Select the applications to proceed with Bulk Verification. Click “Bulk Verify”.

Verify Renewal Application

If the application has been verified with comments, bulk verification will not be available. Please click "Detail" to continue your verification.

<input type="checkbox"/>	Reference No.	Licence No.	Applicant Name	Submission Date	Status	NonPermanent... /Yes in Sect II or...	Detail
<input checked="" type="checkbox"/>	R2200000230	XX1001	[REDACTED]	2022/05/09 18:05	First submission	No	

- Click “YES” in the pop-up message.

Insurance Intermediaries Connect

Are you sure to verify all the selected application(s)?

- Click “OK” in the pop-up message.

Verify Renewal Application

If the application has been verified with comments, bulk verification will not be available. Please click "Detail" to continue your verification.

<input type="checkbox"/>	Reference ...	Licence No.	Applicant ...	Submissio...	Status	NonPerma... /Yes in Sec...	Detail
<input type="checkbox"/>							

Insurance Intermediaries Connect

All application(s) has been verified and moved to Confirm Renewal Application successfully.

3.3. Verification of ONE particular application

- Click the gearwheel icon to open the application and view details.

Verify Renewal Application

If the application has been verified with comments, bulk verification will not be available. Please click "Detail" to continue your verification.

<input type="checkbox"/>	Reference No.	Licence No.	Applicant Name	Submission Date	Status	NonPermanent... /Yes in Sect II or...	Detail
<input type="checkbox"/>	R2200000230	XX1001	[REDACTED]	2022/05/09 18:05	First submission	No	



- Scroll down and tick the checkbox “Verify with no comments?” or enter the comments for that section. Then click “Next Section”.

Please enter remarks if you have any comments on this section

Verified with no comments?

Next Section >

- After reviewing the whole application, Click “Finish”.

Status: Pending verification by Principal(s)

Application for Renewal of Insurance Intermediary Licence - Individual Insurance Agent/Technical Representative (Agent)/Technical Representative (Broker) Licence Pursuant to Section 64ZV of the Insurance Ordinance (Cap.41)

Supporting documents

Please upload supporting documents. Please ensure the documents provided by you to support your application are correct and complete.

Character, Financial Status, Disciplinary Action & Investigation

SELECT FILES

test.pdf

Only support JPG, JPEG, PNG, PDF file, maximum allowed file size is 2MB.

Please enter remarks if you have any comments on this section

< Previous Verified with no comments? **Finish >**

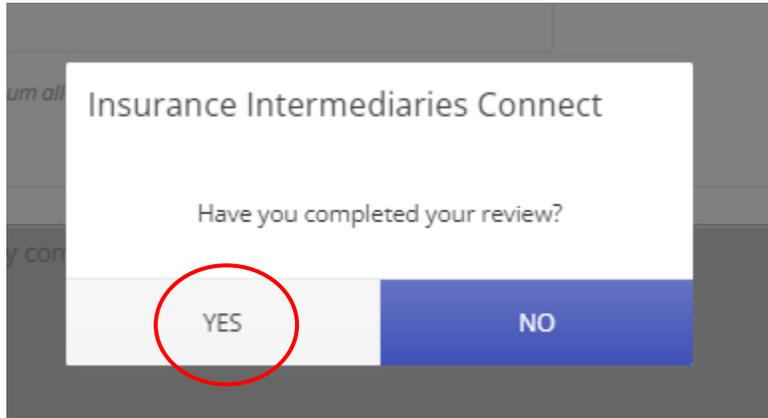
Attachment

PDF

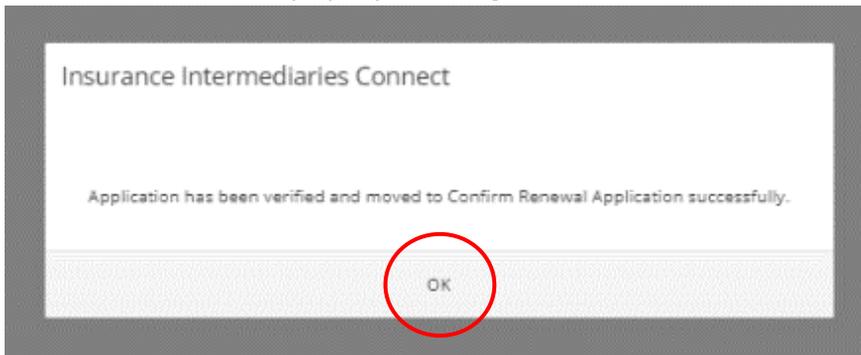
Section IV - test.pdf



- Click “YES” in the pop-up message.



- Click “OK” in the pop-up message.

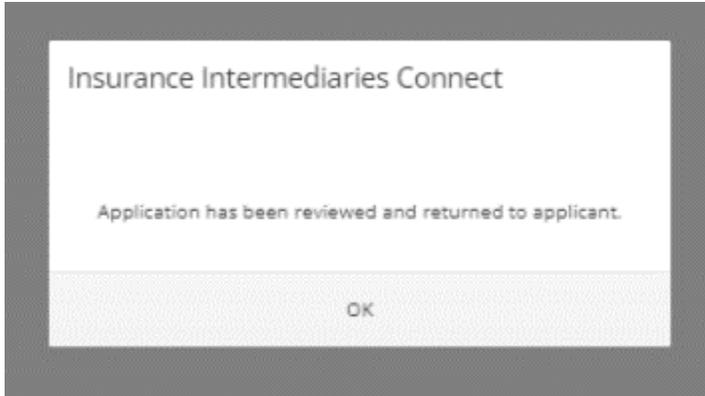


3.4. Return Individual Renewal Application to applicant

- If there is any page with comments, application will be returned to applicant after completion of review.

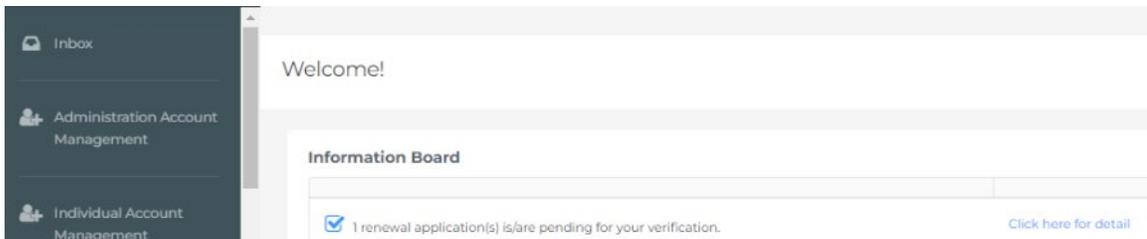
Please provide supplementary information.

< Previous Verified with no comments? Next Section >



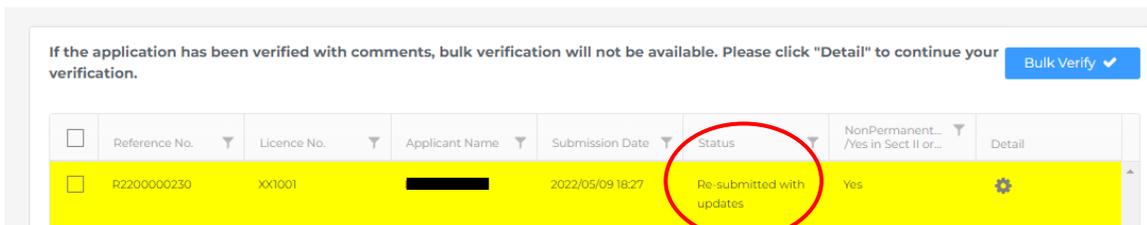
3.5. Verification of resubmitted Individual Renewal Application

- If the application is resubmitted after amendment, Case Handler shall verify the renewal application amended.
- Case Handler will receive daily notification regarding resubmitted application.
- Notification will be shown in the Information Board.



- Resubmitted applications will be indicated in Status column.

Verify Renewal Application





- Case Handler will be able to see last comment on the top during the re-verification stage.

Verify Renewal Application

Last comment: returned by principal
Please provide supplementary information. (2:47 PM on April 28, 2022)

- The page which was amended by the applicant will be indicated on the top and amended details will be highlighted in yellow.

Verify Renewal Application

Last comment: returned by principal
Please provide supplementary information. (2:47 PM on April 28, 2022)

This page has been amended by applicant

Status: Pending verification by Principal(s)

Application for Renewal of Insurance Intermediary Licence - Individual Insurance Agent/Technical Representative (Agent)/Technical Representative (Broker) Licence Pursuant to Section 64ZV of the Insurance Ordinance (Cap.41)

IV. Character, Financial Status, Disciplinary Action & Investigation

If you answered "Yes" to any of the questions below, please provide details of the case or matter in a separate document including date of the relevant event, name of regulatory, criminal investigatory or professional body (if applicable), description of the case/matter, your role or involvement in the case/matter, outcome or current status of the case/ matter, together with the relevant supporting documents.

1. In the past 3 years, have you failed to comply with any requirements while carrying on any regulated activities? Yes No

2. In the past 3 years, have you been found by a court or other competent authority in Hong Kong or elsewhere to be liable for fraud, dishonesty or misfeasance? Yes No

3. In the past 3 years, have you been disqualified by a court in Hong Kong or elsewhere from being a director of a company? Yes No

- Please refer to Step 3.3 for verifying application.



