保險業監管局
Insurance Authority

User Guide of the Insurance Intermediaries Connect for Principals

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

Last update: June 2025

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1. Introduction

To enhance regulatory efficiency, Insurance Authority ("IA") has developed a new online portal, the Insurance Intermediaries Connect ("IIC"), which enables electronic submission of applications and other documents by licence applicants, licensees and their principals.

This user guide is to provide different account users of principals with information on functions and procedure in the IIC.

For instructions on how to submit an individual licence application by individual applicants, i.e. individual insurance agent, technical representative (agent) and technical representative (broker) (collectively, "individual account owner") through the IIC, please refer to "User Guide of the Insurance Intermediaries Connect for Individual Account Owner" ("Individual Account Owner's User Guide") for details.

1.1 Users of the Insurance Intermediaries Connect

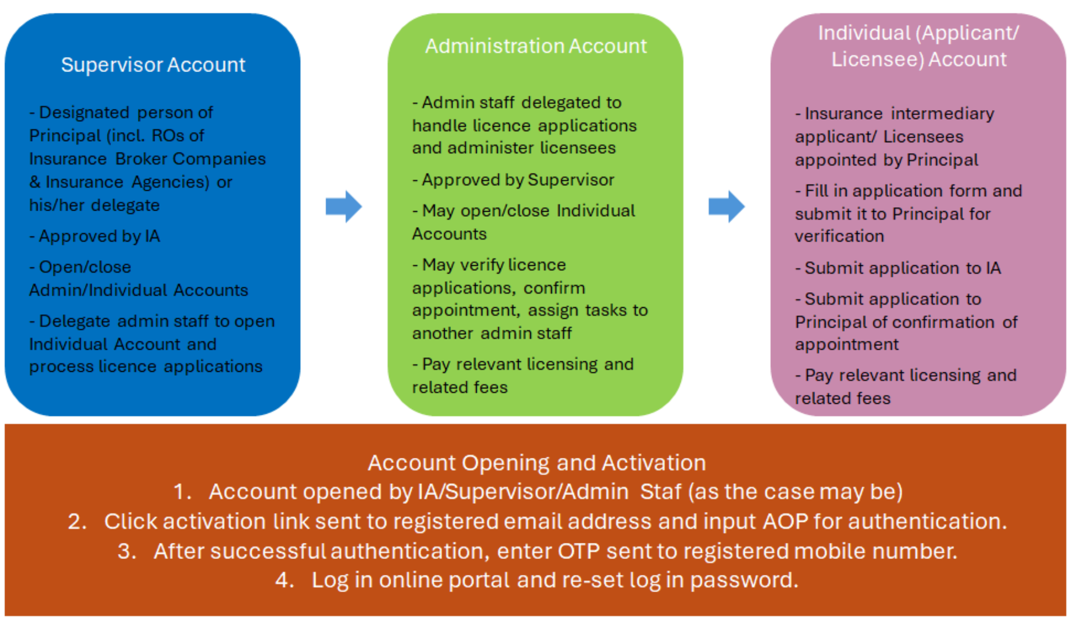
- **Principals (after duly registered with IA) as defined in GL24 issued**
  - **Authorized insurers**
  - **Licensed insurance agencies**
  - **Licensed insurance broker companies**

- **Individual applicants for the following licences (after duly registered with principals)**
  - **Individual insurance agents**
  - **Technical representatives (agent)**
  - **Technical representatives (broker)**

1.2 Types of the IIC Accounts managed by the Principal

IIC Account Type	Available Functions
Supervisor Account (Refer to Section 2)	• **Perform all functions available on IIC for a principal.**
Alternate Supervisor Account (Refer to Section 3)	• **Created by Supervisor Account (if considered necessary)** • **Perform selected or all functions available on IIC (i.e. delegated to have all rights of supervisor account except the right to create another Alternate Supervisor Account)** • **Served as a back-up of Supervisor Account**

Administration Account (Refer to Section 3)	• Created by Supervisor Account (if considered necessary) with selected rights assigned by Supervisor ○ Create Individual Account for Individual insurance agents, Technical representatives (agent) or Technical representatives (broker) ○ Verify licence application submitted by individual applicants ○ Confirm appointment of individual applicants and select relevant payer of application fee ○ Pay relevant licensing and related fee • Able to assign tasks from one Administration Account to another Administration Account • Handle the creation of Individual Accounts in bulk upload – account creation • Prefill individual licence application forms in bulk upload – application creation
Individual Account **- Individual insurance agents** **- Technical representatives (agent)** **- Technical representatives (broker)** **(Refer to Section 4 and 5)**	• Created by Supervisor/ Administration staff for individual licence applicant or licensee • Responsible for completing the licence application form and submitting the application to principal for endorsement • Responsible for submission of licence application to IA • Able to view individual's information (e.g. CPD, SRO past registration record) • Pay relevant licensing and related fee



1.3 Functions of the IIC

The IIC provides an online platform allowing its users to submit licensing applications. The IIC aims to streamline the licensing processes and procedures as well as enhancing communication efficiency between users of the IIC and the IA. Currently, the major functions of IIC include:

- **Individual Licence application**
  - ***Completion of application form by individual applicant***
    Individual Applicant will be able to complete his/ her application through IIC.

  - ***Verification of individual application form by principal***
    Principal will be able to verify the individual application through the IIC. If there is anything needed to be updated, principal may mark the comments. The individual applicant will be able to view the comments and conduct necessary updates through the IIC.

  - ***Confirmation of individual applicant appointment by principal***
    Principal may also confirm the *individual applicant* appointment through the IIC.

  - ***Choose the party to pay the application fee***
    Principal may also choose the payer together with the confirmation of appointment in IIC.

  - ***Submission of application to the IA***
    Once the individual application has been completed and verified, and with relevant fee paid, it can be submitted by the individual applicant to the IA via the IIC.

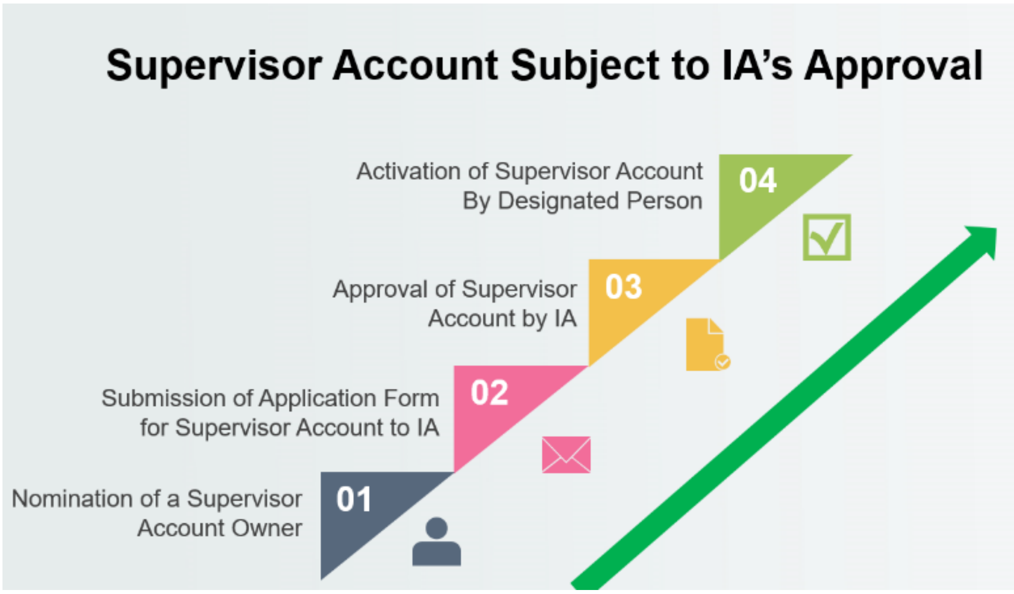
The principal must register for an IIC Supervisor Account with the IA before the individual applicant is able to submit his/ her licence applications through the IIC.

This user guide is to provide supervisors, alternative supervisors and administration account owners (on behalf of their respective authorized insurers, licensed insurance agencies and licensed insurance broker companies, collectively, "principal") with the information on the creation of accounts in the IIC, verification of licence applications, and confirmation of appointment of the individual applicants.

This user guide will be update from time to time to reflect the latest functions as available in the IIC.

2. Supervisor Account

A principal is required to have a supervisor account with the IA before it can use the functions of IIC. Each principal shall have only one supervisor account. Setting up a supervisor account involves several steps as follows:

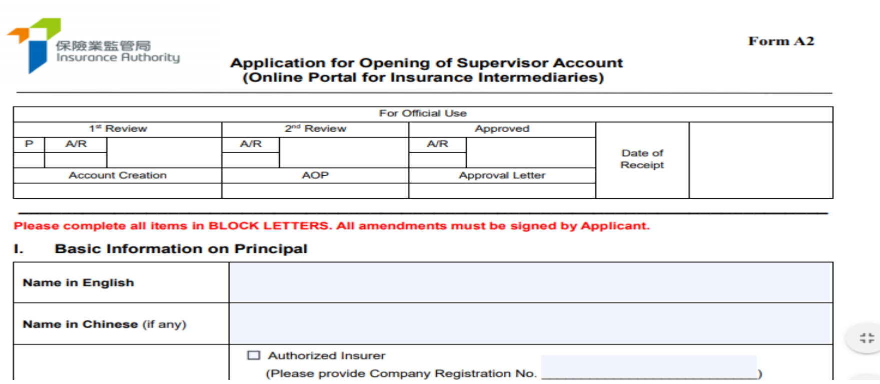


2.1 Step 1 – Nomination of a Supervisor Account Owner

A principal must firstly identify a senior staff with sufficient authority to act as the supervisor account owner whom will be able to perform all functions available on the IIC.

2.2 Step 2 - Submission of Application Form for Supervisor Account

A principal is required to complete and submit the application form, "*Form A2 Online Portal - Application for Opening of Supervisor Account*", to the IA for consideration. This form is available from the IA's website (https://www.ia.org.hk/en/infocenter/forms/intermediaries.html).



保險業監管局
Insurance Authority

Form A2

Application for Opening of Supervisor Account
(Online Portal for Insurance Intermediaries)

For Official Use							
1st Review			2nd Review		Approved		Date of Receipt
P	A/R		A/R		A/R		
Account Creation			AOP		Approval Letter		

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

I. Basic Information on Principal

Name in English	
Name in Chinese (if any)	
	☐ Authorized Insurer (Please provide Company Registration No. ____________)

When completing the form, please note that with respect to:

a. **Account owner's Name in English – The name must be identical with the proposed supervisor account owner's Hong Kong identity ("HKID") card;**

b. **Login Username for Supervisor Account – The principal shall consider a username which resembles the business entity (e.g. your Company Registration No. or Insurance Intermediary Licence No. as Username for Supervisor Account). To facilitate the succession of the supervisor account due to future personnel movement, the principal shall avoid using the personal name of the proposed supervisor account owner as the username;**

c. **Hong Kong Identity Card Number – The first 4 characters of the HKID Card number will be used during the account activation process;**

d. **Email Address – The email address provided will be used for all future communication between the IA and the supervisor account owner. The supervisor account owner shall provide the office email address of the principal. An account activation email will also be sent to this email address;**

e. **Hong Kong Mobile Number – An one-time password ("OTP") will be sent to the mobile number provided via SMS for verification purpose. Account owner can also use this number to communicate with the IA via WhatsApp on licensing matter, if necessary; and**

f. **Address of Registered Office – An approval letter from the IA along with the Account Opening Password ("AOP") will be mailed to the principal's office. The AOP will be used for activating the supervisor account.**

Supervisor Account Owner is required to monitor the account usage to prevent any unauthorized use. Principal shall have effective internal controls in place to ensure proper opening of alternate supervisor, administration and individual accounts. Principal is expected to conduct periodic review of its account opening procedures, and to report to the IA any irregularities identified. Review record and internal monitoring record shall be provided to the IA upon request.

2.3 Step 3 – Approval of Supervisor Account

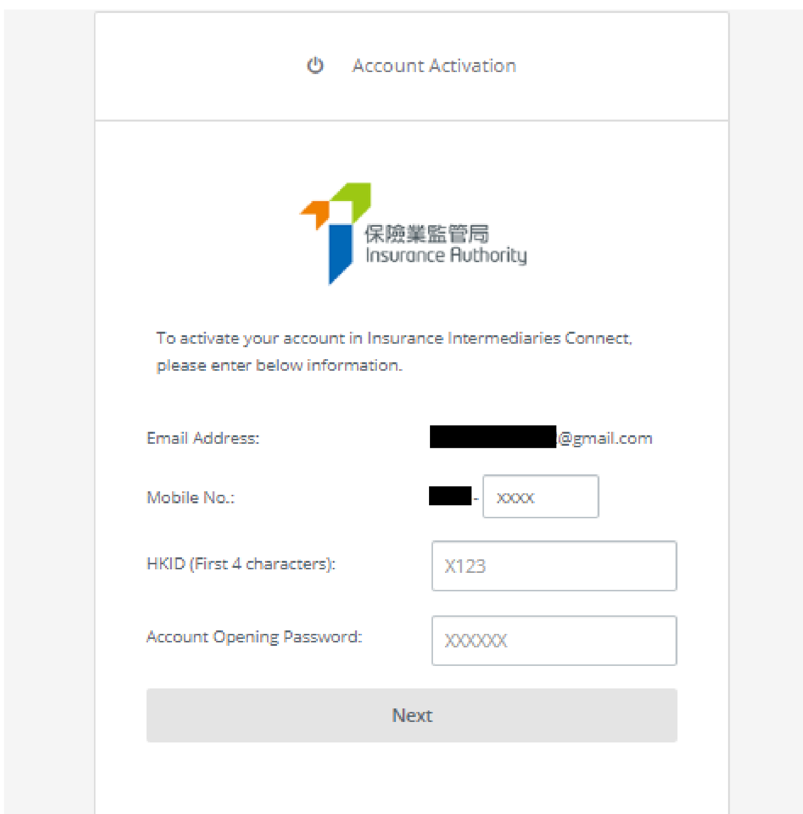
Once the application is approved by the IA, an approval letter with the AOP will be mailed from the IA to the principal's registered office address. An activation link will also be sent to the proposed supervisor account owner's registered email address.

2.4 Step 4 – Activation of Supervisor Account

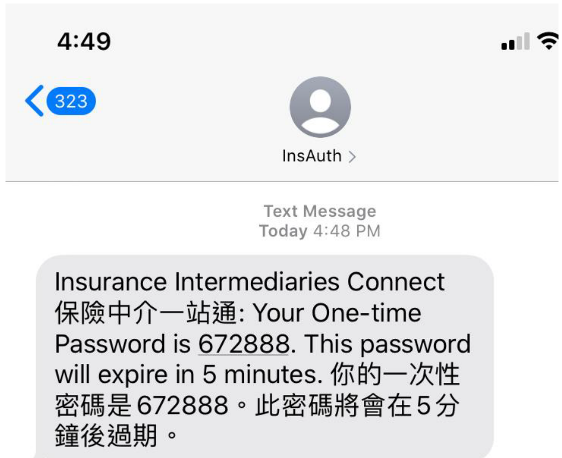
- **The supervisor account owner will receive an activation email as well as an approval letter with the AOP from the IA by post. He/ she shall activate the account with the activation link provided, which will only be valid for 90 days (Note: Due to the different email setting, it is possible that the activate email may be moved to junk/ spam folder, please check the relevant email folder if necessary). If the supervisor account owner is unable to receive the activation email, he/ she shall contact the IA to resend the activation email.**

- **The supervisor account owner will be directed to the activation page after accessing to the link provided in the activation email. The following information is required to activate the account:**
  - **First 4 characters of HKID Number;**
  - **Last 4 digits of the registered mobile number; and**
  - **AOP (*which has been sent to the principal's registered office address*).**

- **During the activation process, the information inputted into the activation page shall be consistent with the information provided in the "*Form A2 Online Portal – Application Form for Opening of Supervisor 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.**

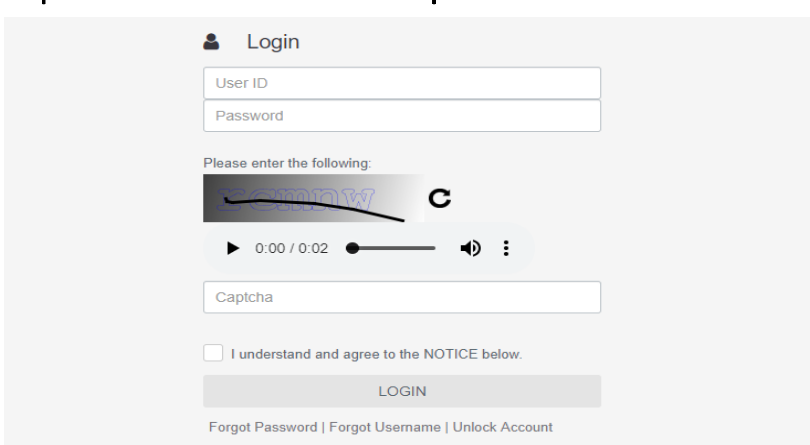


- **The supervisor account owner shall enter the self-defined username and new password to complete the account activation process in accordance with the following:**

    - **The requirements for username:**
        - **Between 6-20 characters with no space.**

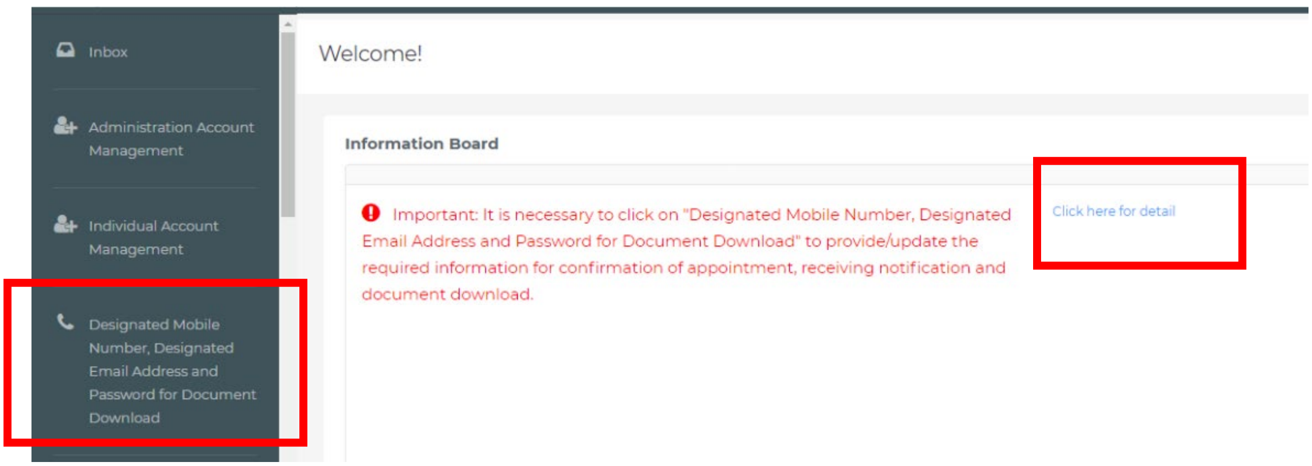
    - **The requirements for password:**
        - **Minimum password length: 10 characters;**
        - **Password cannot be the same as the user ID;**
        - **Password must be a combination of lowercase letter(s), uppercase letter(s), number(s) and special character(s) (Allowed special characters are "! @ # $ _ ? – &");**
        - **Password must be changed after 180 days;**
        - **Password can only be changed once per day;**
        - **Recent password shall not be reused**

- **The supervisor account owner shall return to the IIC login page to login with the newly created supervisor account username and password to access the IIC's services.**



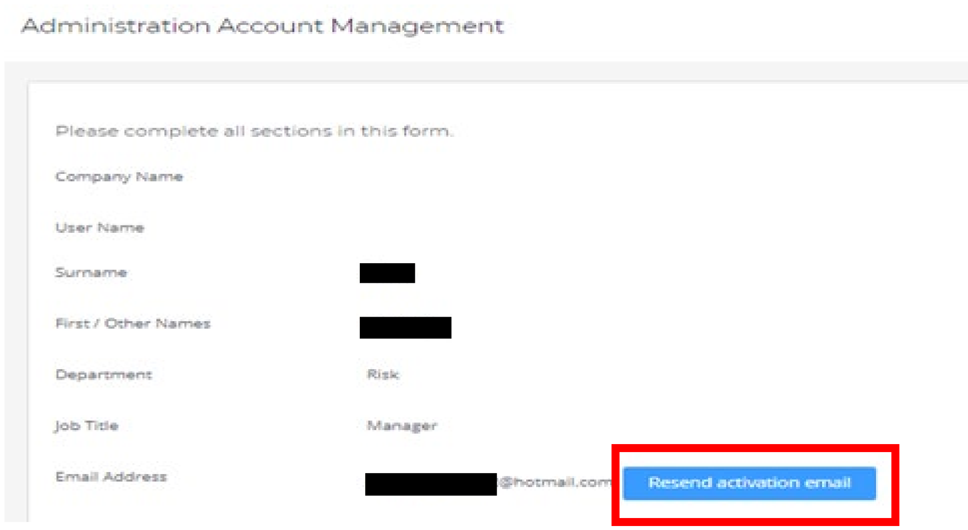
2.5 Step 5 – Setting of Designated Mobile Number, Designated Email Address and Password for Document Download

Upon logging into the IIC, a message will be shown under "*Information Board*" to remind the supervisor to add the designated mobile number and email address for receiving OTP in relation to the confirmation of individual applicants' appointment, and set the password for document download in the future. The supervisor account owner can add the dedicated email address, mobile number and set/update the password by clicking "*Click here for detail*".



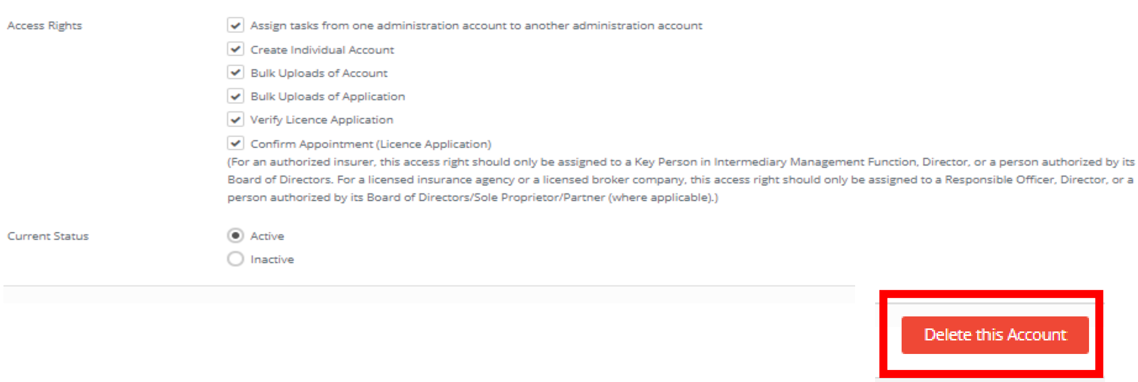
2.6 Re-sending Activation Email to Alternate Supervisor Account and Administration Account Owner

Please refer to section 3.1 for creation of the alternate supervisor account and administration account. If the alternate supervisor account or administration account owner is unable to receive the activation email, the supervisor account owner can generate a fresh activation email by clicking "*Administration Account Management*", followed by and then "*Resend activation email*". Due to the different email setting, it is possible that the activate email may be moved to junk/ spam folder, please check the relevant email folder if necessary. Please also refer to Section 16 related to internal email server setting.



2.7 Deletion of Alternate Supervisor Account or Administration Account

The supervisor account owner can delete an alternate supervisor account or administration account (e.g. due to staff turnover) by clicking "*Administration Account Management*", followed by and then "*Delete this account*".



3. Alternate Supervisor Account and Administration Account

Alternate Supervisor Account

A principal may nominate another staff as the alternate supervisor account owner as a backup of the supervisor account owner. The alternate supervisor account owner will be able to perform all or selected functions available on the IIC, except the right to create another alternate supervisor account. Each principal shall only have one alternate supervisor account.

Administration Account

The supervisor account owner may delegate certain functions to be performed at IIC to his/ her staff under an administration account. Depending on the complexity of the principal's intermediary structure and business needs, a supervisor account owner can create a reasonable number of administration accounts if considered necessary.

3.1 Step 1 – Creation of Alternate Supervisor Account or Administration Account

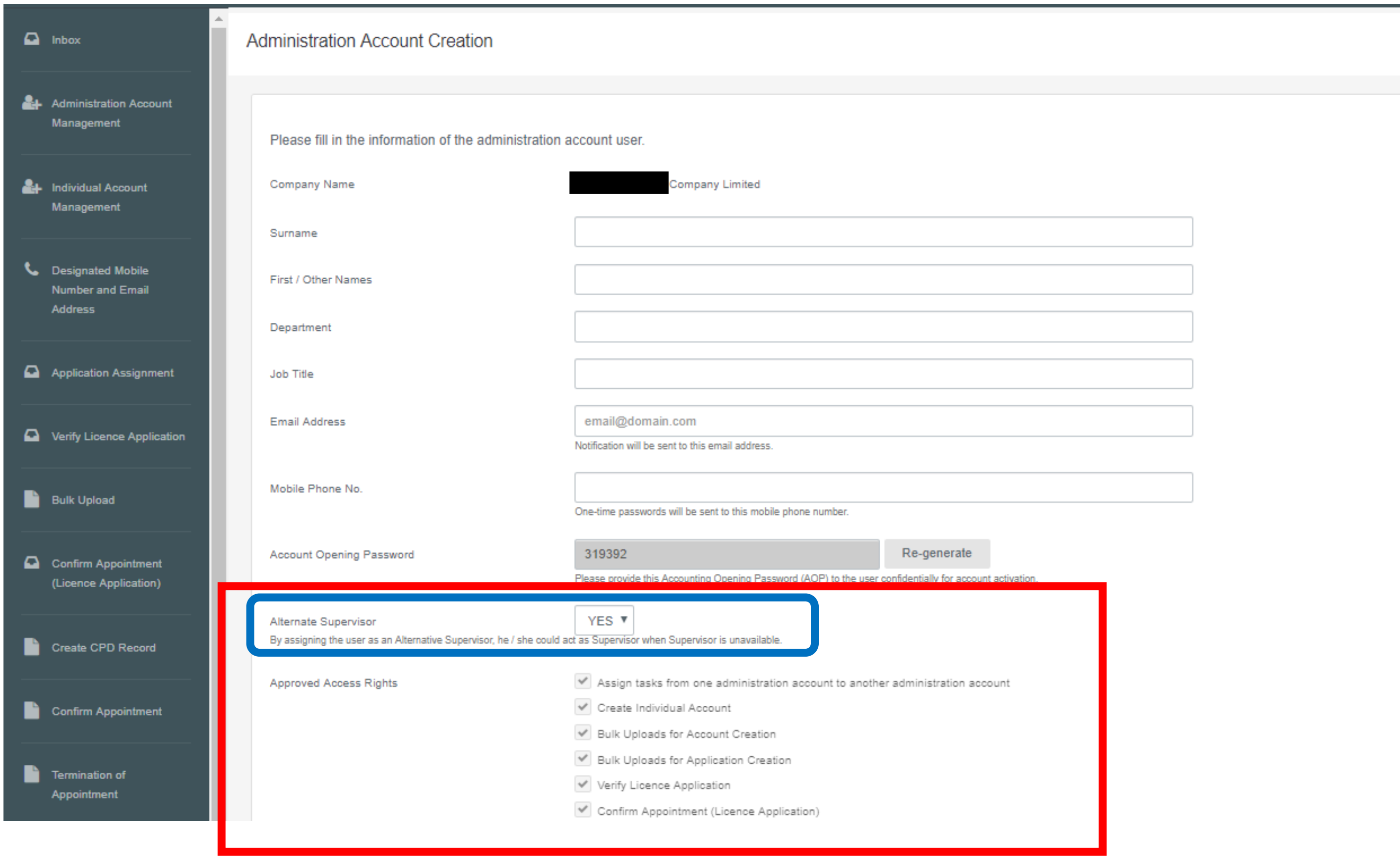
- **Supervisor account owner can create an alternate supervisor account or administration account by accessing to "*Administration Account Management*", followed by clicking "*+ Create Administration Account*".**

- **Under the "*Administration Account Creation*", the supervisor account owner shall input the required account information (e.g. Account owner name, email address, Hong Kong mobile number, etc.) in the corresponding fields. In particular, if it is intended to create:**

  a. **Alternate Supervisor Account: Please select "*Yes*" for Alternate Supervisor. The system will automatically check all the items under "*Approved Access Rights*".**

  b. **Administration Account: Please select "*No*" for Alternate Supervisor. Supervisor account owner may select the "*Approved Access Rights*" that he/ she would like to delegate to the proposed administration account owner.**

The supervisor account owner shall create the account by clicking "*Create*" after the input.



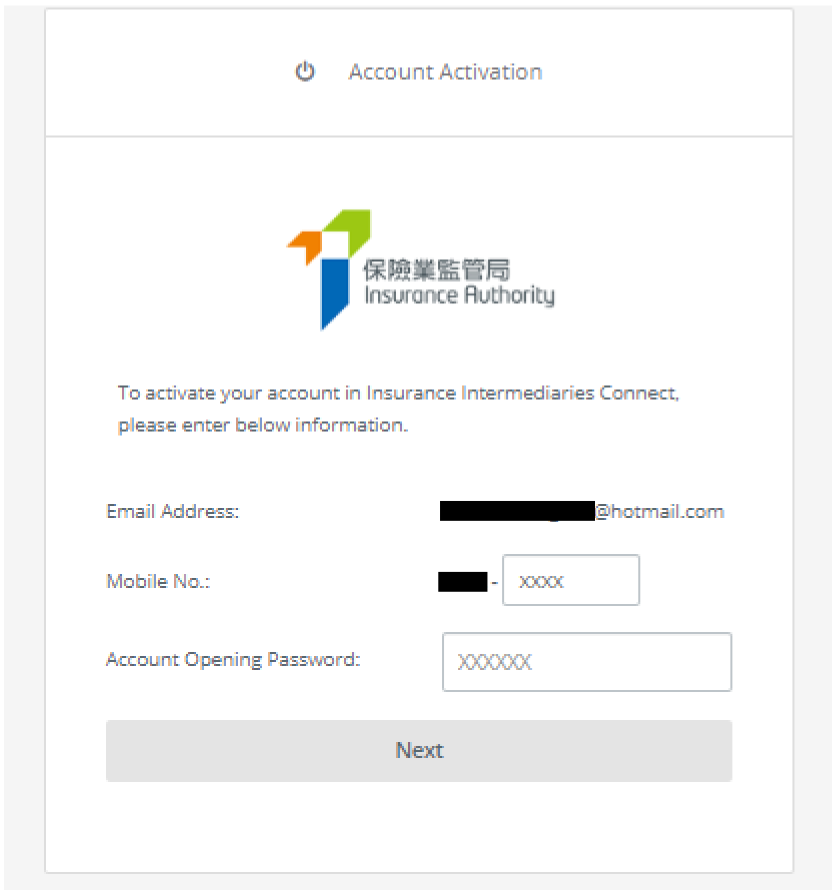
- **After the alternate supervisor account/ administration account is created, supervisor account owner will be able to check the status under "*Administration Account Management*".**

- **Supervisor account owner shall print "*Insurance Intermediaries Connect – Administration Account Opening Record*" with the AOP for the alternate supervisor account owner/ administration account owner to activate the account. The principal shall have proper procedure in place to ensure the AOP to be delivered to the alternate supervisor account owner/ administration account owner in a secure manner. It is also the principal's responsibility to keep proper record of the account opening process, and provide such record to the IA upon request.**

3.2 Step 2 – Activation of Alternate Supervisor Account or Administration Account

- **Similar to section 2.4 above, once the supervisor account owner has created the alternate supervisor account/ administration account, the account owner will receive an activation email and he/ she shall activate the account with the activation link provided, which will only be valid for 90 days (Note: Due to the different email setting, it is possible** that the activate email may be moved to junk/ spam folder, please check the relevant email folder if necessary). If the alternate supervisor/ administration account owner is unable to receive the activation email, he/ she shall inform the supervisor account owner to resend the activation email.