4. Confirmation of appointment by Principal

4.1. Confirm Individual Renewal Application by Principal

- A daily email with a list of application cases pending confirmation will be sent to the principal's company designated email.
- Log in **Supervisor account** or **Admin account with Confirm Renewal Application access right**. For details of access right setting, please refer to section 1.1

Insurance Intermediaries Connect

Eng

Login

Username

Password

Please enter the following:

Captcha

I understand and agree to the NOTICE below.

LOGIN

[Forgot Password](#) | [Forgot Username](#) | [Unlock Account](#)

- Notification will be shown in the “Information Board” if the admin user got the confirmation right.

Welcome!

Information Board

1 renewal application(s) is/are pending for your confirmation. [Click here for detail](#)

- Click “Confirm Appointment (Licence Renewal Application)” on the left vertical menu.





- The PAA shall review the appointment pending for confirmation by clicking the gearwheel icon. The licence period applied and relevant application fee will also be shown for reference.
- The PAA should indicate the payer (Applicant or Principal) for each application by checking relevant box, namely “*To be paid by Applicant*” and “*To be paid by Company*”. The PAA may select respective payer for each application one by one in the list, or select same payer for all applications by checking the box on the top.
- If the PAA is satisfied with the appointment information, he/ she can proceed the appointment by selecting the subject appointment, indicating the payer (Applicant or Principal) of the application fee and clicking “*Add to Cart*”.

Confirm Renewal Application

If the licence of the applicant expires today, confirmation of appointment will not be available.

Referenc...	Lic...	Applicant ...	Submis...	Status	Payment Status	NonPer... /Yes in ...	RIME	Application Fee	Applied Licence Period	<input type="checkbox"/> Pay by Applicant	<input type="checkbox"/> Pay by Company	Detail
<input checked="" type="checkbox"/> R2400025924	[Redacted]	[Redacted]	2024/09/11 12:18	First sub	Not Paid	Yes	Yes	\$810	3 Years	<input checked="" type="checkbox"/>	<input type="checkbox"/>	⚙
<input checked="" type="checkbox"/> R2400025925	[Redacted]	[Redacted]	2024/09/11 12:24	First sub	Not Paid	No	No	\$810	3 Years	<input type="checkbox"/>	<input checked="" type="checkbox"/>	⚙

- Click “Cart”. The number of applications added to cart is indicated next to “Cart”.
- The PAA shall then confirm the appointment and confirm the selected payer by clicking “*Confirm*”.

Confirm Renewal Application

< Back Confirm ✓

Reference No.	Licence No.	Applicant Na...	Submission D...	Status	Application Fee	NonPermane... /Yes in Sect II ...	Payer
R2400025924	[Redacted]	[Redacted]	2024/09/11 12:18	First submission	\$810	Yes	Applicant
R2400025925	[Redacted]	[Redacted]	2024/09/11 12:24	First submission	\$810	No	Company



- The PAA will then be required to make relevant declarations and provide the information of the contact person for the renewal application whom will be the principal's contact point for the IA in processing this renewal application. Then, click "Confirm".

Declaration by Appointing Principal

- We **CONFIRM** that the Applicant is duly appointed as our Individual Insurance Agent/Technical Representative (Agent)/Technical Representative (Broker).
- We declare that, to the best of our knowledge and belief, all the information provided in this Application and any documents in connection with this Application are **COMPLETE, TRUE and CORRECT**.
- We **BELIEVE** that the Applicant has complied with the "fit and proper" requirements stipulated in section 64ZZA of the Insurance Ordinance and all relevant guidelines and codes issued by the Insurance Authority.
- For an authorized insurer, this Application Form should be confirmed by its Director/Key Person in Intermediary Management Function/a person authorized by its Board of Directors. For a licensed insurance agency/broker company, this Application Form should be confirmed by its Responsible Officer/Director/a person authorized by its Board of Directors/Sole Proprietor/Partner (where applicable).

Please be reminded that Appointing Principal is responsible for verifying the information provided in this Application and any documents in connection with this Application.

Name of Contact Person

Position of Contact Person

Email of Contact Person

Phone No of Contact Person

Confirm

- Select the Designated Mobile Number from the drop-down menu to receive an OTP and then click "Submit".

 保險業監管局
Insurance Authority

Please select a designated mobile number to confirm appointment.

Mobile No.:

Submit



- A SMS message containing an OTP will be sent to the Designated Mobile Number. Please refer to section 2.5 of the User Guide of the Insurance Intermediaries Connect for Principals for setting up designated mobile number.
- Input the OTP received. Click “Submit”. Once the OTP is inputted into the system, relevant individual appointment(s) will be confirmed. PAA shall proceed to settle the payment (if indicated application fee to be paid by Company) or remind the applicant(s) to settle relevant application fee in IIC (if indicated application fee to be paid by Applicant).
- Selected payer for the application fee will receive notification via e-mail. Please refer to Section 8 for the detailed payment process.
- The renewal application will be submitted to the IA when relevant application fee is paid.

保險業監管局
Insurance Authority

One-time Password (OTP) has been sent via SMS to your company number. The OTP will expire in 5 minutes. If you do not receive the OTP/the OTP expires, you may click "Re-send" to request for a new OTP.

To confirm appointment in Insurance Intermediaries Connect, please enter the OTP for verification.

One Time Password Re-send

Submit

Insurance Intermediaries Connect

All application(s) has been confirmed successfully.
Please proceed for payment or coordinate with Applicant to pay application fee.

OK



5. Process for Agency or Broker Company to submit a Renewal Application

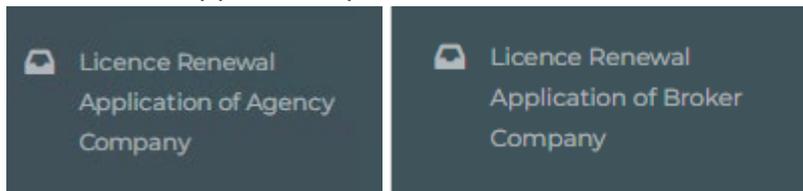
[Applicable to **Licensed Insurance Agencies** and **Licensed Insurance Broker Companies** only]

5.1. Grant of Access Right to PAA

- Please refer to Section 1.2 If supervisor / alternate supervisor account owner would like to delegate the Agency Licence Renewal Application or Broker Company Licence Renewal Application (where applicable) function to administration account owner.

5.2. Renewal Application by Agency or Broker Company Licensee

- Log in IIC with **Supervisor account** or **PAA**.
- After logging into the IIC, PAA may click “**Licence Renewal – Application of Agency**” or “**Licence Renewal – Application of Broker Company**” to start the renewal application process.



- The following information which have been provided to the IA, will be prefilled in the online renewal application form.
 - **Licence Number**
 - **Name**
 - **Form of Ownership** (applicable to Agencies only)
 - **Financial Year End** (applicable to Broker Companies only)
 - **Address of Registered Office / Principal Place of Business in HK**
 - **Telephone Number**
 - **Fax Number** (if any)
 - **Email Address**
 - **Website Address** (if any)

The licensee is required to complete the information for the remaining sections.



- In the case that the licensee has any change of particulars (i.e. Name, Address, Telephone Number, Fax Number, Email Address or Website Address), he/she may click the “**Change in Particulars**” button. He/she will then be directed to the “**Change in Particulars**” page. Please refer to section 6 for more details. **Please note that renewal application could only be submitted after the notification of change in particulars is completed, which generally takes 1 day if supporting document is not required and submission is made before 12 noon.**
- In respect to the section “**Other Business of Applicant**”, if the answer was “Yes”, PAA is required to provide brief description of the other business; and answer whether they are aware of any potential conflict of interest that may arise between Applicant’s insurance agency business/insurance broking business and its other business, if the answer was “Yes”, PAA is required to state how such conflicts of interest are to be avoided or managed.
- In respect to the section “**Licence(s) Granted by Financial Regulator(s)**”, PAA is required to answer the questions for the past 3 years only. If any of the answers were “Yes”, the licensee will need to provide the licence / registration number with the relevant financial regulator(s).
- In respect to the section “**Directors**” (only applicable to an Applicant which is a limited company), PAA is required to input the name of Director(s) and the effective Date.
- In respect to the section “**Controllers**”, PAA is required to input the name of Controller(s), the Shareholding %, and the effective Date. For Agency Applicant, the PAA is required to indicate the capacity of the Controller(s) and state shareholding % for Shareholder Controller(s).
- [Applicable to **Agency** applicants only] In respect to the section “**Confirmation regarding section 64J of the Ordinance**”, PAA is required to confirm whether the directors, partners or sole proprietor of the Applicant who manage or control any matter relating to a regulated activity of the Applicant did not violate the restriction under section 64J of the Insurance Ordinance.