- The alternate supervisor/ administration account owner will be directed to the activation page after accessing to the link provided in the activation email. The information inputted shall be consistent with the information inputted by the supervisor account owner in order to pass the authentication. The following information is required to activate the account:
  - Last 4 digits of the registered mobile number; and
  - AOP



- After the successful authentication, an OTP will be sent to the alternate supervisor/ administration 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 account. If the account owner is unable to receive the OTP, he/ she can request a new OTP by clicking the "*Re-send*" button. Please refer to section 2.4 for requirements for the self-defined username and new password to complete the account activation process.

The alternate supervisor/ administration account owner shall return to the IIC login page to login with the newly created account username and password.

4. Individual Account

Individual applicant is required to set up an individual account before he/ she can use the functions in IIC. Individual applicant shall apply to the principal for creating an individual account. Setting up an individual account involves several steps as follows:

4.1 Step 1 - Submission of Application Form for Individual Account

Individual account owner shall provide the following information to their principal in order to create an individual account:

a. **Full Name in English – The name must be identical with their HKID card;**

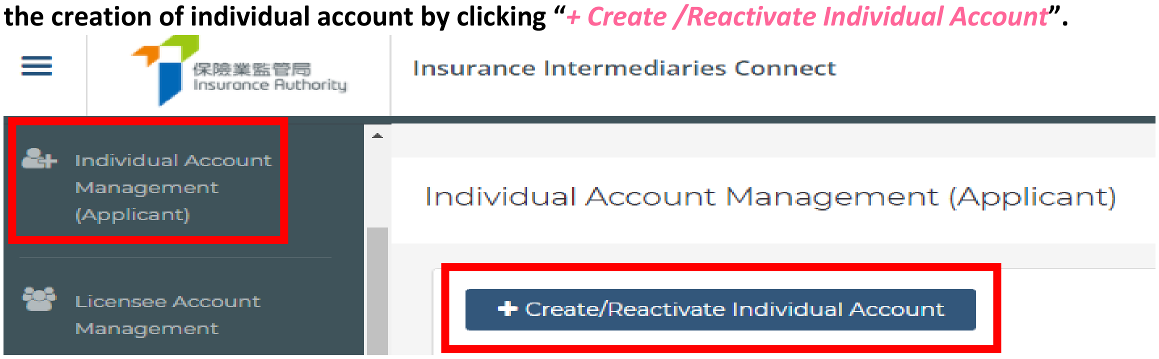
b. **Hong Kong Identity Card Number – The HKID card number will be used during the account activation process;**

c. **Email Address – The email address provided will be used for all future communication between the IA and the individual account owner. The individual account owner shall provide a personal email address which is valid at all times (Note: work email is NOT recommended as the individual account owner may not able to access their work email if they change job later). An account activation email will also be sent to this email address;**

d. **Hong Kong Mobile Number – An OTP will be sent to the mobile number provided via SMS for verification purpose.**

4.2 Step 2 – Creation of Individual Account

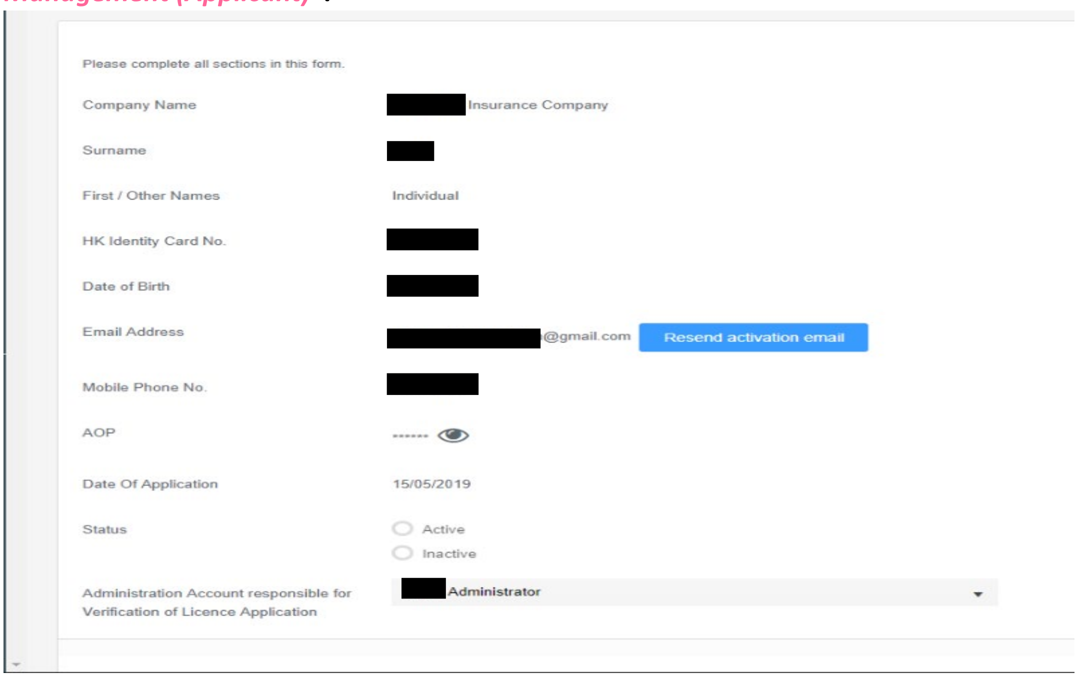
- **The supervisor/ alternate supervisor/ administration account owner (collectively, Principal Authorized Administrator ("PAA")) shall access to the account input interface by accessing "*Individual Account Management (Applicant)*". The PAA shall proceed to the creation of individual account by clicking "*+ Create /Reactivate Individual Account*".**



- **Administration Account Responsible for Verification of Licence Application – This field shows the Administration Account responsible for verifying the information/ application submitted by individual account owner. The PAA who created the individual account owner account is set as the default Administration Account for the corresponding individual account created. The Administration Account responsible for the verification can be changed in the drop-down box of the field. This arrangement can be updated after the individual account is created.**

- **Once the individual account owner's information is inputted to the system, the PAA shall proceed to the individual account creation by clicking the "*Create*" button.**

- **The status of the individual accounts can be reviewed under "*Individual Account Management (Applicant)*".**



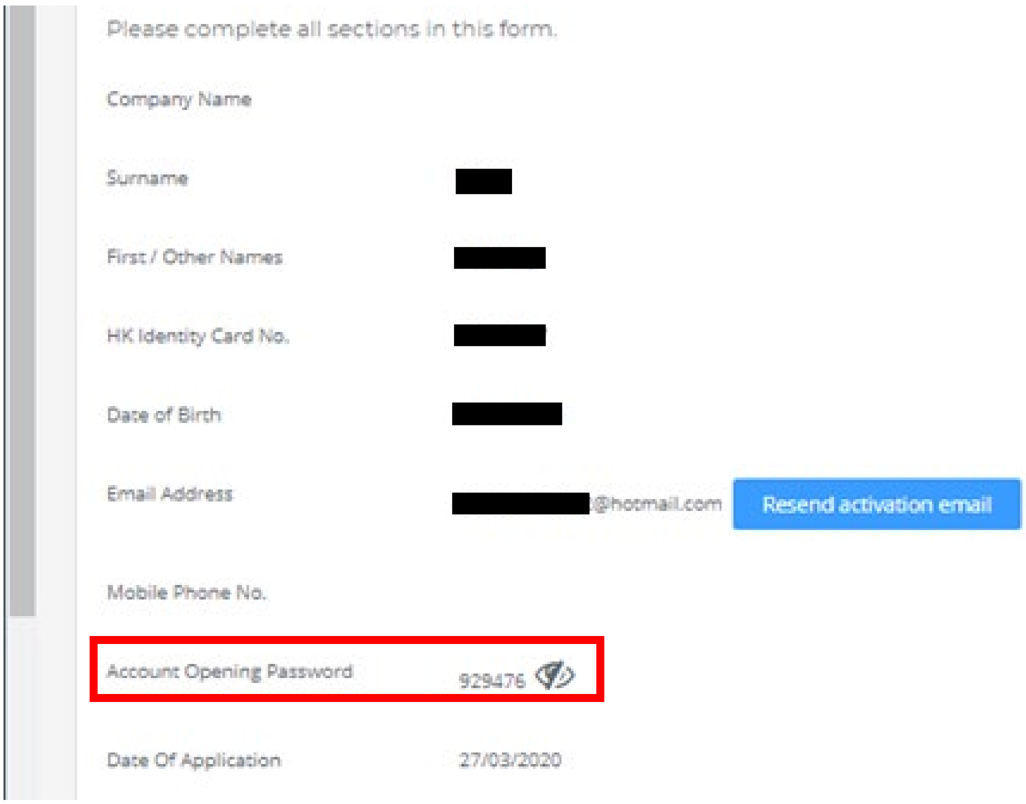
Please complete all sections in this form.

Company Name	[redacted] Insurance Company
Surname	[redacted]
First / Other Names	Individual
HK Identity Card No.	[redacted]
Date of Birth	[redacted]
Email Address	[redacted]@gmail.com Resend activation email
Mobile Phone No.	[redacted]
AOP	******
Date Of Application	15/05/2019
Status	Active Inactive
Administration Account responsible for Verification of Licence Application	[redacted] Administrator

- **For instructions to individual applicants, please refer to section 2 of Individual Account Owner's User Guide for details.**

Individual Account Opening Record

- **The AOP is a system generated one-off password, which can be found in the Individual Account Opening Record form.**


Please complete all sections in this form.

Company Name

Surname [redacted]

First / Other Names [redacted]

HK Identity Card No. [redacted]

Date of Birth [redacted]

Email Address [redacted]@hotmail.com Resend activation email

Mobile Phone No.

Account Opening Password 929476

Date Of Application 27/03/2020

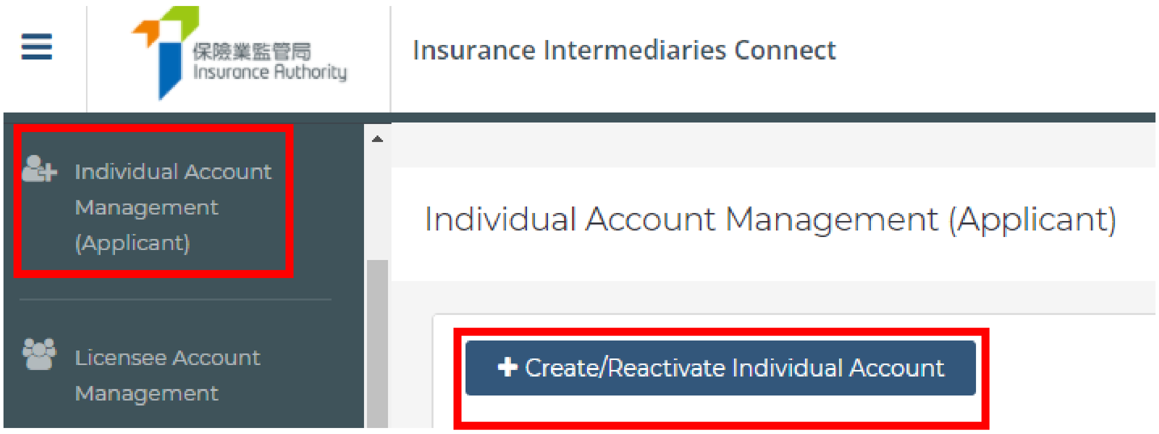
- **Please be reminded that the AOP is of high important in the account opening process. The PAA shall pass the designated AOP to individual account owner after verification of his/ her identity in a secure manner to avoid any misuse/ unauthorized use of the account. It is the principal's responsibility to keep a proper record on the account opening process, and provide such record to the IA upon request.**

4.3 Step 3 – Activation of Individual Account

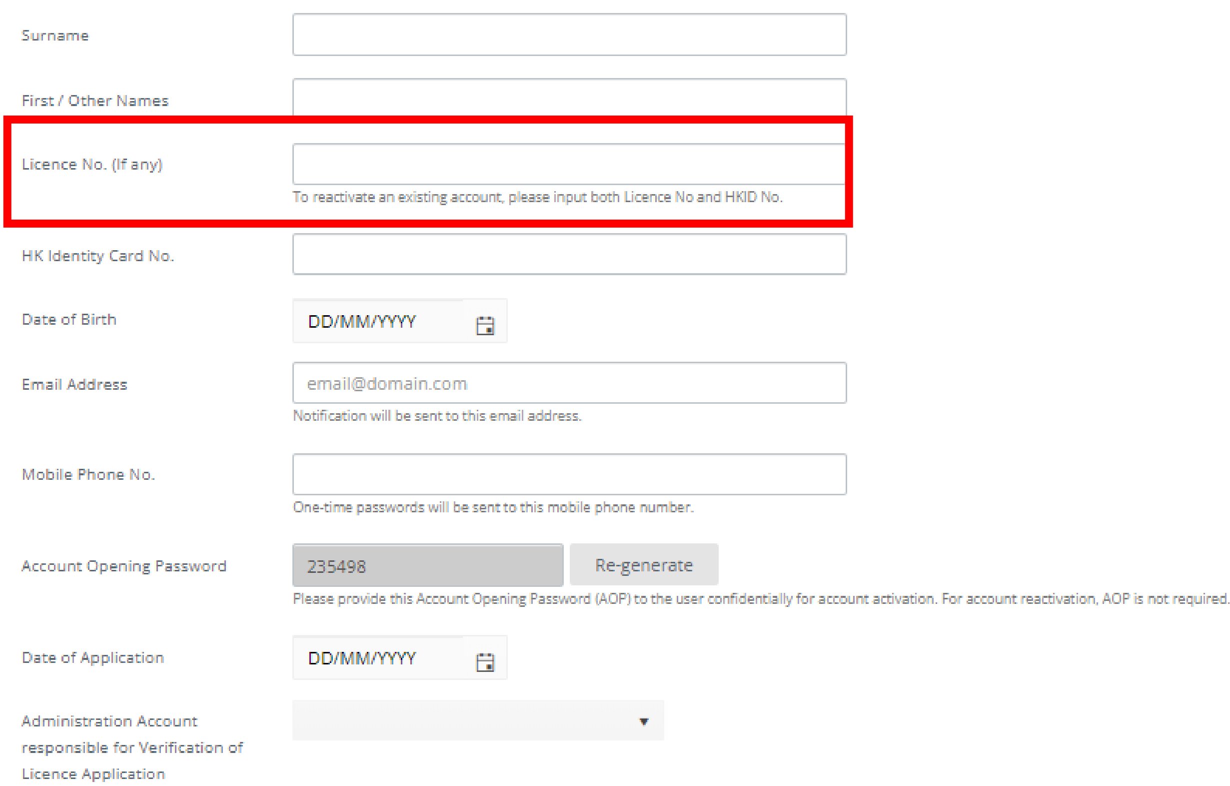
For details of the individual account activation process, please refer to section 2.3 of Individual Account Owner's User Guide.