- In respect to the section “**Group Structure**” (only applicable to an Applicant which is a limited company), PAA is required to answer whether the Applicant is a company within a group of companies. If the answer was “Yes”, a detailed group organisation chart should be uploaded to the relevant folder in the section “Supporting Documents”.
- [Applicable to **Broker Company** applicants only] In respect to the section “**Financial Statements and Compliance Reports**”, PAA is required to answer whether the auditor's report on the financial statements and/or the auditor’s compliance reports on the compliance with the requirements specified in Insurance (Financial and Other Requirements for Licensed Insurance Broker Companies) Rules (Cap. 41L) for the past 3 financial years been qualified. If the answer was “Yes”, the PAA is required to state mitigation measures that will be/have been put in place to address the auditor's concerns.
- In respect to the section “**Controls and Procedures**”, PAA is required to confirm that the Applicant has appropriate governance arrangements and internal systems, controls and procedures in place in 7 aspects.
- In respect to the section “**Character, Financial Status, Disciplinary Action & Investigation**”, the licensee is required to answer the questions for the past 3 years only. If any of the answers were “Yes”, the licensee 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 licensee 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 “**Other Information**”, the PAA may provide additional information, if any, that he/she considers relevant or material to the renewal application which has not been covered in the other



sections of the application and would like to draw to the Insurance Authority's attention.

- In respect to the section "**Contact Information**", the PAA is required to provide the information of the contact person for the renewal application whom will be the Applicant's contact point for the IA in processing this Agency/Broker Company licence renewal application and duly authorized to act on behalf of the Applicant on all matters relating to the Application. The Applicant will be held responsible for all submissions and representations made by this authorized person. This authorized person must be a senior member of the Applicant (e.g. controller/director/senior management).
- [Applicable to **Agency** applicants only] In respect to the section "**Appointing Principal**", the name of current appointing principal(s) will be shown. The PAA is required to choose **ONE** appointing principal responsible for verifying the renewal application.
- In respect to the section "**Supporting Documents**", the PAA will be required to upload relevant supporting documents, if necessary (e.g. Group organisation chart, Supplemental Forms for reporting criminal, financial or disciplinary record, etc.). 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 or if no documents are required to be upload, the PAA will be directed to the "**Declaration**" page. Director or the Responsible Officer should be the authorized person to confirm all information is true and accurate. Name and designation of the authorized person who make the declaration is required to be provided. The PAA can then click the button "**Submit**".



- Application fee will be shown for reference. Application fee for licence renewal of an Agency and Broker Company is depends on the number of technical representatives appointed by them. The application fee for **Agency** applicant is subjected to changes before principal's confirmation, i.e. change of number of Technical Representatives (Agent) appointed by the Agency at time of principal's confirmation.

Insurance Intermediaries Connect

Total technical representatives: 2
Total proposed application fee: \$2250

YES NO

- For relevant fees table and Frequently Asked Questions, please refer to IA's website (https://www.ia.org.hk/en/supervision/reg_ins_intermediaries/licensing_and_related_fees.html).
- The PAA will have to select the designated mobile number of the Applicant (as set by the supervisor account owner) from the drop-down menu for receiving the OTP.

 保險業監管局
Insurance Authority

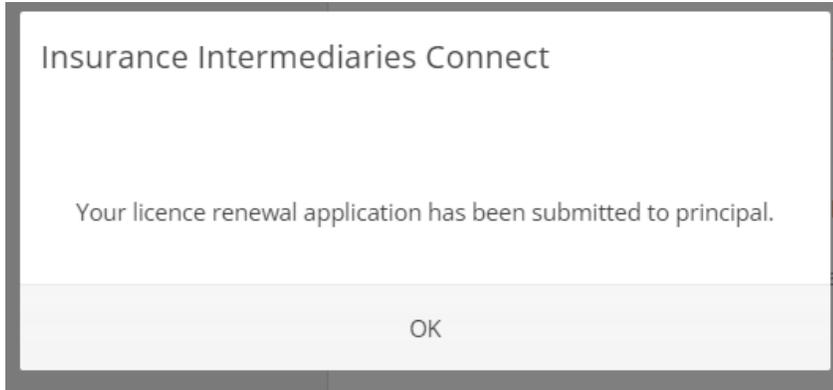
Please select a designated mobile number to confirm appointment.

Mobile No.:

Next



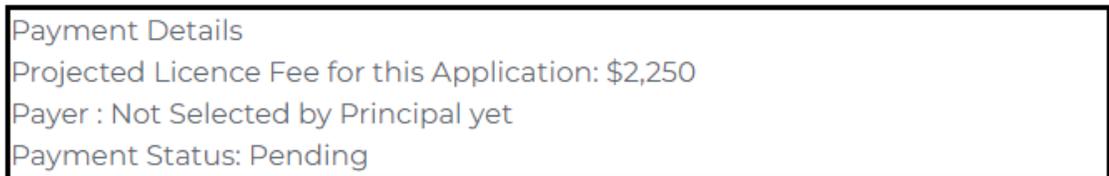
- [Applicable to **Agency** applicants only] Once the OTP is inputted into the system, the licence renewal application will be submitted to its Principal for verification. The application status will be shown as “**Submitted to Principal**” after the application is submitted. PAA may click “**Click here for detail**” to view the application and payment details (e.g. estimated application fee, selected payer and payment status).



Information Board



Status: Submitted to Principal





5.3. Verification of Renewal Application by the Principal

[Applicable to **Licensed Insurance Agencies** only]

- After the renewal application has been submitted by the Agency Applicant, the principal selected by the licensee will perform verification on the renewal application before submitting it to the IA.
- If the principal considers the information is incorrect or inconsistent with their record, the principal will return the application to the licensee for amendment. Please refer to section 5.3 for more details.
- If no amendment is required, the principal can proceed with confirmation of the renewal application.

5.4. Amendment of Renewal Application by Agency Licensee

[Applicable to **Licensed Insurance Agencies** only]

- The PAA will receive a notification email instructing him/her to amend the application through the IIC. He/she can then click "[Click here for detail](#)", and the application form will be opened.
- If any issues are being found, comments from the principal will be displayed in the "[Returned by Principal](#)" box in **red**. The PAA should amend the application by clicking the "[Amend](#)" button on the page to be edited, as appropriate.

Licence Renewal Withdraw Application

Returned by principal:
Please provide supplementary information. (2:47 PM on April 28, 2022)

Status: Filing



are you currently subject to bankruptcy proceedings in Hong Kong or elsewhere? (If Yes, please complete [Form S2](#).)

13. In the past 3 years, have you failed to satisfy any judgment debt under an order of a court in Hong Kong or elsewhere? Yes No

14. In the past 3 years, have you been found by a court to be mentally incapacitated, or detained in a mental hospital, under the Mental Health Ordinance (Cap. 136)? Yes No

^ Business entity means a sole proprietorship, a partnership or a company.

3 / 6 Completed

[Previous](#) [Amend](#) [Next](#)

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- If the page is verified without any issues, the **“Returned by Principal”** box will be displayed as **“This page has been reviewed by principal ([Time] on [Date]).”** If necessary, the licensee can still amend the application by clicking the **“Amend”** button even if the page has been verified without any issues by the principal. The principal will be notified of the change.

Licence Renewal [Withdraw Application](#)

Returned by principal:
This page has been reviewed by principal (2:47 PM on April 28, 2022)

Status: Filing

- After the PAA has amended the application, it should be re-submitted to the principal for re-verification with the input of OTP.



5.5. Re-verification and Confirmation of Renewal Application by the Principal

[Applicable to **Licensed Insurance Agencies** only]

- If the renewal application has been amended by the licensee, the principal will need to verify the licence renewal application again.
- The PAA will be notified by email that the renewal application has been verified and confirmed by the appointing principal, and who the payer of the renewal application is (as selected by principal). The application status will be shown as “Pending Payment”.
- The renewal application will be submitted to the IA when relevant application fee is paid by the selected payer. Selected payer for the application fee will receive notification via e-mail. Please refer to Section 8 for the detailed payment process.
- The IA will review the renewal application and inform the principal and the agency licensee in due course on its decision or follow-up action. An e-mail notification will be sent to registered email address of the Agency if the licence renewal is being approved by the IA.



5.6. Renewal Application Returned by the IA

- If the IA returns the application case to the applicant (e.g. due to incomplete application/missing information/further information or documents required), the PAA 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 PAA can amend the application details/upload supporting documents as appropriate. The PAA can also withdraw the application by clicking “**Withdraw Application**” if he/she would not proceed with the application. Application fee paid is non-refundable. If the application is withdrawn, the applicant will need to pay fee again if he/ she then submits a fresh application
- After the licensee has amended the application, it should be resubmitted to the principal for re-verification (applicable to Agency applicants) / should be re-submitted to the IA for consideration (applicable to Broker Company applicants). Licensee does not need to pay the application fee again when it resubmits the application.
- Licensee can then follow the steps according to section 5.2 to resubmit the renewal application.

5.7. Deadline of submitting Renewal Application

- Licensees are required to submit their renewal application no later than **45 days before** the licence is due to expire, otherwise the licence may be revoked upon expiry.
 - If the renewal application was submitted **at least 45 days** before the licence is due to expire, even the IA cannot complete the processing of the renewal application before the licence expiry date, the licence will remain in force past the expiry date until the IA completes its processing of the application. Licensee will not need to make any additional payment.
 - If the renewal application was submitted **less than 45 days** before the licence is due to expire, and the IA has not approved the renewal application by the time of the expiry date of the existing licence, then the existing licence will expire on the expiry date. If applicant wants to be licensed again after this, it will need to submit an application for a new licence and pay the fee for this again.