4.4 Reactivation of Individual Account

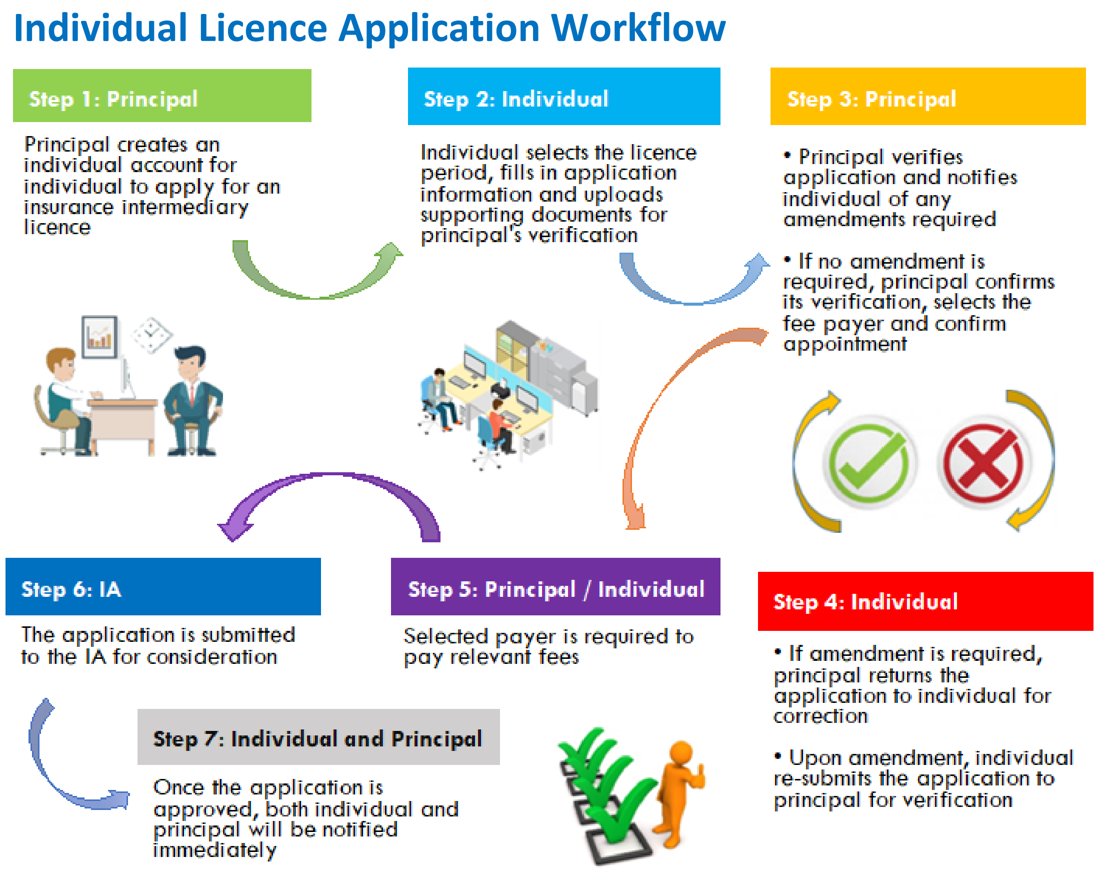
- **For an ex-licensee who holds an IIC account (created before the licence revoked), the PAA shall proceed to the reactivation of individual account by clicking "*+ Create /Reactivate Individual Account*".**



- **Individual account owner shall provide updated information (e.g. latest mobile phone number and email address) to their principal in order to reactivate the individual account.**
- **The PAA should also input the ex-licensee's previous <u>licence no</u>. for the reactivation.**



5. Reviewing Individual Application



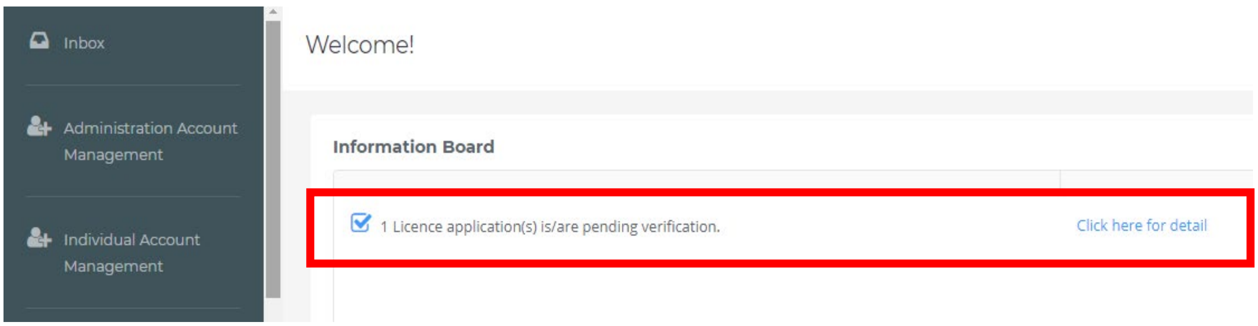
5.1 Step 1 – Input by the Individual Account Owner

- **Individual account owner shall fill in the application form and upload relevant supporting documents through the IIC. He/ she shall then submit the application form to the principal through the IIC for verification with the input of OTP. Please refer to section 3 of Individual Account Owner's User Guide for more information.**

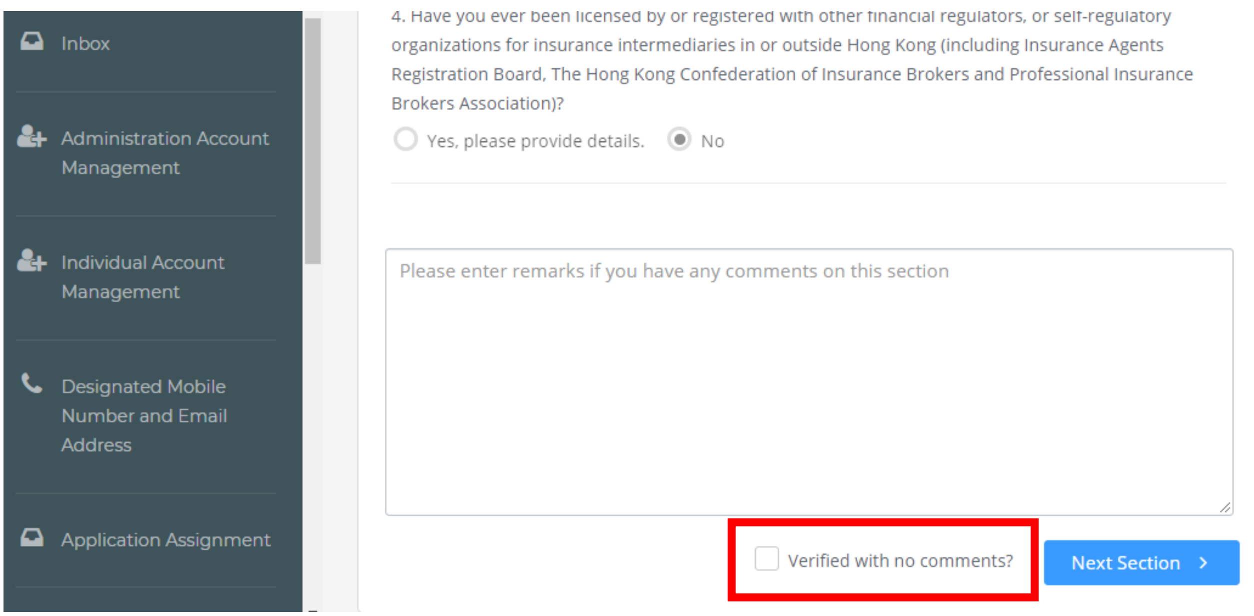
5.2 Step 2 – Verification of Application and Confirmation of Individual Licence Application with Appointment

- **After the application is submitted by the individual account owner, the principal will be notified by email to verify the individual licence application in the IIC. The PAA shall log in the IIC to start the application verification.**

- To ensure the accuracy and completeness of the application, **only the individual account owner is permitted to amend the information and upload supporting document for his/ her application**. The PAA cannot change nor update any information in the application. If the PAA considers the information submitted by individual applicant is incorrect or inconsistent with his/ her record, the PAA shall mark his/ her comment in the IIC and return the application to the individual account owner for amendment.



- The PAA shall review each section of the application and shall check the box "*Verified with no comments?*" of the section if the information is correct. The PAA shall also access to the attachments and review accordingly.



- In respect of the section "Insurance Intermediaries Qualifying Examination" ("IIQE"), individual account owner shall indicate the results of the IIQE in the selection (passed, exempted or grandfathered), which shall match with the line(s) of business to be appointed by the principal. If applicable, the relevant IIQE examination results shall be uploaded in the IIC as supporting document. The PAA shall ensure the results of IIQE match with the line of business(s) to be appointed. The PAA shall also check the information and the supporting documents provided by the individual applicant. For further guidance, please refer to Annex 1 of GL23 - Guideline on "Fit and Proper" Criteria for Licensed Insurance Intermediaries under the Insurance Ordinance (Cap. 41) ("GL23") for details.

- In respect of the section "Education/ Professional Qualifications", the individual account owner shall indicate whether he/ she possesses any of the following qualification:
    - HKDSE/ HKCEE
    - International Baccalaureate Diploma
    - Diploma Yi Jin
    - Diploma or Degree obtained in Hong Kong or
    - Insurance Qualification acceptable by the IA

- If "Yes", the individual account owner shall select the applicable qualifications. The PAA shall check whether relevant supporting documents have been provided by the individual applicant and confirm the information and the supporting documents provided by the individual applicant are true and accurate.

Status: Pending Verification

Application form - Individual Insurance Agent Licence

V. Education/ Professional Qualifications

Do you possess any one of the following qualifications?

(•) Yes ( ) No

If "Yes", please indicate the qualification(s) your possess.

[x] Hong Kong Diploma of Secondary Education Examination ("HKDSE")

Level 2 or above in 5 subjects, including Chinese or English, and Mathematics

Attachment

HKID Card

HKDSE or HKCEE

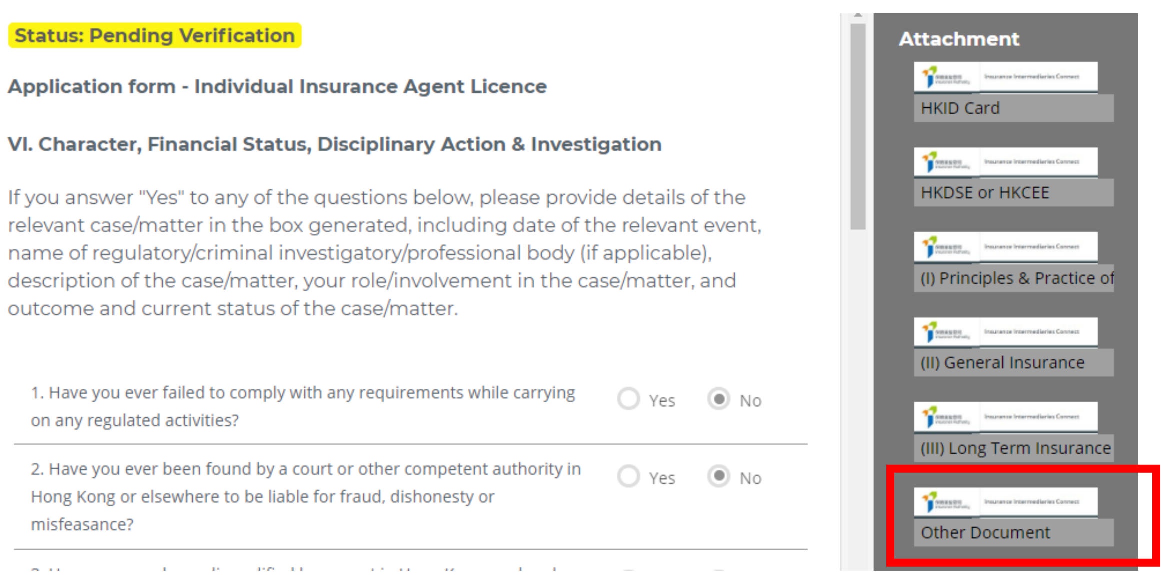
(I) Principles & Practice of

(II) General Insurance

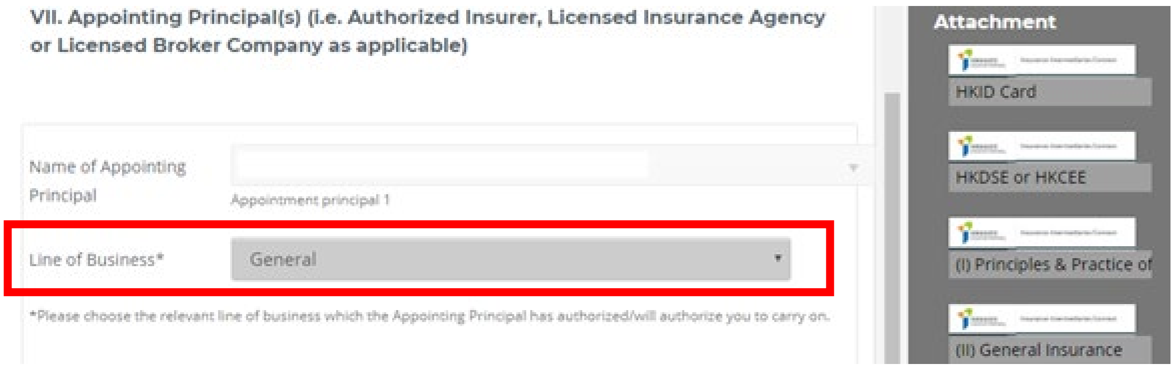
- If "No", yet the individual account owner possesses other qualifications (e.g. associate degree, non-Hong Kong diploma/ degree, etc.), he/ she shall check the box "Education/ Professional Qualifications". The principal shall check whether relevant supporting documents have been provided by the individual applicant and confirm the information and the supporting documents provided by the individual applicant are true and accurate.

  For the individual account owner who meets the prescribed conditions set out in paragraph 2 of Annex 2 of GL23, please select the choice of exemption in this section.

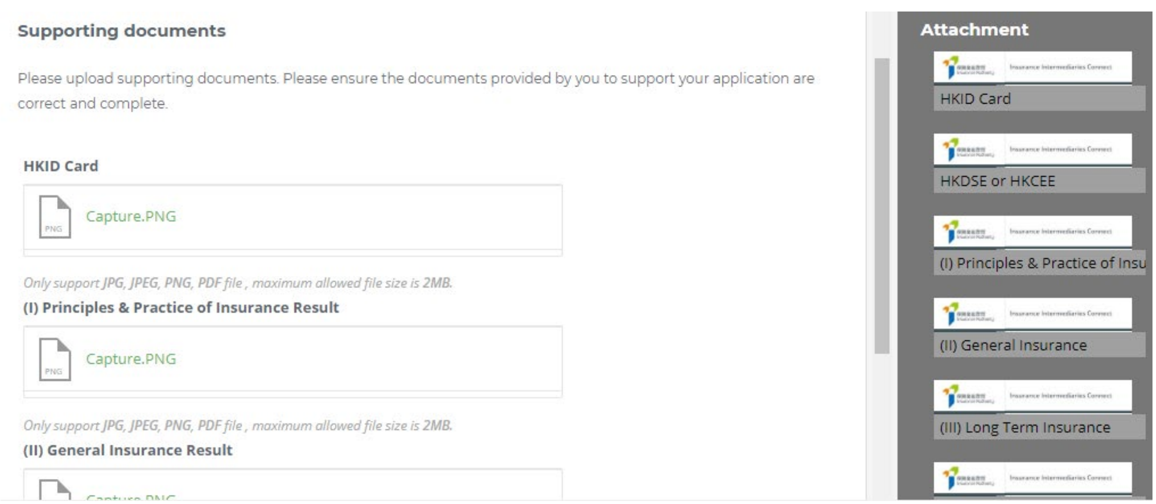
- In respect of the section "Fitness and Properness", if any of the answers were "Yes", if any of the answers were "Yes", the individual account owner will be required to indicate whether he/she has already provided the Insurance Authority with the details of the relevant case. If necessary, the individual account owner shall provide further information to supplement his/ her answers for IA's consideration. For issues concerning criminal records, financial records and disciplinary actions, the individual account owner can provide the details in the text box in the IIC, or 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, shall be uploaded to the folder "Other Documents" in the section "Supporting Documents". The principal shall ensure the applicant has provided adequate information and/ or supporting documents of the issues for IA's consideration.



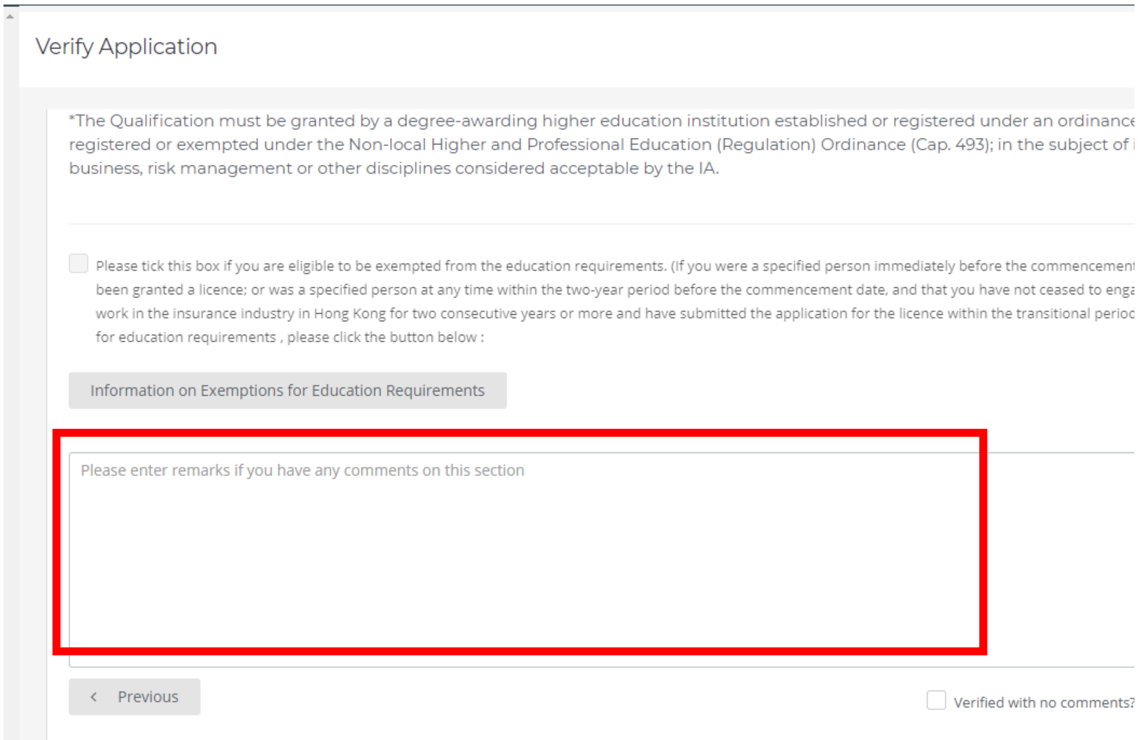
- **In respect of the section "Appointing Principal(s)", the name of the appointing principal is set by default and the individual account owner is required to select the line of business from the drop-down menu. The Line(s) of Business shall be consistent with the results of IIQE provided. For applicant as individual insurance agent, he/ she can add other appointing principals and the appointing Line(s) of Business after obtaining the principals' consent. The principal shall ensure the results of IIQE match with the line of business(s) to be appointed.**



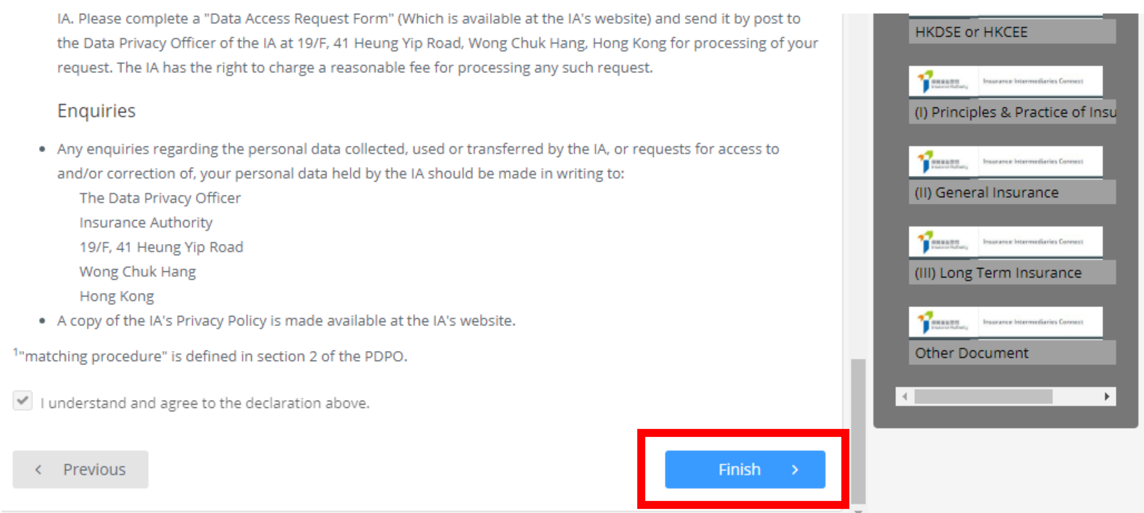
- **In respect of the section "Supporting Documents", individual account owner shall upload the relevant supporting documents as required. For other relevant supporting documents (e.g. Supplemental Forms for reporting criminal, financial or disciplinary record, etc.), the individual account owner shall upload them to the folder "Other Documents". The IIC can support an upload of maximum 10 files, with each file of a maximum size of 2 MB. The IIC can support files in the following formats: JPG, JPEG, PNG and PDF.**



- **In reviewing the application information, the PAA shall mark the comments in the remarks box at the bottom of each page if the PAA identifies any issues.**



- **Click "Finish" to complete the verification.**

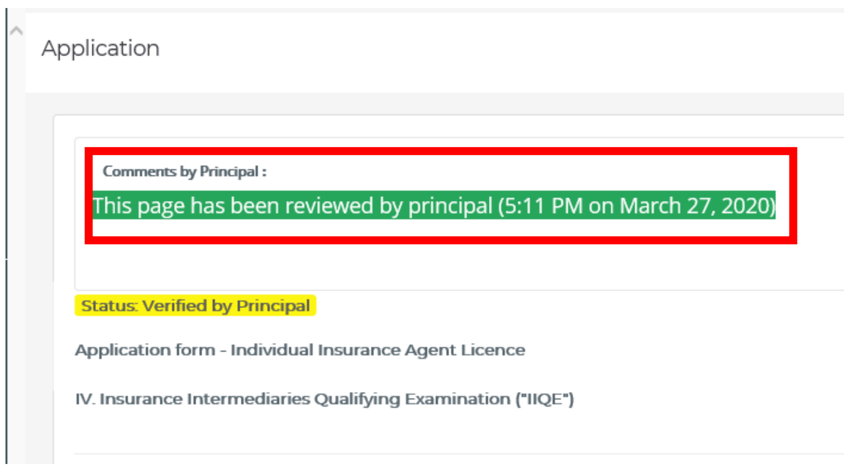


Re-verification of Individual Application

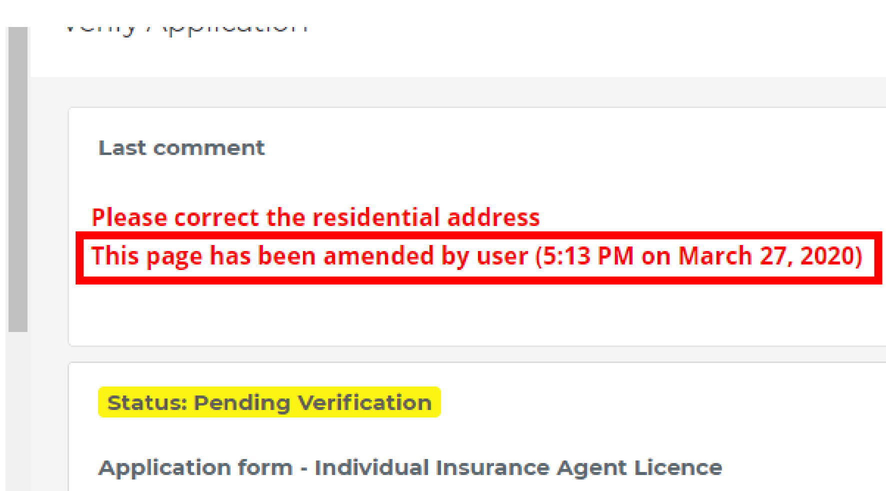
- **If the PAA considers the information is incorrect or inconsistent with their record, the PAA shall return the application to the individual account owner for amendment. Please refer to section 3.3 of Individual Account Owner's User Guide for details.**

- **If the application is re-submitted by the individual account owner after amendment, the PAA shall verify the individual licence application amended.**

  - **If no action was performed by the individual account owner, the "*Last comment*" box will be shown as "This page has been reviewed by your principal ([Time] on [Date])."**



  - **If the individual account owner has amended the application information, the "*Last comment*" box will be shown as "This page has been amended by user ([Time] on [Date])."**



- ○ The PAA shall review the application information amended by the individual account owner. If PPA has no further comments, he/ she shall check the box "*Verified with no comments?*" to complete the review.
- ○ The PAA can provide further comments in the "*Remarks*" box, if necessary.

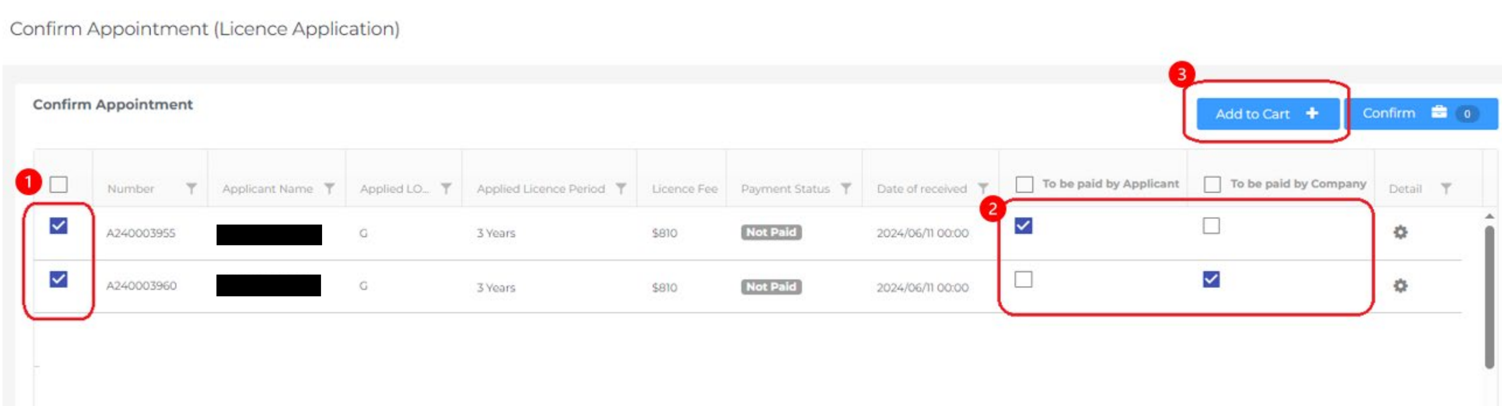
Confirmation of Individual Application and Appointment

- If the application has been verified without further comments, an email notification will be sent to the Principal's Designated Email Address which requires the PAA to confirm the individual appointment. Please refer to section 3.1 for more information about the approved access right.

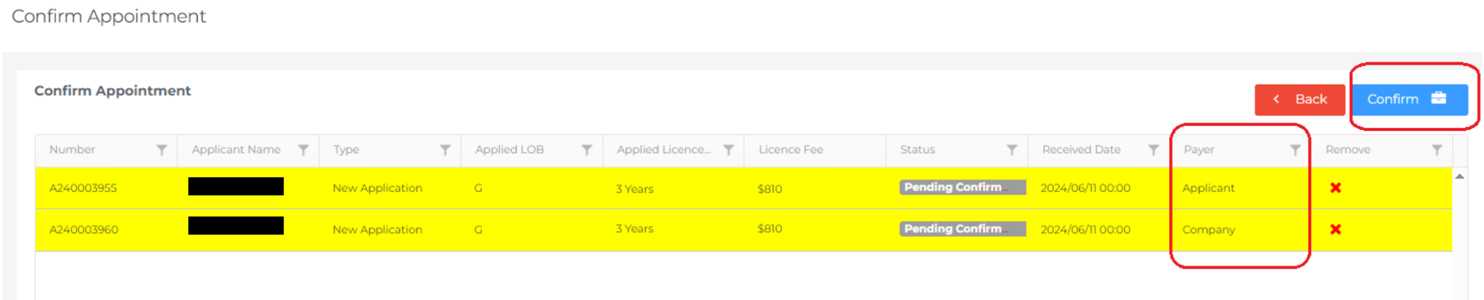
- The PAA shall review the individual appointment pending for confirmation by accessing to the page "*Confirm Appointment (Licence Application)*". The PAA shall review the appointment pending for confirmation by clicking . The line of business, during of licence applied and relevant application fee will 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 confirmation of appointment by selecting the application case, indicating the payer (Applicant or Principal) of the application fee and clicking "*Add to Cart*".