6. Assign, Verify Agency Renewal Application and Confirm Agency's Appointment by Insurer

[Applicable to **Authorized Insurers** only]

6.1. Assign Agency Renewal Application

- When an Agency Licensee submits a renewal application for insurer's verification, a daily email with a list of application cases pending verification will be sent to the insurer's company designated email. If principal would like to update the company designated email for receiving these emails, please go to "**Designated Mobile Number, Designated Email Address and Password for Document Download**" for the set up. For details, please refer to section 2.5 of the User Guide of the Insurance Intermediaries Connect for Principals.
- Principal will be required to assign the agency renewal application case to a case handler before the verification. For setting access right details, please refer to section 1.1.
- Log in IIC with Supervisor or PAA account.

Insurance Authority
Insurance Intermediaries Connect

Login

Username
Password

Please enter the following

0:00 / 0:03

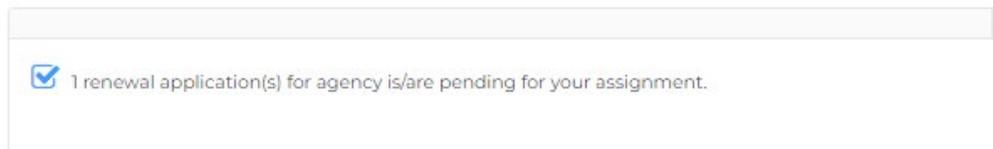
Capcha

I understand and agree to the NOTICE below

LOGIN

[Forgot Password](#) | [Forgot Username](#) | [Unlock Account](#)

- Notification will be shown in the Information Board if the account owner got the access right.

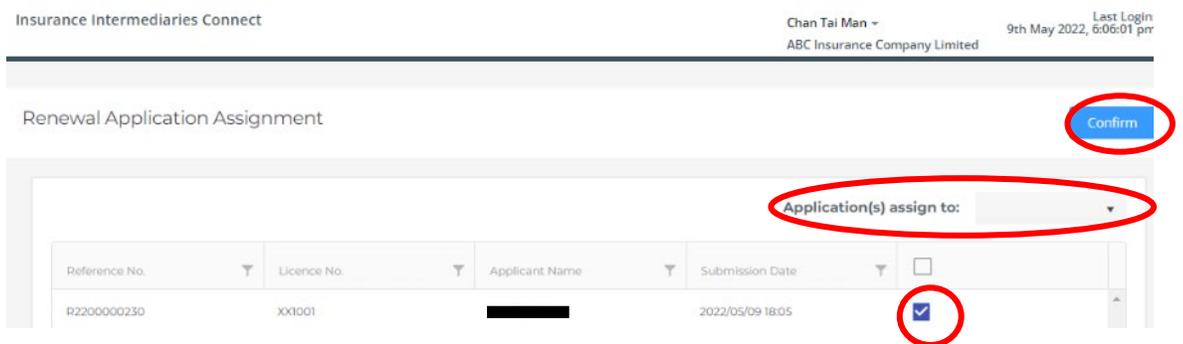




- Select “Application Assignment – Licence Renewal Application” on the left vertical menu.

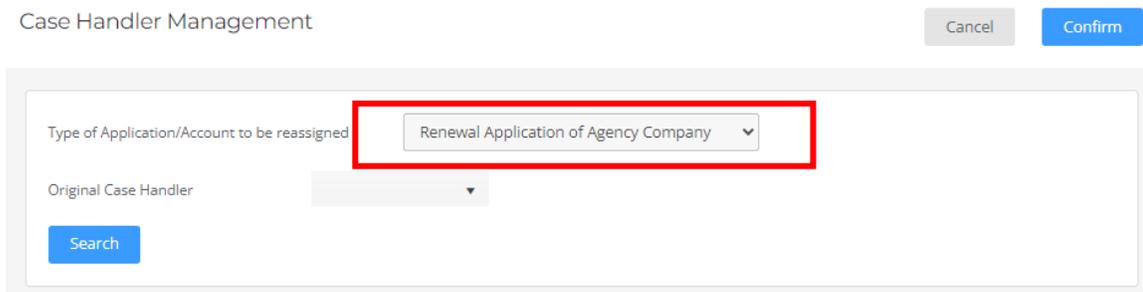


- Choose the application(s) and assign to designated case officer and click “Confirm”.



6.2. Reassign Agency Renewal Application

- After case assignment, PAA can further reassign the case in “Case Handler Management”.



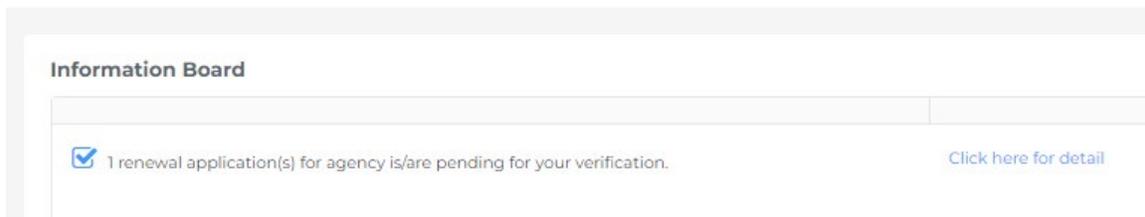


- Case Handler will receive daily notification if renewal cases were assigned and have not yet reviewed at the end of the day.

6.3. Verify Agency Renewal Application

- Notification will be shown in the Information Board regarding renewal application verification if the account owner got the access right.

Welcome!



- Select “Verify Application – Licence Renewal Application of agency” in the left vertical menu.



- Below renewal applications will be highlighted in yellow:
 - Indicated “Yes” in question in relation to potential conflict of interest that may arise between the Applicant’s insurance agency business and its other business
 - Indicated “Yes” in any of the 14 questions in relation to Character, Financial Status, Disciplinary Action & Investigation
- Case Officer may choose multiple cases and “Bulk verify” the cases without putting remarks/ticking the checkbox on each page of the application form. Alternatively, case officer can click the gearwheel icon for details and view each section of the application.



- Principals should put in place proper controls to ensure all the information provided in the application and any documents in connection with the application are **COMPLETE, TRUE and CORRECT**.
- Please refer to Step 6.4 for Bulk Verification to verify **MORE THAN ONE** applications OR refer to Step 6.5 for Verification of **ONE** particular application

6.4. Bulk Verification by Principal – Verify **MORE THAN ONE** applications

- Select the applications to proceed with Bulk Verification. Click “Bulk Verify”.

Verify Renewal Application

If the application has been verified with comments, bulk verification will not be available. Please click "Detail" to continue your verification.

<input type="checkbox"/>	Reference No.	Licence No.	Applicant Name	Submission Date	Status	NonPermanent... /Yes in Sect II or...	Detail
<input type="checkbox"/>	R2200000230	XX1001	[REDACTED]	2022/05/09 18:05	First submission	No	

6.5. Verification of **ONE** particular application

- Click the gearwheel icon to open the application and view details.

Verify Renewal Application

If the application has been verified with comments, bulk verification will not be available. Please click "Detail" to continue your verification.

<input type="checkbox"/>	Reference No.	Licence No.	Applicant Name	Submission Date	Status	NonPermanent... /Yes in Sect II or...	Detail
<input type="checkbox"/>	R2200000230	XX1001	[REDACTED]	2022/05/09 18:05	First submission	No	

- Scroll down and tick the checkbox “Verify with no comments?” or enter the comments for that section. Then click “Next Section”.



Please enter remarks if you have any comments on this section

Verified with no comments?

Next Section >

- After reviewing the whole application, Click “Finish”.

Status: Pending verification by Principal(s)

Application for Renewal of Insurance Intermediary Licence - Individual Insurance Agent/Technical Representative (Agent)/Technical Representative (Broker) Licence Pursuant to Section 64ZV of the Insurance Ordinance (Cap.41)

Supporting documents

Please upload supporting documents. Please ensure the documents provided by you to support your application are correct and complete.

Character, Financial Status, Disciplinary Action & Investigation

SELECT FILES

test.pdf

Only support JPG, JPEG, PNG, PDF file, maximum allowed file size is 2MB.

Please enter remarks if you have any comments on this section

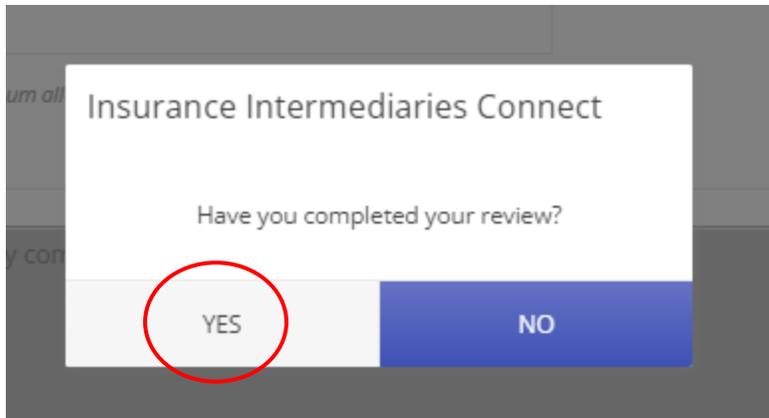
< Previous Verified with no comments? **Finish** >

Attachment

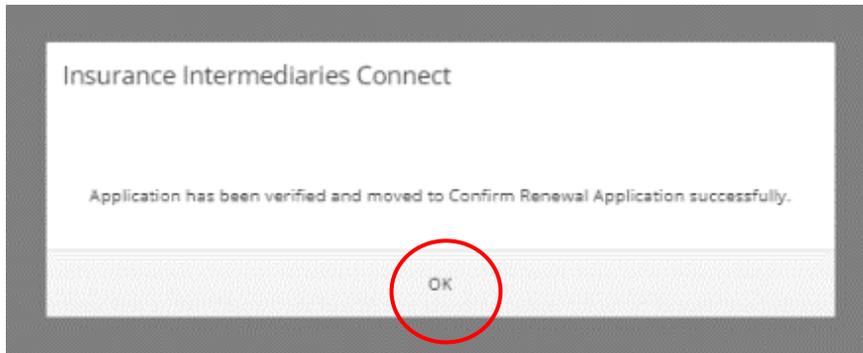
PDF

SectionIV - test.pdf

- Click “YES” in the pop-up message.



- Click "OK" in the pop-up message.



6.6. R



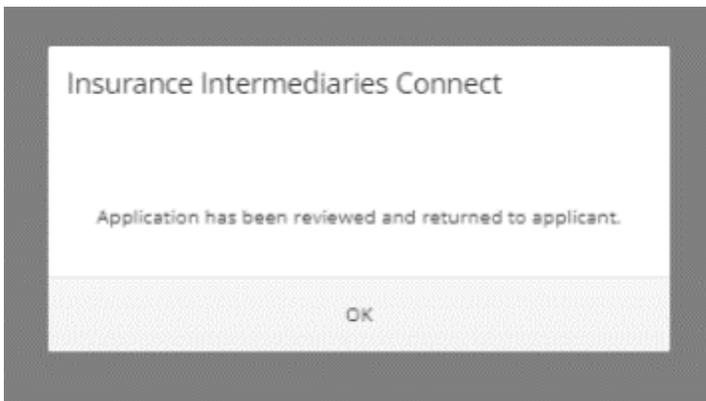
6.7. eturn Agency Renewal Application

- If there is any page with comments, application will be returned to the Agency applicant after completion of review.

Please provide supplementary information.

< Previous Verified with no comments? Next Section >

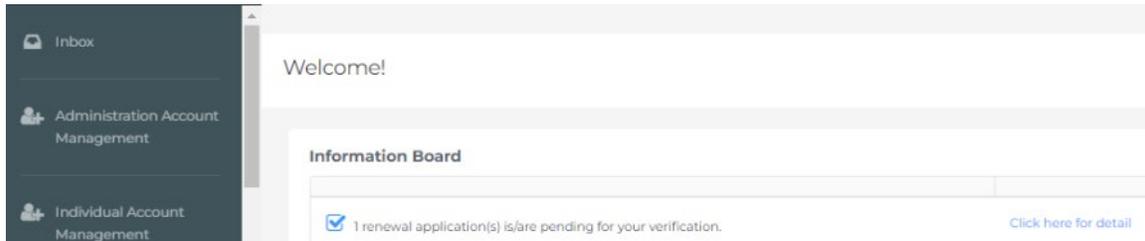
This screenshot shows a web form with a large text area for providing supplementary information. The text area is highlighted with a red border. Below the text area, there are navigation buttons: a grey button with a left arrow and the text 'Previous', a checkbox labeled 'Verified with no comments?', and a blue button with a right arrow and the text 'Next Section'.





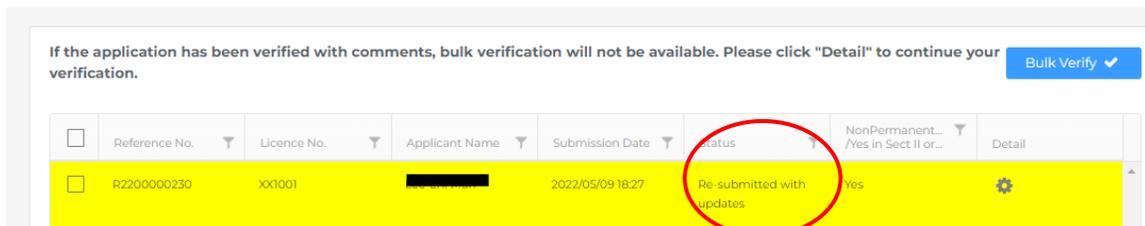
6.8. Verification of resubmitted Agency Renewal Application

- If the application is resubmitted after amendment, Case Handler shall verify the agency renewal application amended.
- Case Handler will receive daily notification regarding resubmitted application.
- Notification will be shown in the Information Board.

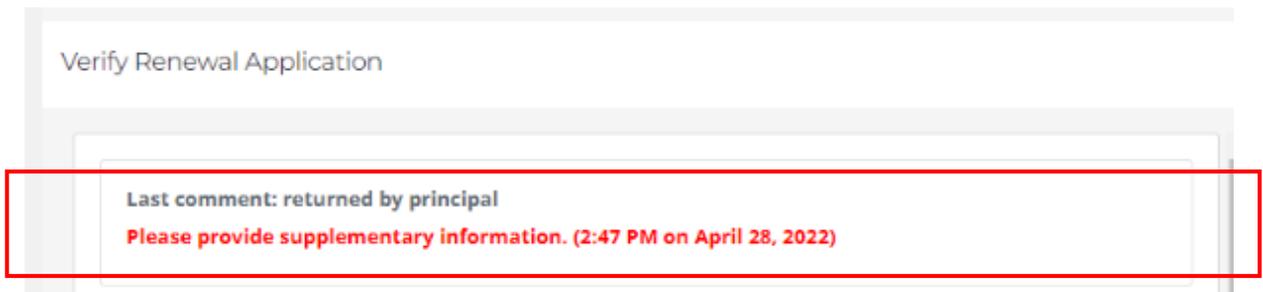


- Resubmitted applications will be indicated in Status column.

Verify Renewal Application



- Case Handler will be able to see last comment on the top during the re-verification stage.





- The page which was amended by the applicant will be indicated on the top and amended details will be highlighted in yellow.

Verify Renewal Application

Last comment: returned by principal
Please provide supplementary information. (2:47 PM on April 28, 2022)

This page has been amended by applicant

Status: Pending verification by Principal(s)

Application for Renewal of Insurance Intermediary Licence - Individual Insurance Agent/Technical Representative (Agent)/Technical Representative (Broker) Licence
Pursuant to Section 64ZV of the Insurance Ordinance (Cap.41)

IV. Character, Financial Status, Disciplinary Action & Investigation

If you answered "Yes" to any of the questions below, please provide details of the case or matter in a separate document including date of the relevant event, name of regulatory, criminal investigatory or professional body (if applicable), description of the case/matter, your role or involvement in the case/matter, outcome or current status of the case/ matter, together with the relevant supporting documents.

1. In the past 3 years, have you failed to comply with any requirements while carrying on any regulated activities? Yes No

2. In the past 3 years, have you been found by a court or other competent authority in Hong Kong or elsewhere to be liable for fraud, dishonesty or misfeasance? Yes No

3. In the past 3 years, have you been disqualified by a court in Hong Kong or elsewhere from being a director of a company? Yes No

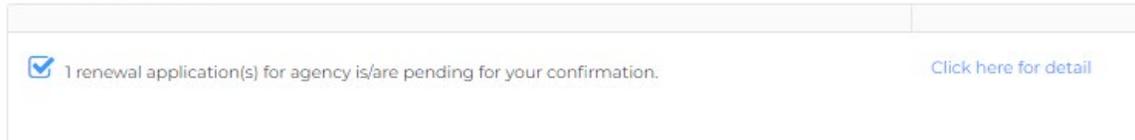
- Please refer to Step 6.3 for verifying application.



6.9. Confirm Agency's Appointment

- Notification will be shown in the "Information Board" if the admin user got the confirmation right.

Information Board



- Click "Confirm Appointment (Licence Renewal Application of Agency)" on the left vertical menu.



- The PAA shall review the appointment pending for confirmation by clicking the gearwheel icon. The application fee will also be shown for reference. Please note that the application fee for licence renewal of an Agency Applicant depends on the number of Technical Representatives (Agent) appointed by the Agency at time of Insurer confirms.
- The PAA should indicate the payer (Agency or Principal) for each application by checking relevant box, namely "To be paid by Agency" and "To be paid by Principal". The PAA may select respective payer for each application one by one on the list, or select same payer for all applications by checking the box on the top.



- If the PAA is satisfied with the appointment information, he/she can proceed the appointment by selecting the subject appointment, indicating the payer (Agency or Principal) of the application fee and clicking “**Add to Cart +**”.

Confirm Renewal Application of Agency

If the licence of the applicant expires today, confirmation of appointment will not be available.

<input type="checkbox"/>	Reference No.	Licence No.	Applicant Name	Submission Date	Status	Indicated Yes in ...	Application Fee	<input checked="" type="checkbox"/> To be paid by Agency	<input type="checkbox"/> To be paid by Principal	Detail
<input checked="" type="checkbox"/>	RC2400000271	[REDACTED]	[REDACTED]	2024/08/28 19:06	First submission	No	\$2250	<input checked="" type="checkbox"/>	<input type="checkbox"/>	

Buttons: **Add to Cart +** (circled in red), **Cart** (with 0 items)

- Click “**Cart**”. The number of applications added to cart is indicated next to “**Cart**”.
- The PAA shall then confirm the appointment and confirm the selected payer by clicking “**Confirm**”.