- **The PAA shall then confirm the appointment and confirm the selected payer by clicking "*Confirm*".**



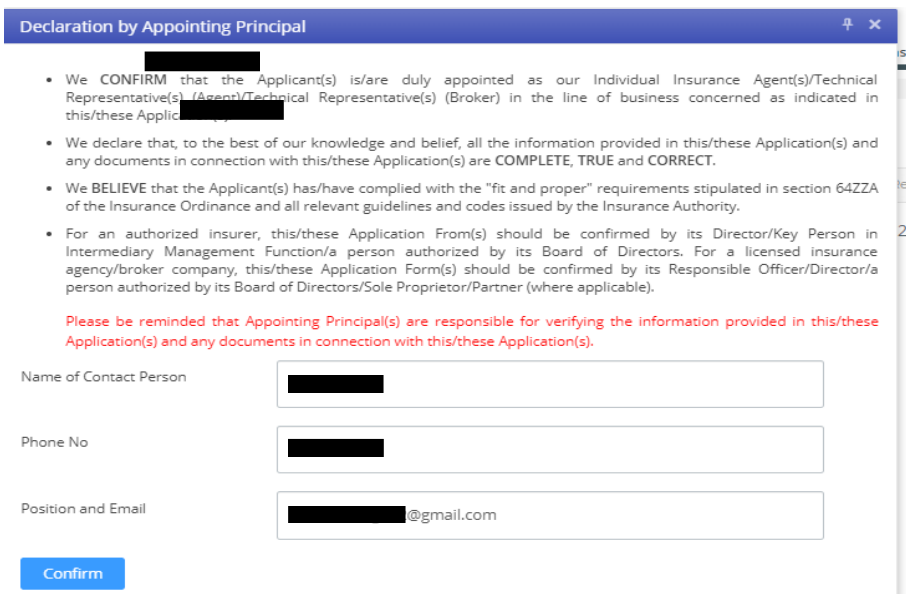
Confirm Appointment

Confirm Appointment

Back Confirm

Number	Applicant Name	Type	Applied LOB	Applied Licence...	Licence Fee	Status	Received Date	Payer	Remove
A240003955	[redacted]	New Application	G	3 Years	$810	Pending Confirm...	2024/06/11 00:00	Applicant	✖
A240003960	[redacted]	New Application	G	3 Years	$810	Pending Confirm...	2024/06/11 00:00	Company	✖

- **The PAA will then be required to make relevant declarations and provide the information of the contact person for the individual licence application whom will be the principal's contact point for the IA in processing this individual licence application.**



Declaration by Appointing Principal

[redacted]

- We CONFIRM that the Applicant(s) is/are duly appointed as our Individual Insurance Agent(s)/Technical Representative(s) (Agent)/Technical Representative(s) (Broker) in the line of business concerned as indicated in this/these Applic[redacted]
- We declare that, to the best of our knowledge and belief, all the information provided in this/these Application(s) and any documents in connection with this/these Application(s) are COMPLETE, TRUE and CORRECT.
- We BELIEVE that the Applicant(s) has/have 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/these Application From(s) 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/these Application Form(s) 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(s) are responsible for verifying the information provided in this/these Application(s) and any documents in connection with this/these Application(s).

Name of Contact Person [redacted]

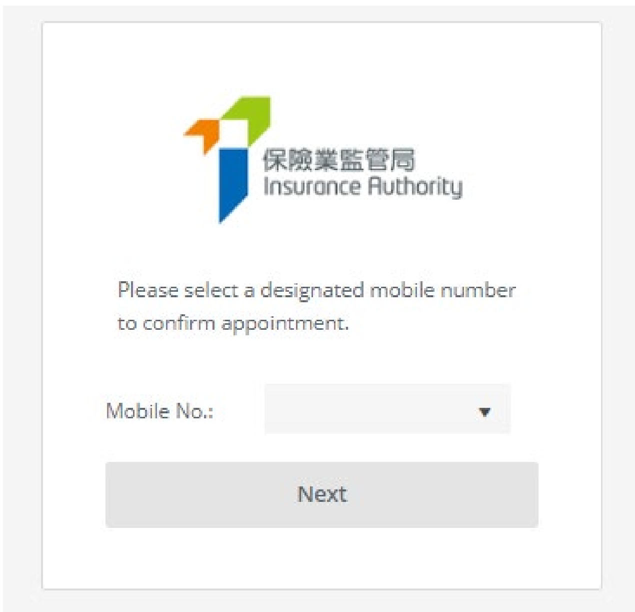
Phone No [redacted]

Position and Email [redacted]@gmail.com

Confirm

- 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. Once the OTP is inputted into the system, relevant individual appointment(s) will be confirmed.

- The individual licence application will be submitted to the IA when relevant application fee is paid. Please refer to Section 16 for the detailed payment process.



5.3 Step 3 – Application Submission to IA for Review

- Once the appointment has been confirmed by the PAA with relevant application fee paid (either by the applicant or the principal), the individual account owner will be notified that the appointment(s) has been confirmed, application fee paid and the application is under consideration by the IA.

- Reports of successful applications through online and hardcopy submission to the IA will be generated to the principal at day end.

5.4 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 individual account owner will receive a notification email. He/ she can then login to the IIC and the remarks

by the IA on the return will be displayed. Applicant can amend the application details/ upload supporting documents as appropriate. Applicant can also withdraw the application by clicking "*Cancel Application*" if he/ she would not proceed with the application.

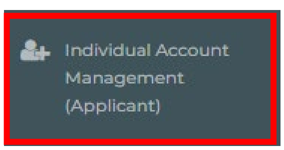
- **PAA who was responsible to verify the application will also receive a notification email. Remarks by the IA on the return will be included in the email. After the individual account owner has amended the application, it should be re-submitted to the principal for re-verification. PAA can then follow the steps according to section 5.2 to 5.4 to verify the application and confirm the appointment again.**

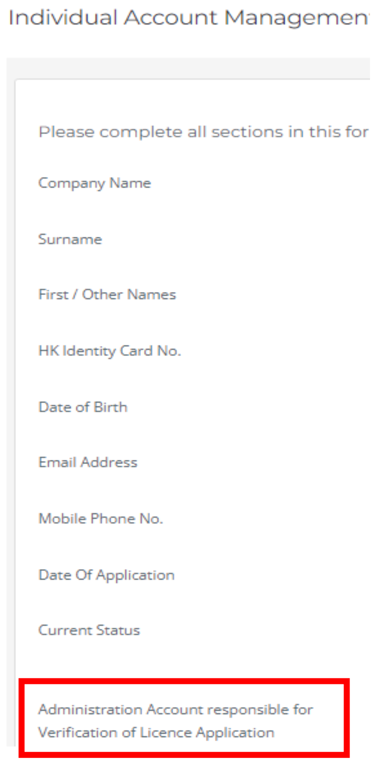
5.5 Application Deletion

- **If an application in the IIC has not been updated for 90 days, the application will be expired and will be deleted automatically from the IIC. A reminder will be sent to both applicant and principal 1 month before the expiry date.**

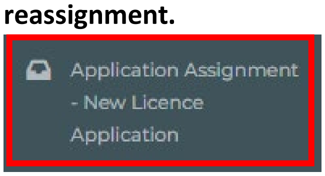
5.6 Application Case Reassignment

- **New licence application case will be assigned to a designated administration account user ("Case Handler") which was set during the individual account (applicant) creation. Principal can check this information in "*Individual Account Management (Applicant)*" – "*Administration Account responsible for Verification of Licence Application*".**





- **If principal would like to reassign a specific new licence application to another administration account user afterwards, PAA (please refer to Section 3.1 for details of access right setting) can use "*Application Assignment – New Licence Application*" for the reassignment.**

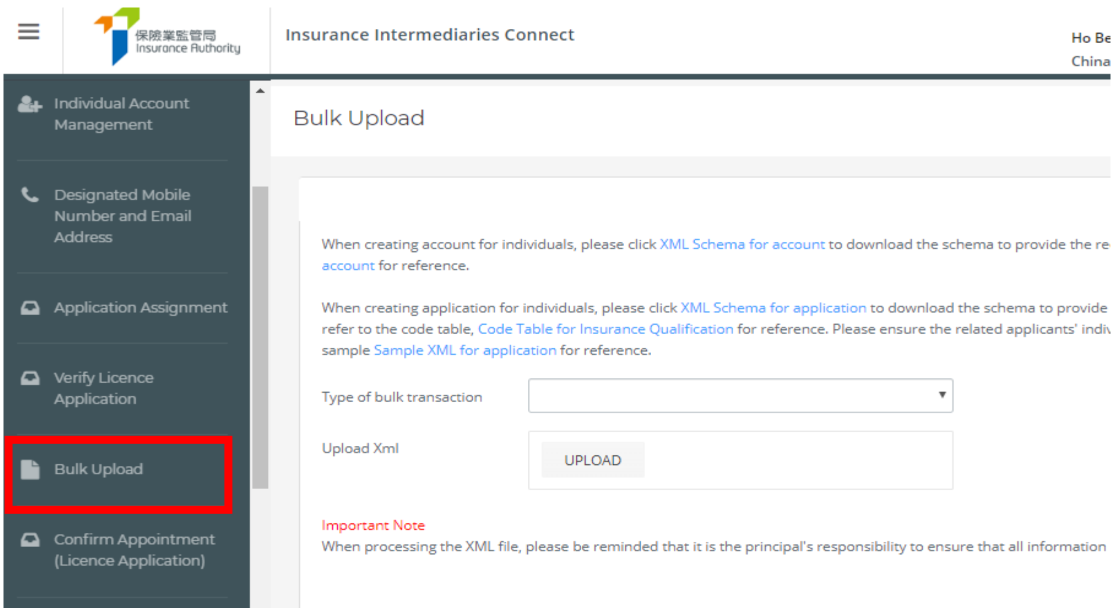


- **If principal would like to reassign a batch of new licence application cases/ new applicant accounts under a specific Case Handler to another administration account user, PAA (please refer to Section 3.1 for details of access right setting) can use "*Case Handler Management*" for the reassignment.**

6. Bulk Upload

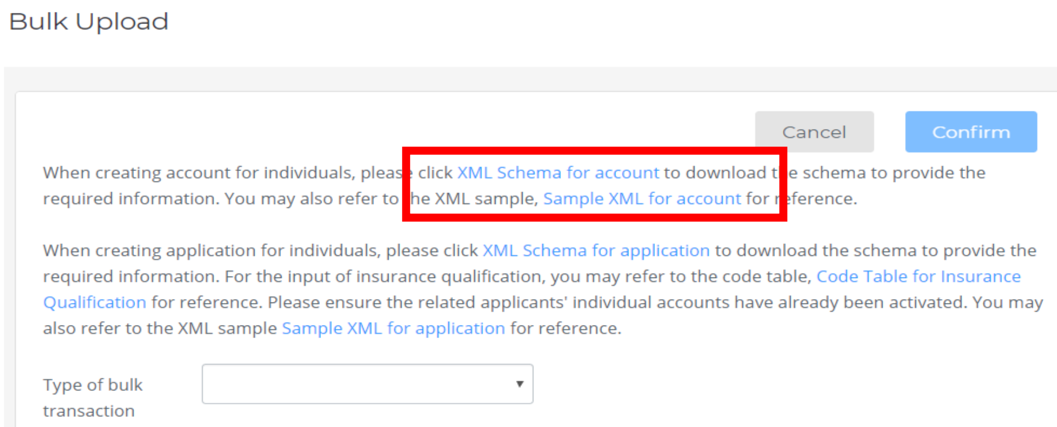
The bulk upload in the IIC is divided into two phases - account creation and application creation. For bulk upload of application creation, the related applicants must have activated their individual accounts.

The function of bulk upload can facilitate the PAA to handle account creation or application creation for up to 1,000 individuals in one batch.

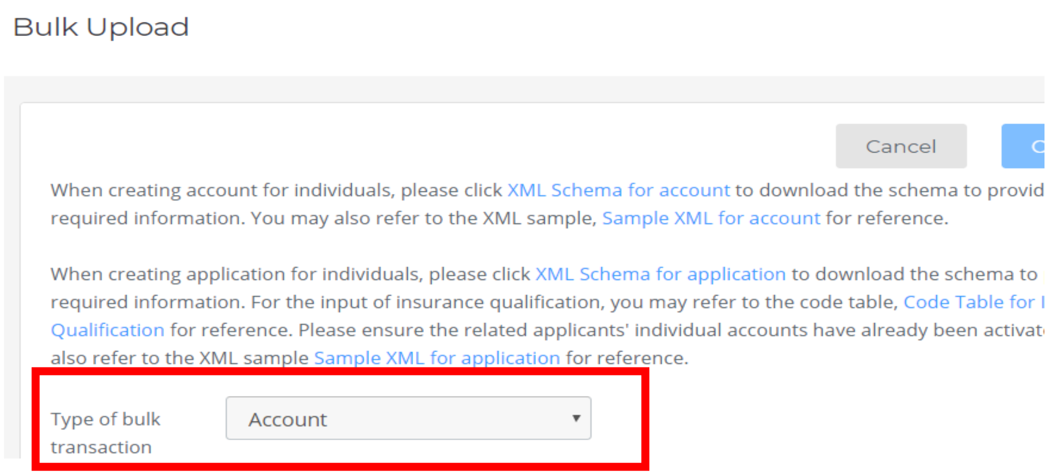


6.1 Bulk upload for Account Creation

(1) An XML file containing the basic particulars of the individuals shall be prepared for the bulk upload for account creation. Please engage your IT department or IT professionals to prepare the XML file to ensure the required data is recorded in the required format for bulk upload processing. The required data can be prepared with reference to the XML schema, which can be downloaded from the link "XML Schema for account". A sample XML file "Sample XML for accounts" is also available as reference.



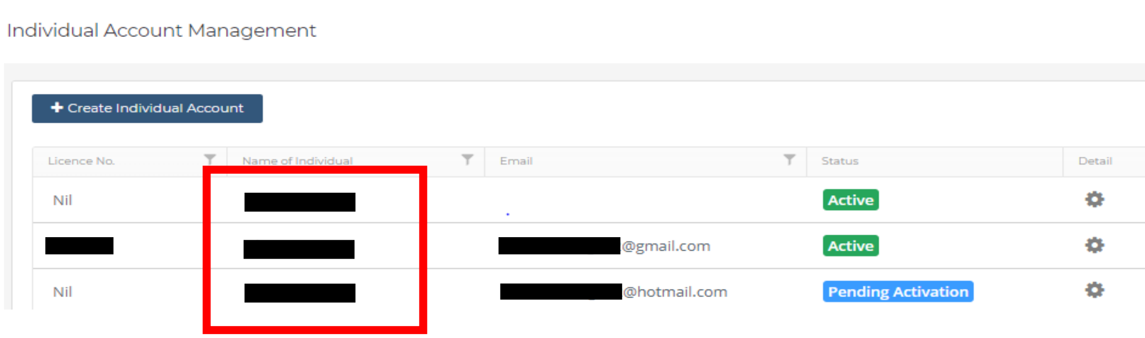
(2) **From Type of bulk transaction, select "Account".**



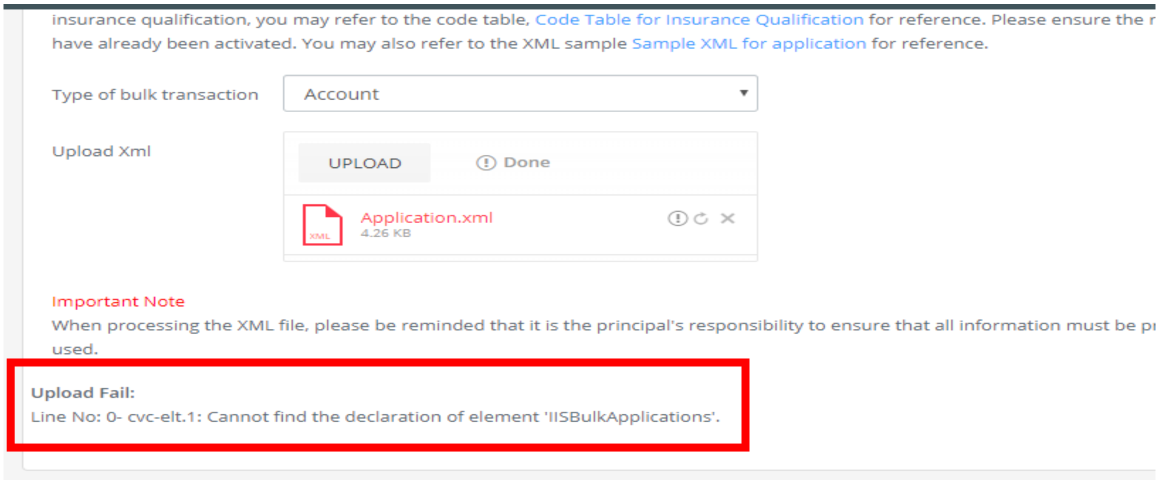
(3) **From Upload XML, click "Select Files" to upload the XML file prepared in Step 1. Click "Confirm".**

(4) **The system will perform basic validation (e.g. duplicated records, incorrect data format) on the uploaded data. If the creation is successful, a message will be shown.**

(5) **The new individual account records will be found in "Individual Account Management". The PAA shall communicate with the individual users to activate their individual owner accounts.**



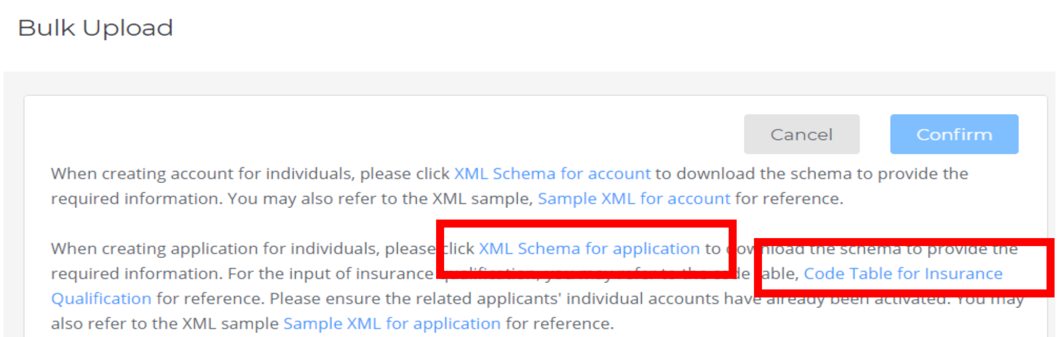
(6) If there is validation issue, the message “Upload Fail” with lines of error will be displayed. The data with issues in the file shall be rectified and uploaded again.



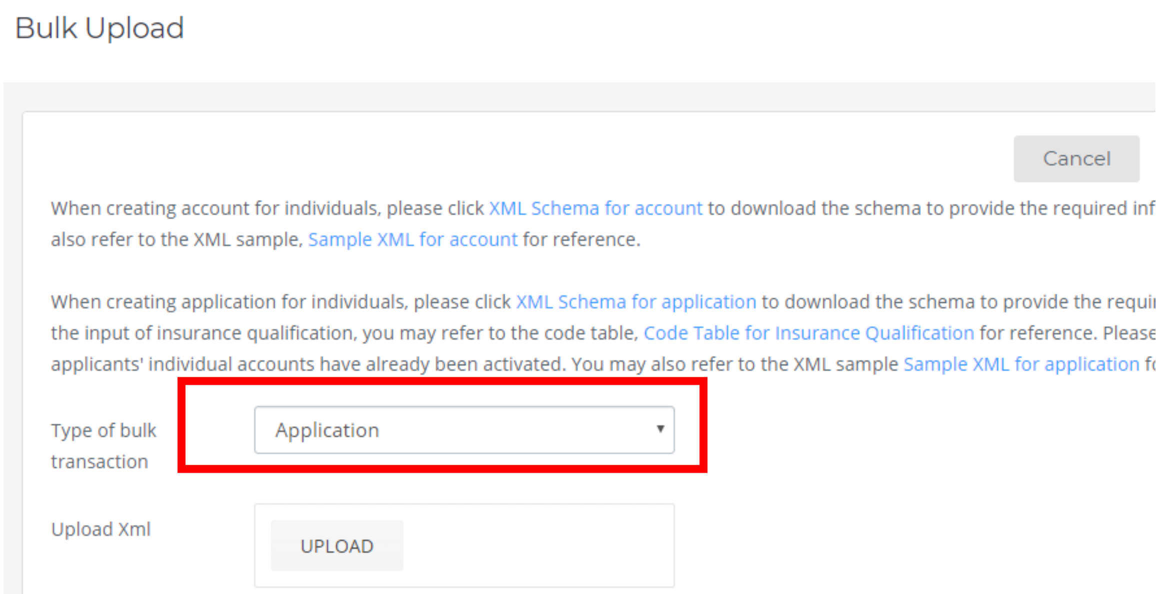
6.2 Bulk upload for Application Creation

(1) For bulk upload for application creation, the related applicants must have activated their individual accounts.

(2) An XML file containing the application data of the individuals shall be prepared for the bulk upload for application creation. Please engage your IT department or IT professionals to prepare the XML file to ensure the required data is recorded in the required format for bulk upload processing. The required data can be prepared with reference to the XML schema, which can be downloaded from the link “XML Schema for application”. A sample XML file “Sample XML for application” is also available as reference. For the input of insurance qualification, please refer to the specific code provided in the “Code Table for Insurance Qualification”.



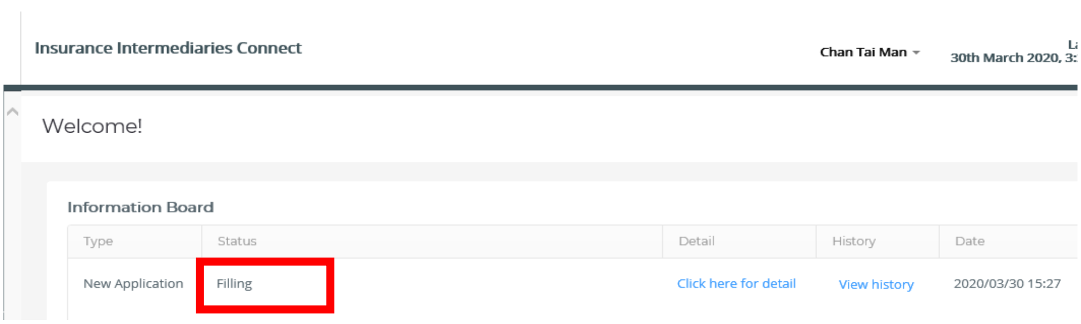
(3) From the Type of bulk transaction, select “Application”.



(4) **From Upload XML, click "Select Files" to upload the XML file prepared in Step 2. Click "Confirm".**

(5) **The system will perform basic validation (e.g. duplicated records, incorrect data format) on the uploaded data. If the creation is successful, a message will be shown.**

(6) **The new application record will be shown in the Dashboard in the individual account. The individual account user and PAA can continue to complete the whole application process according to section 5.**



(7) **If there is validation issue, the message "Upload Fail" with lines of error will be displayed. The data with issues in the file shall be rectified and uploaded again.**

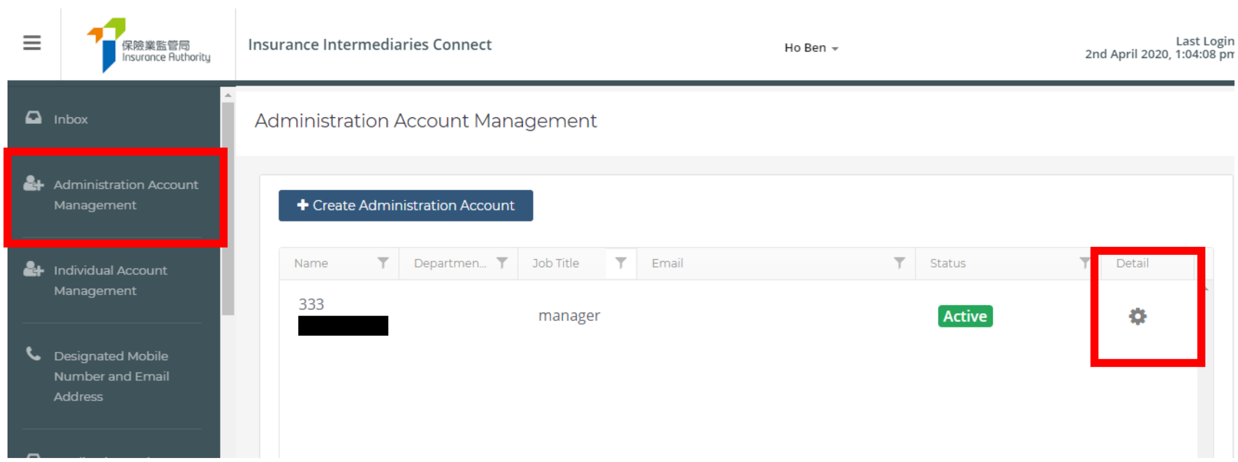
7. Application for Proposed Appointment of a Responsible Officer (“RO”)

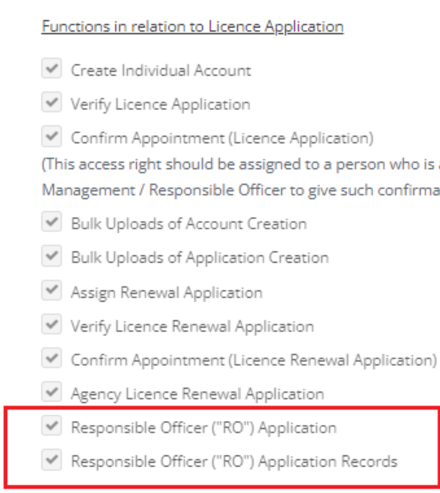
[Applicable to Licensed Insurance Agencies and Licensed Insurance Broker Companies only]

7.1 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 “Responsible Officer Application” to grant the relevant access right to the designated PAA.

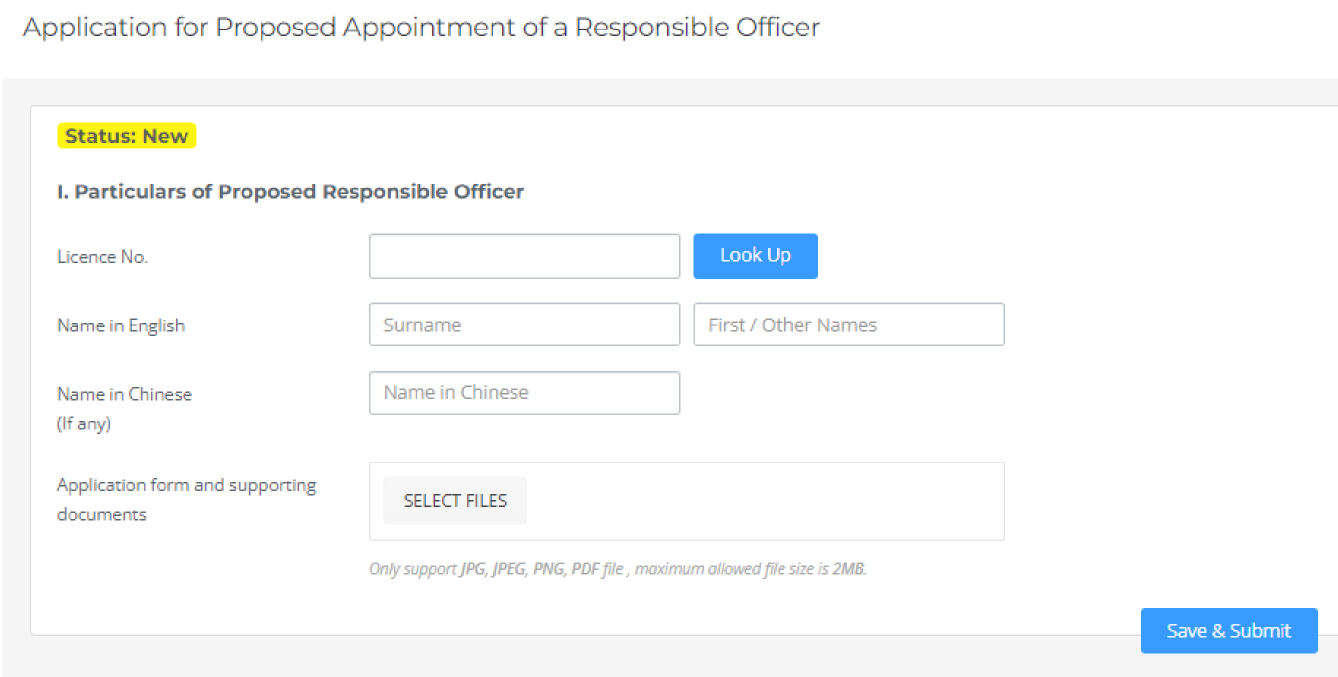




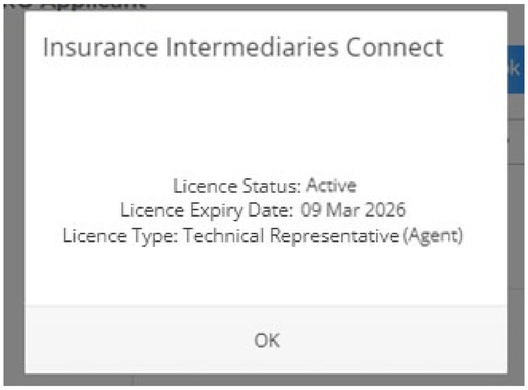
7.2 Input particulars of the Proposed RO

- **The PAA should click "*Responsible Officer Application*" and input the name of the Proposed RO.**

- **If the Proposed RO is or had been a licensed insurance intermediary, the PAA should input his/her licence number and click "*Look Up*".**
- **PAA should leave the field blank if the Proposed RO has never been a licensed insurance intermediary**



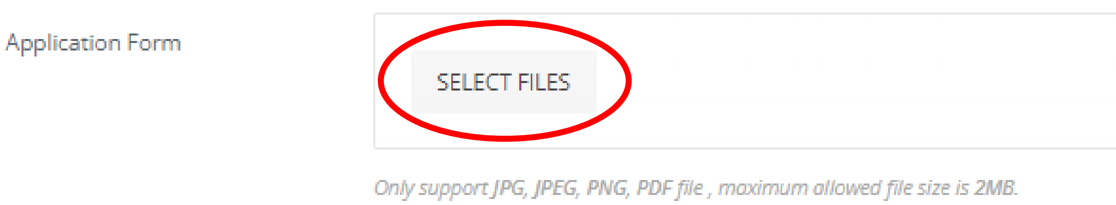
- **After licence number (if any) is inputted, details of the licence of the Proposed RO would be shown.**



7.3 Upload Application Form

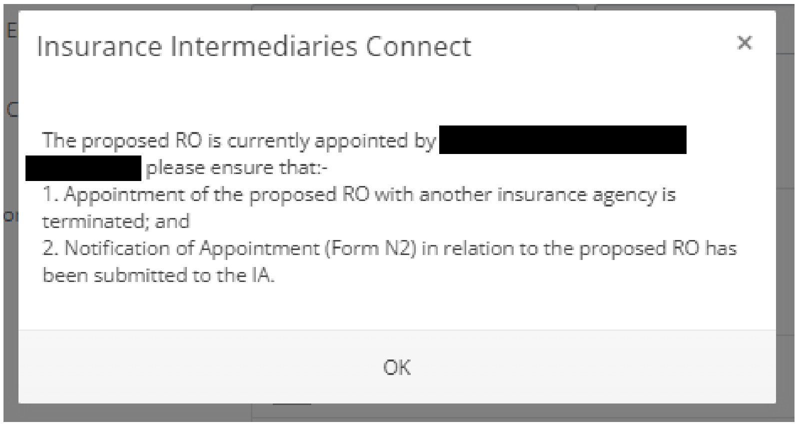
- **The PAA should upload a duly signed Application Form for Proposed Appointment of a Responsible Officer ("Form A3") and relevant supporting documents by clicking "*Select Files*", which is able to support a maximum of 10 files, with each file of a maximum size of 2 MB. The IIC can support format such as JPG, JPEG, PNG and PDF.**

- **Application Form for Proposed Appointment of a Responsible Officer ("Form A3") could be downloaded from IA website (https://www.ia.org.hk/en/infocenter/forms/intermediaries.html).**