Confirm Renewal Application of Agency

Reference No.	Licence No.	Applicant Name	Submission Date	Status	Indicated Yes in ...	Application Fee	Payer
RC2400000271	[REDACTED]	[REDACTED]	2024/08/28 19:06	First submission	No	\$2250	Agency

Buttons: **< Back**, **Confirm** (circled in red)

Dropdown menu for Payer: Agency (selected), Agency (with red X)



- The PAA will then be required to make relevant declarations and provide the information of the contact person for the renewal application whom will be the principal's contact point for the IA in processing this renewal application. Then, click "Confirm".

Declaration by Appointing Principal

- We CONFIRM that the Applicant is duly appointed as our agent
- We declare that, to the best of our knowledge and belief, all the information provided in this Application and any documents in connection with this Application are COMPLETE, TRUE and CORRECT.
- We BELIEVE that the Applicant has complied with the "fit and proper" requirements stipulated in section 64ZZA of the Insurance Ordinance and all relevant guidelines and codes issued by the Insurance Authority.

Please be reminded that Appointing Principal is responsible for verifying the information provided in this Application and any documents in connection with this Application.

Name of Contact Person

Position of Contact Person

Email of Contact Person

Phone No of Contact Person

Confirm

- Select the Designated Mobile Number from the drop-down menu to receive an OTP and then click "Submit".


保險業監管局
Insurance Authority

Please select a designated mobile number to confirm appointment.

Mobile No.:

Submit



- A SMS message containing an OTP will be sent to the Designated Mobile Number. Please refer to section 2.5 of the User Guide of the Insurance Intermediaries Connect for Principals for setting up designated mobile number.
- Input the OTP received. Click “Submit”. Once the OTP is inputted into the system, relevant agency’s appointment will be confirmed. PAA shall proceed to settle the payment (if indicated application fee to be paid by Principal) or remind the Agency applicant(s) to settle relevant application fee (if indicated application fee to be paid by Agency). Selected payer for the application fee will receive notification via e-mail. Please refer to Section 8 for the detailed payment process.

The screenshot shows the Insurance Authority logo at the top. Below it, a message states: "One-time Password (OTP) has been sent via SMS to your company number. The OTP will expire in 5 minutes. If you do not receive the OTP/the OTP expires, you may click 'Re-send' to request for a new OTP." Below this message, there is a text input field labeled "One Time Password" and a "Re-send" button. At the bottom of the form is a large blue "Submit" button.

The screenshot shows a confirmation dialog box titled "Insurance Intermediaries Connect". The text inside asks: "Are you sure to confirm all application(s) in cart?". There are two buttons: "YES" and "NO". The "YES" button is circled in red. In the background, a blurred version of the OTP verification form is visible, showing the "Re-send" button and the number "597364".

The screenshot shows a confirmation message box titled "Insurance Intermediaries Connect". The text inside reads: "All application(s) has been confirmed and pending payment of the relevant fees." At the bottom of the box is an "OK" button.

- The licence renewal application will be submitted to the IA when relevant application fee is paid. Please refer to Section 8 for the detailed payment process.



7. Change in Particulars

[Applicable to **Licensed Insurance Agencies** and **Licensed Insurance Broker Companies** only]

7.1. Grant of Access Right to PAA

- If supervisor / alternate supervisor account owner would like to delegate the change in particulars function to administration account owner, he/she should click **“Administration Account Management”**, select the designated PAA and tick the box **“Change in Particulars”** to grant the relevant access right to the designated PAA.

Insurance Intermediaries Connect

Last Login: 2nd April 2020, 1:04:08 pm

Administration Account Management

+ Create Administration Account

Name	Departmen...	Job Title	Email	Status	Detail
333 Althernate		manager		Active	

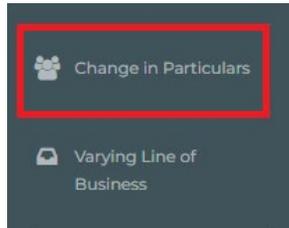
Access Rights

- Assign tasks from one administration account to another administration account
- Application Assignment - Deemed Licensee Application
- Transfer Case Handler
- Licensee Account Management
- Create Individual Account
- Bulk Uploads of Account
- Bulk Uploads of Application
- Deemed Licensees' Bulk Upload
- Bulk Termination of Appointment
- Verify Licence Application
- Verify Bulk Deem Licensee Application
- Confirm Appointment (Licence Application)
(This access right should be assigned to a person who is authorized by your Board of I)
- Termination of Appointment
(This access right should be assigned to a person who is authorized by your Board of I)
- Search for Former Self-Regulatory Organization Past Registration Records
- Assign Renewal Application
- Verify Renewal Application
- Confirm Renewal Application
- Report
- Change in Particular



7.2. Notification of Change in Particulars

- After logging into the IIC, PAA may click “*Change in Particulars*” to start the change of particulars process.



- Please choose the particular(s) to be changed by checking the box(es) and filling in the new particular(s) and relevant effective date.

Particulars to be changed	Current Particulars	New Particulars	Effective Date
<input type="checkbox"/> English Name	Limited	<input type="text"/>	DD/MM/YYYY <input type="button" value="📅"/>
Note: Please upload a copy of the relevant Certificate of Change of Name issued by Companies Registry.			
<input type="checkbox"/> Chinese Name	有限公司	<input type="text"/>	DD/MM/YYYY <input type="button" value="📅"/>
Note: Please upload a copy of the relevant Certificate of Change of Name issued by Companies Registry.			
<input type="checkbox"/> Telephone No.		<input type="text"/>	DD/MM/YYYY <input type="button" value="📅"/>
<input type="checkbox"/> Fax No.		<input type="text"/>	DD/MM/YYYY <input type="button" value="📅"/>
<input type="checkbox"/> Email Address		<input type="text"/>	DD/MM/YYYY <input type="button" value="📅"/>
<input type="checkbox"/> Website	-	<input type="text"/>	DD/MM/YYYY <input type="button" value="📅"/>

Address for insurance agency and insurance broker company



- For change of name or address, please also upload relevant supporting documents as stated in the Note.

II. Details of Change(s)

Please choose the particular(s) to be changed and fill in your new particular(s). The relevant record will be updated 1 day later if supporting document is not required and this submission is made before 12 noon.

Particulars to be changed	Current Particulars	New Particulars	Effective Date
<input type="checkbox"/> English Name	Limited	<input type="text"/>	DD/MM/YYYY
<small>Note: Please upload a copy of the relevant Certificate of Change of Name issued by Companies Registry.</small>			
<input checked="" type="checkbox"/> Chinese Name	有限公司	<input type="text"/>	DD/MM/YYYY
<div style="border: 1px solid red; border-radius: 50%; padding: 5px; display: inline-block;"><input type="button" value="UPLOAD"/></div>			
<small>Note: Please upload a copy of the relevant Certificate of Change of Name issued by Companies Registry.</small>			

- By confirming all information is true and accurate, PAA may then click the button **“Submit”** for the IA’s handling.
- The PAA will have to select the designated mobile number of the principal (as set by the supervisor account owner) from the drop-down menu for receiving the OTP via SMS. He/ she is required to provide the OTP **within 5 minutes**. If the OTP was not received, licensee can click the “Re-send” button to request a new OTP.
- The relevant record will be updated 1 day later if supporting document is not required and the submission is made before 12 noon.
- Please note that **“Change in Particulars”** function will be disabled when there is another notification submitted to the IA and such change is still being processed by the IA.



8. Payment

From 23 September 2024 onwards, fees for licence applications and related notifications submitted electronically through IIC will be collected through IIC at the time that the application or notification is submitted. For details, please refer to the fees table and Frequently Asked Questions, available at the IA's website (https://www.ia.org.hk/en/supervision/reg_ins_intermediaries/licensing_and_related_fees.html).

8.1. Grant of Access Right to PAA

- This access right should be assigned to a person who is authorized by the Principal's Board of Directors / Key Person in Intermediary Management / Responsible Officer to give such notification to the IA.
- Supervisor / alternate supervisor account owner should click "*Administration Account Management*", select the designated PAA and tick the box "Payment" to grant the relevant access right to the designated PAA.

Name	Department	Job Title	Email	Status	Detail
333 Alternate		manager		Active	

Access Rights

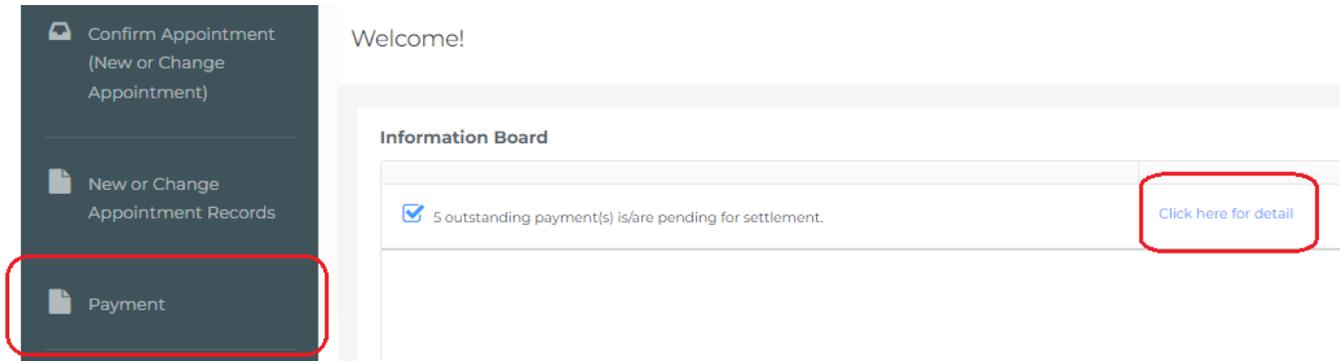
General Functions

- Assign tasks from one administration account to another administration account
- Change in Particular
- Enforcement Correspondence
- Licensee Account Management
- Report
- CPD Non-Compliance Reporting
- CPD Non-Compliance Reporting (Submitted Records)
- Search for Former Self-Regulatory Organization Past Registration Records
- Transfer Case Handler
- Payment



8.2. Outstanding Payment Records

- When there is outstanding payment pending settlement, reminder message will be displayed in the Information Board if the PAA account has the access right for “Payment”. The PAA may click “Click here for details” or “Payment” at the menu bar to check outstanding payment record(s), settle the payment and view and payment history.



- When there is an application which relevant licensing fee was selected to be paid by the PAA’s relevant principal or the insurance agency (as applicant for licence renewal) relevant payment entry will be added to the list of “*Outstanding Payments (Licence)*”.
Remarks: Payment entry will not be added here if relevant fee was selected to be paid by other party (e.g. the individual applicant). Principal can view the selected payer and payment status of its appointees in application e-portal status report.
- Relevant details in relation to the payment will be shown for PAA’s reference, e.g. name of applicant/licensee, application type, reference number, fee amount, etc..
- PAA may settle the payment one by one by clicking “*Pay*” next to each payment record or settle the payments in batch by clicking “*Pay Selected*” or “*Pay All Outstanding Payments*”.



Payment

OUTSTANDING PAYMENTS (LICENCE) PAYMENT HISTORY (LICENCE) OUTSTANDING PAYMENTS (DISCIPLINARY ACTION) PAYMENT HISTORY (DISCIPLINARY ACTION)

All paid fee will NOT be refunded, even if the application is not approved.

Pay Selected \$ Pay All Outstanding Payments \$

<input type="checkbox"/>	Name of Applicant/Licens...	Application Type	Case/Ref. No.	Amount	Status	Payment Details	Create Date	Payment
<input type="checkbox"/>	██████████	New Application	A240004038	\$810	Pending Payment	Application Fee for 3-Year Licence: \$810	26/07/2024	<input type="button" value="Pay"/>
<input type="checkbox"/>	██████████	New or Change Appointment	CA240003611	\$100	Pending Payment	Fee for notification of new appointment of principal: 100	27/08/2024	<input type="button" value="Pay"/>

- Total amount to be paid would be shown. Click “**Confirm**” to proceed if confirm the amount is correct.

Insurance Intermediaries Connect

The TOTAL amount to be paid is: \$3340

- PAA will then be directed to the payment gateway which different payment methods are available.

 **mPay Payment Service** Pay safer with mPay 

Order Number	██████████
Merchant Name	Insurance Authority - Licensing
Total Amount	HKD 1,900.00

Choose the payment method







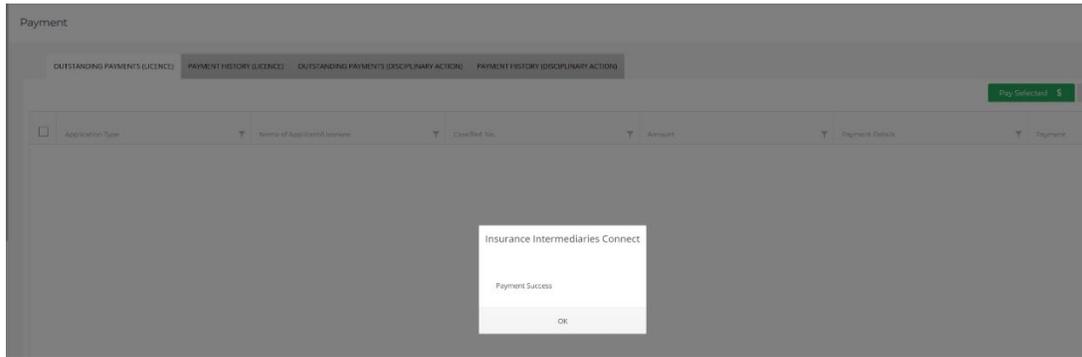




Please do not REFRESH/BACK or CLOSE the page during payment process



- When payment process is completed, PAA will be directed back to the IIC.



8.3. Payment History and Payment Receipt

- Records of settled payment will be shown under “*Payment History (Licence)*”. PAA may download relevant payment receipt by clicking “*Receipt*”.

Payment

Payment										
OUTSTANDING PAYMENTS (LICENCE) PAYMENT HISTORY (LICENCE) OUTSTANDING PAYMENTS (DISCIPLINARY ACTION) PAYMENT HISTORY (DISCIPLINARY ACTION)										
Download Selected Receipt Export										
<input type="checkbox"/>	Application Type	Name of Applicant/...	Case/Ref. No.	Payment Date	Amount	Status	Line of...	Payment Details	Create Date	Receipt
<input type="checkbox"/>	New Application	██████████	A240008587	03/09/2024	\$810	Paid	C	Application Fee for 3-Year Licence: \$810	03/09/2024	Receipt
<input type="checkbox"/>	New Application	██████████	A240008589	03/09/2024	\$810	Paid	C	Application Fee for 3-Year Licence: \$810	03/09/2024	Receipt



香港中區皇后大道中1號11樓
11th Floor, 41 Queen's Road, Hong Kong
電話 Tel: (852) 3899 9983 電郵 Email: enquiry@ia.org.hk
傳真 Fax: (852) 3899 9993 網址 Website: www.ia.org.hk

收據 Receipt

發出日期 Issue Date :

付款日期: Payment Date: (DD/MM/YYYY)	付款方式: Payment Method:
付款參考編號: Payment Reference ID:	付款人: Payer:

付款資料 Payment Details				
付款類別 Payment Type	個案編號 Case Number	姓名 Name	保監局牌照號碼 IA Licence No.	金額 (港幣) Amount (HK\$)

備註:
Remarks: /

<此為電腦編印文件，毋須簽署>
<This is a computer-generated record. No signature is required >



9. Status Report

There are three status reports to facilitate appointing principals to manage and monitor the progress of appointees' licence renewal:

- **(5) Renewal Application E-portal Status Report :**
This report shows the application status of appointed *individual licensees* (i.e. Individual Insurance Agents, TR(A) & TR(B)) who have submitted renewal application in IIC.
- **(6) Status Report of Licences to be Expired in Coming 6 months:**
This report is an outstanding list of appointed *individual licensees* whose licence will be expired in coming **6 months**, regardless of whether renewal applications have been created or not.
- **(8) Renewal Application Form pdf**
This report shows a particular renewal application form of an appointed *individual licensees* (i.e. Individual Insurance Agents, TR(A) & TR(B)).
- All status reports are password-protected. The password is maintained by the Supervisor and can be set/updated in the “Designated Mobile Number, Designated Email Address and Password for Document Download” function. The document will not be available for download if password is not set. Administrator Account users shall request the password from the Supervisor Account user. The screen capture below shows the relevant part for the password setting. For details, please refer to section 2.5 of the User Guide of the Insurance Intermediaries Connect for Principals.



Inbox

Administration Account Management

Individual Account Management

Designated Mobile Number, Designated Email Address and Password for Document Download

Designated Mobile Number, Designated Email Address and Password for Document Download

Company Name Insurer 5 Co Ltd

Designated Email Address

Password for Document Download password

Add Designated Mobile Number

9.1. Download Status Report

- Select “Report” in the left vertical menu.



- Click the dropdown list and select the report to be downloaded (e.g: (5) Renewal Application E-portal Status Report).

Report

Report Type

-- Please Select --

(1) Full Intermediary Licence List

(2) New Application E-Portal Status Report

(3) Deemed Licensee Application E-Portal Status Report

(4) Outstanding Deemed Licensees Report

(5) Renewal Application E-Portal Status Report

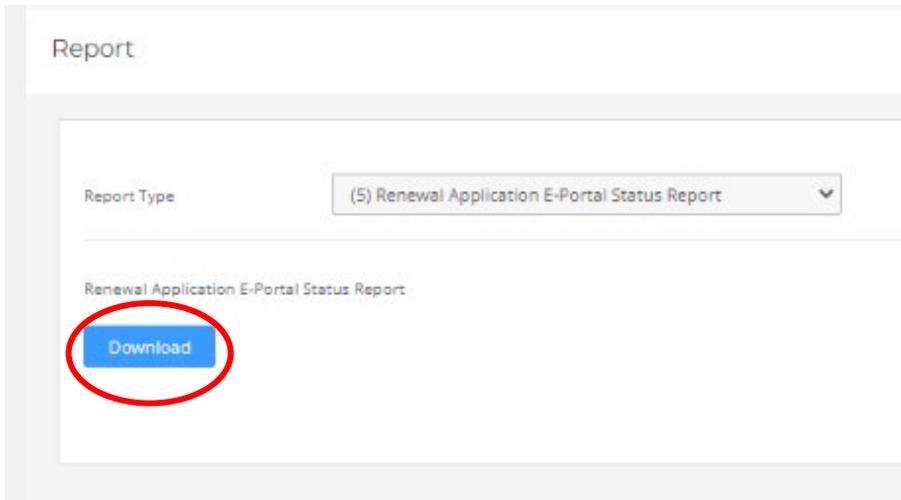
(6) Outstanding Report of Licences to be Expired in coming 6 months

(7) Application Form pdf

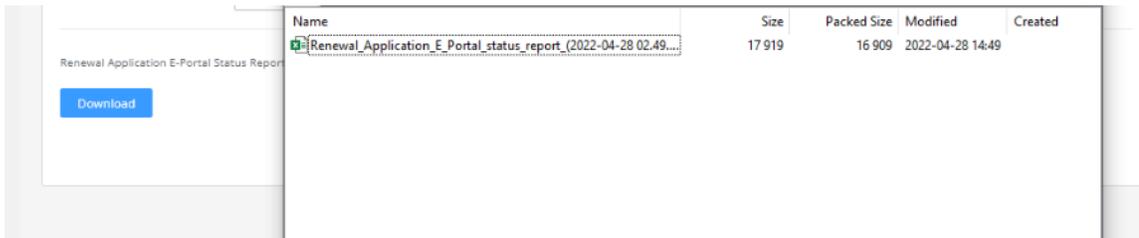
(8) Renewal Application Form pdf

(9) CPD hours required for the Assessment Period of 2021/2022

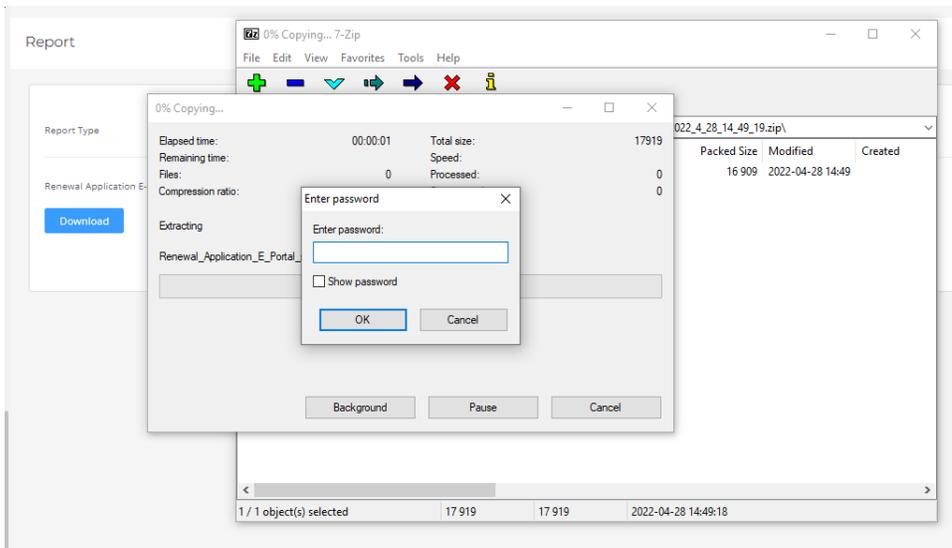
- Click “Download” to download the report and then click “Save” to save the zip file.



- Open the zip file and double click the report to open.



- Enter the “Password for Document Download” which can be found in e-portal Supervisor Account.





- The report (extracted) is as below:

Renewal Application E-Portal Status Report as at 28/04/2022											
Full English Name	Full Chinese Name	Partial HKID No.	IA License No.	Licence Type	Case Handler	Date of Application Submitted to IA	Licence Application Number	Application Status	Review Status	Application Last Update Date	Appointing Principal who Handles the Application
				Individual Insurance Agent	UAT 3 Test	2022-04-14	R2200000132	Filing	Returned by IA	2022-04-14	Insuran
				Individual Insurance Agent	UAT 3 Test	2022-04-22	R2200000145	Submitted to IA		2022-04-22	Insuran
				Individual Insurance Agent	UAT 3 Test	2022-04-14	R2200000124	Submitted to IA		2022-04-14	Insuran
				Individual Insurance Agent	UAT 3 Test	2022-04-12	R2200000104	Submitted to Principal		2022-04-12	Insuran
				Individual Insurance Agent	UAT 3 Test	2022-04-08	R2200000069	Approved		2022-04-13	Insuran
				Individual Insurance Agent	UAT 3 Test	2022-04-12	R2200000100	Filing	Returned by Principal	2022-04-14	Insuran
				Individual Insurance Agent	UAT 3 Test	2022-04-08	R2200000061	Submitted to IA		2022-04-08	Insuran
				Individual Insurance Agent	UAT 3 Test	2022-04-12	R2200000108	Approved		2022-04-14	Insuran
				Individual Insurance Agent	UAT 3 Test	2022-04-08	R2200000059	Filing		2022-04-08	Insuran
				Individual Insurance Agent	UAT 3 Test	2022-04-08	R2200000065	Withdrawn		2022-04-13	Insuran

9.2. Check the Renewal Application Status

9.2.1. Renewal Application E-portal Status

The status report – (5) Renewal Application E-portal Status Report (“Status Report (5)”) contains the details of renewal application of individual licensee who have submitted renewal application, including the application status and relevant payment details which is shown as follows:

Status Report (5)

ABC Insurance Company Limited Renewal Application E-Portal Status Report as at 10/05/2022											
Full English Name	Full Chinese Name	Partial HKID No.	IA License No.	Licence Type	Case Handler	Date of Application Submitted to IA	Licence Application Number	Application Status	Review Status	Application Last Update Date	Appointing Principal who Handles the Application
				Individual Insurance Agent	Chan Tai Man	2022-05-03	R2200000041	Submitted to IA	Returned by IA		
				Individual Insurance Agent	Chan Tai Man	2022-04-27	R2200000040	Submitted to Principal	Returned by Principal	2022-05-05	ABC Insurance Company Limited
				Individual Insurance Agent	Chan Tai Man	2022-04-27	R2200000040	Approved		2022-04-27	ABC Insurance Company Limited
				Individual Insurance Agent	Chan Tai Man	2022-04-06	R2200000040	Submitted to IA		2022-04-09	ABC Insurance Company Limited
				Individual Insurance Agent	Chan Tai Man	2022-04-06	R2200000040	Approved		2022-04-09	ABC Insurance Company Limited
				Individual Insurance Agent	Chan Tai Man	2022-04-06	R2200000040	Filing		2022-04-09	ABC Insurance Company Limited
				Individual Insurance Agent	Chan Tai Man	2022-05-03	R2200000041	Withdrawn		2022-05-05	ABC Insurance Company Limited



9.2.2. Licensee’s Renewal application status

The status report – (6) Status Report of Licences to be Expired in Coming 6 months (“Status Report (6)”) contains the details of licence to be expired in coming 6 months, regardless of whether renewal applications have been created or not.

Status Report (6)

- Licence expiry date will be indicated in Column F.
- Number of days to be expired will be indicated in Column G.
- The renewal function’s availability will be indicated in Column H “Renewal Application Function Available”:
 - **Y**= renewal application function is available for the licensee (i.e. start from 135 days before the licence expiry);
 - **N**= renewal application function is not available for the licensee
- The e-portal account status will be indicated in Column I “E-Portal Account Activated”:
 - **Y**= licensee’s e-portal account is activated;
 - **N**= licensee’s e-portal account has not yet been activated

ABC Insurance Company Limited Outstanding Report of Licences to be Expired in coming 6 months as at 10/05/2022												
Full English Name	Full Chinese Name	Partial HKID No.	Licence No.	Licence Type	Licence Expiry Date	No. of Days to be Expired	Renewal Application Function Available	E-Portal Account Activated	Date of Renewal Application submitted to IA	Application Number	Application Status	Review Status
				Individual Insurance Agent	2022-09-21	134	Y	Y	2022-05-03	R2200000187	Approved	
				Individual Insurance Agent	2022-06-27	48	Y	Y	2022-04-27	R2200000166	Submitted to IA	
				Individual Insurance Agent	2022-08-06	88	Y	Y	2022-04-27	R2200000167	Submitted to Principal	
				Individual Insurance Agent	2022-08-02	84	Y	Y	2022-04-06	R2200000039	Approved	
				Individual Insurance Agent	2022-07-03	54	Y	Y	2022-04-06	R2200000040	Filing	Returned by Principal
				Individual Insurance Agent	2022-10-17	160	N	N	2022-05-03	R2200000041	Withdrawn	



9.3. Retrieve the Renewal Application Form

- PAA can use different criteria to search for a particular application (including cases submitted to principal for verification but not yet submitted to the IA) and download the application form in PDF format.
- The latest renewal application form will be available for download.

Report Type: (8) Renewal Application Form pdf

Licence No.

HKID No.

Application No.

IIC Ref No.

English Name

Chinese Name

Administration Account responsible for Verification of Renewal Licence Application:

Application Creation Date: Start End

Application Submission to IA Date: Start End

Licence Expiry Date: Start End

Licence No.	IIC Ref No.	English Name	Chinese Name	Download(English)	Download(Chinese)
██████████	R000000001	██████████	██████████	Download PDF	Download PDF

-----End-----