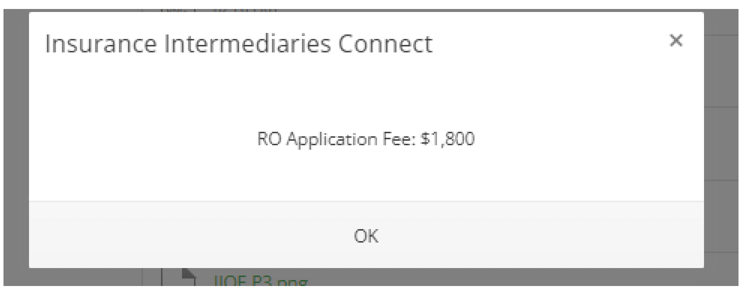


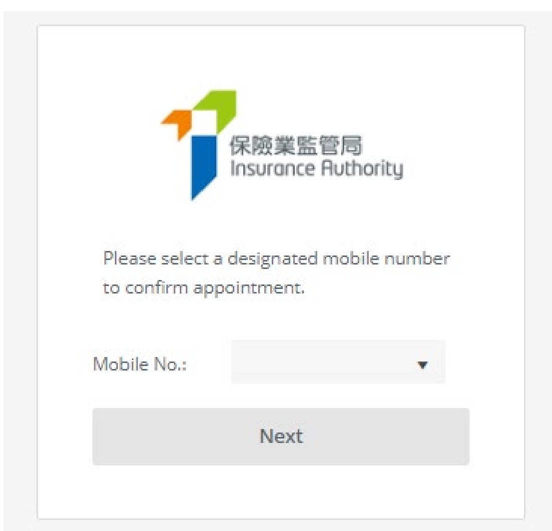
- **After the documents have been uploaded, the PAA should click "*Submit*". A reminder message would be shown according to the licence status, depicting required follow-up action(s) (if any). PAA should attend to the required follow-up action(s) (if any) after the RO application is created.**

- **Below screenshot is an example that depicting the follow-up actions required in relation to a Proposed RO is <u>currently appointed by another principal</u>.**



- **Relevant application fee will be shown. After acknowledging the application fee, 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. Once the OTP is inputted into the system, the RO application will be created and pending relevant fee settlement.**

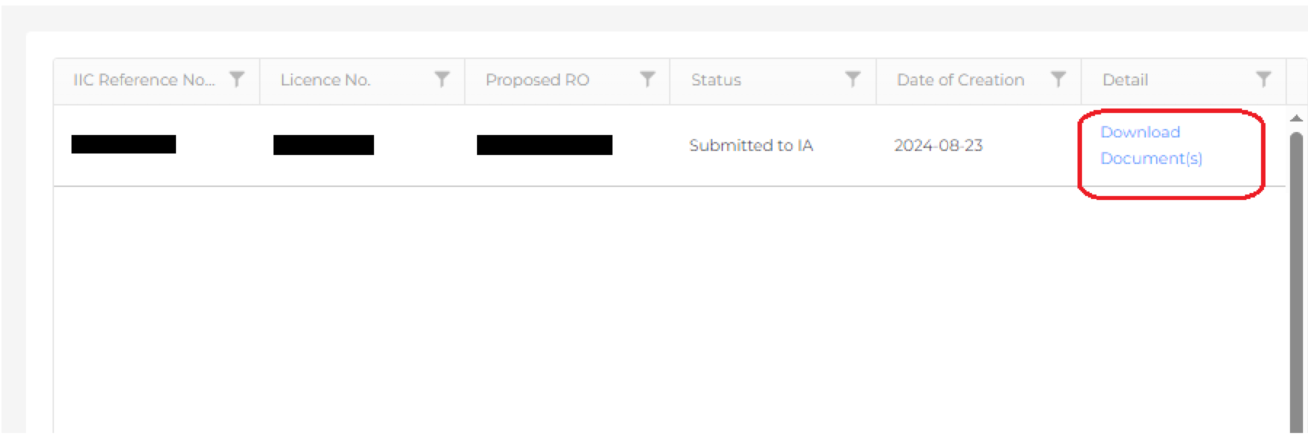




- **The RO application will be submitted to the IA when relevant application fee is paid. Please refer to Section 16 for the detailed payment process.**

7.4 Responsible Officer Application Record

- **PAA may click "*RO Application Records*" to view the status and download the uploaded documents.**



IIC Reference No...	Licence No.	Proposed RO	Status	Date of Creation	Detail
[redacted]	[redacted]	[redacted]	Submitted to IA	2024-08-23	Download Document(s)

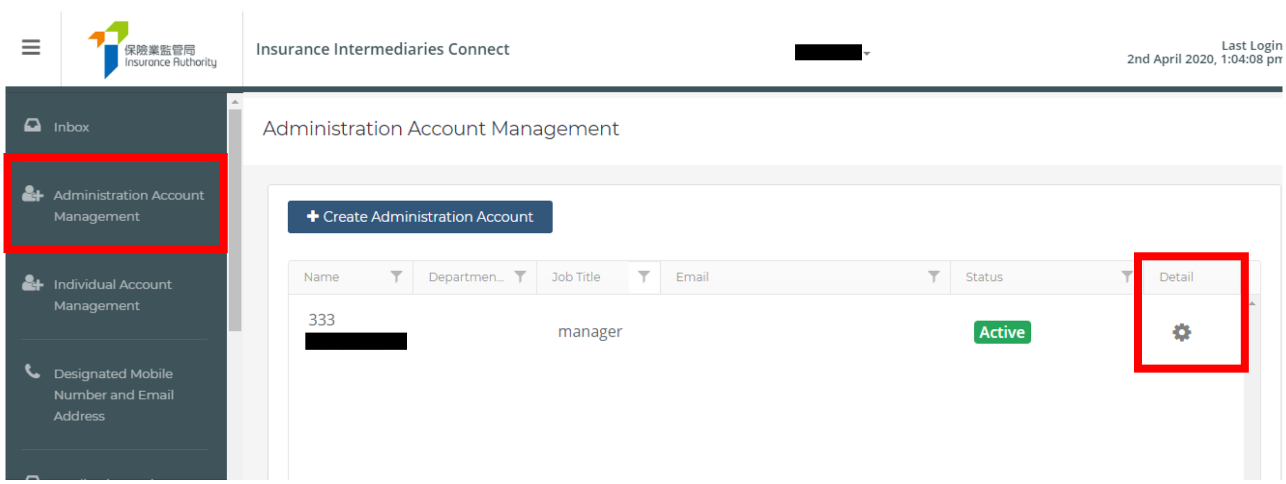
8. Termination of Appointment

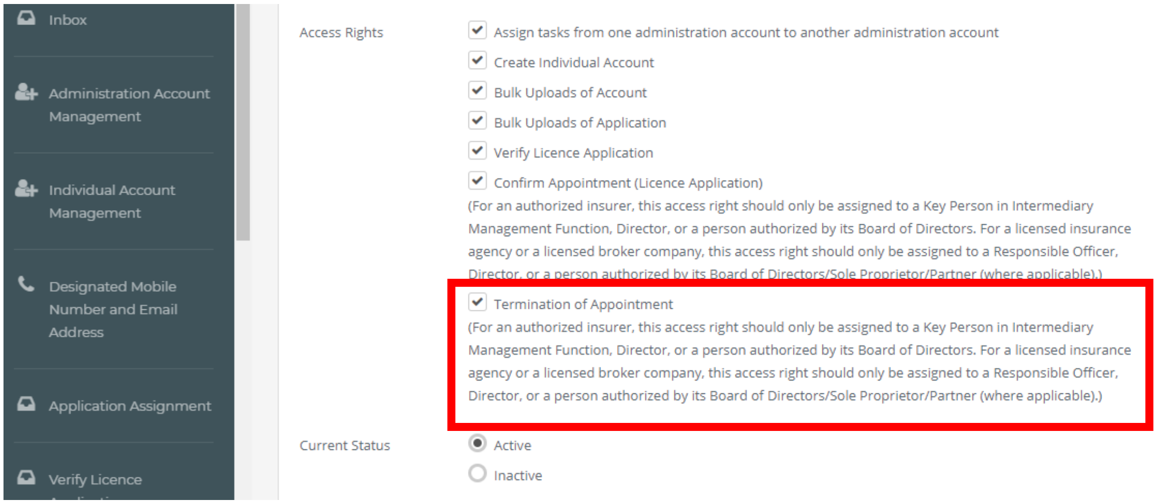
PAAs with appropriate access right can submit the notification of termination of appointment via IIC. Unless being properly authorized in the Collaborating Insurance Group ("CIG") arrangement as the *CIG primary company* (details please see paragraph 7.3.1 below), a Principal can only submit the e-notification on behalf of itself but not the other appointing principals.

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.

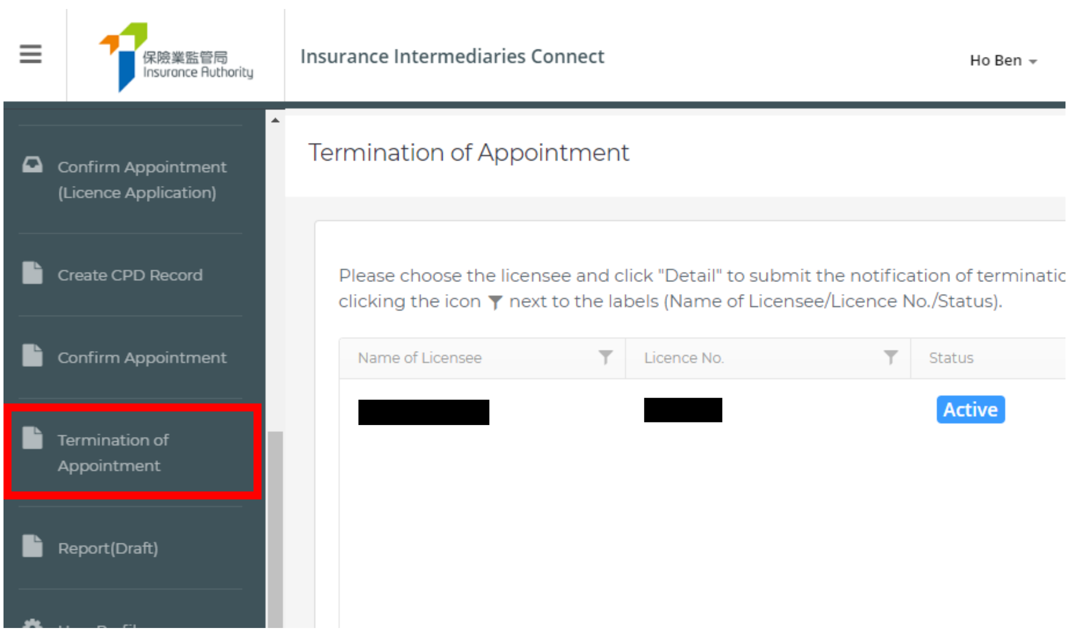
Supervisor / alternate supervisor account owner should click "*Administration Account Management*", select the designated PAA and tick the box "Termination of Appointment" to grant the relevant access right to the designated PAA.

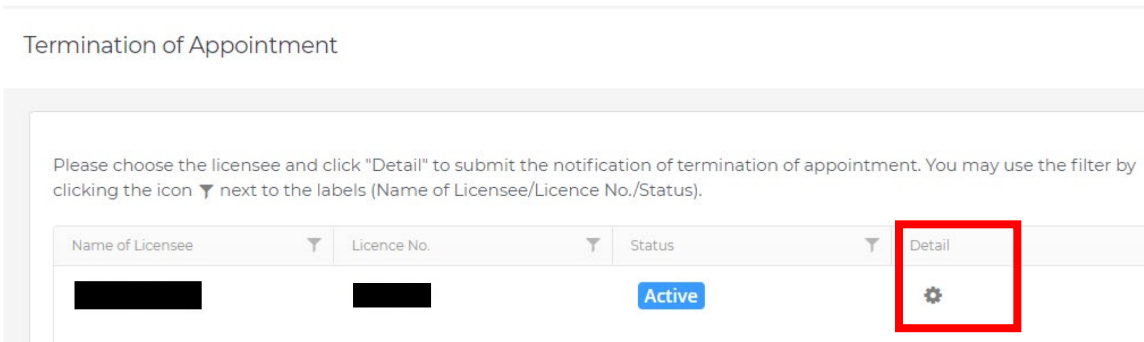




8.2 Select the licensee terminated by the Appointing Principal

- **The PAA should click "*Termination of Appointment*" and choose the licensee by clicking the "*Detail*" icon.**

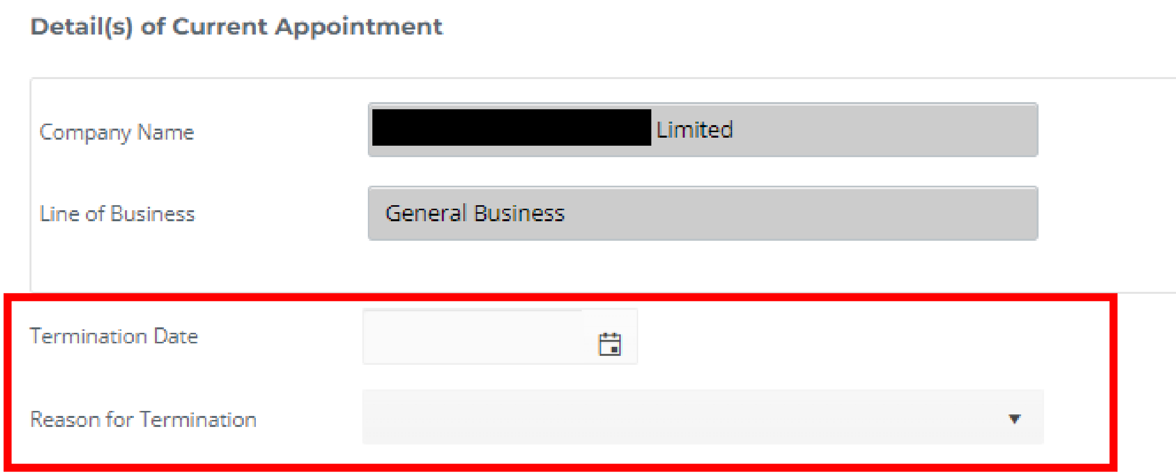




- The PAA can also use the filter by clicking the icon next to the labels (Name of Licensee/ Licence No./ Status).

8.3 Submit the Notification of Termination of Appointment

- After the PAA chooses the licensee, he/ she will be directed to the next page. He/ she will be required to double check the appointment information of the licensee and fill in the effective date of termination and the reason for termination.



- The PAA will also be required to make relevant declarations before submission of the notification.

- The PAA will have to select the company designated mobile number (set by the supervisor account owner) from the drop down menu for receiving the OTP. Once the OTP is inputted into the system, the notification of termination of appointment will be formally forwarded to the IA.

- The individual account owner will be notified that the appointment has been terminated by the Principal.

- **Reports of notification submitted through online and hardcopy submission to the IA will be generated to the principal at day end.**

8.3.1 Collaborating Insurance Group arrangement

[Applicable to Authorized Insurers only]

- **In order to streamline the relevant licensing notification processes for Licensed Individual Insurance Agents, we have introduced the Collaborating Insurance Group ("CIG") arrangement, which is used for collaborative arrangement between insurers, including insurance companies within the same group and Life Insurers collaborating with designated General Insurers.**

- **A CIG consists of a *CIG primary company* and one or more *CIG member(s)*, under the CIG arrangement, only the *CIG primary company* is required to login its IIC account to add/ terminate appointment of Licensed Individual Insurance Agent(s) with *CIG primary company* and *CIG member(s)* within the CIG.**

- **To apply the CIG arrangement, the relevant licensing notification processes must be initiated by the *CIG primary company*.**

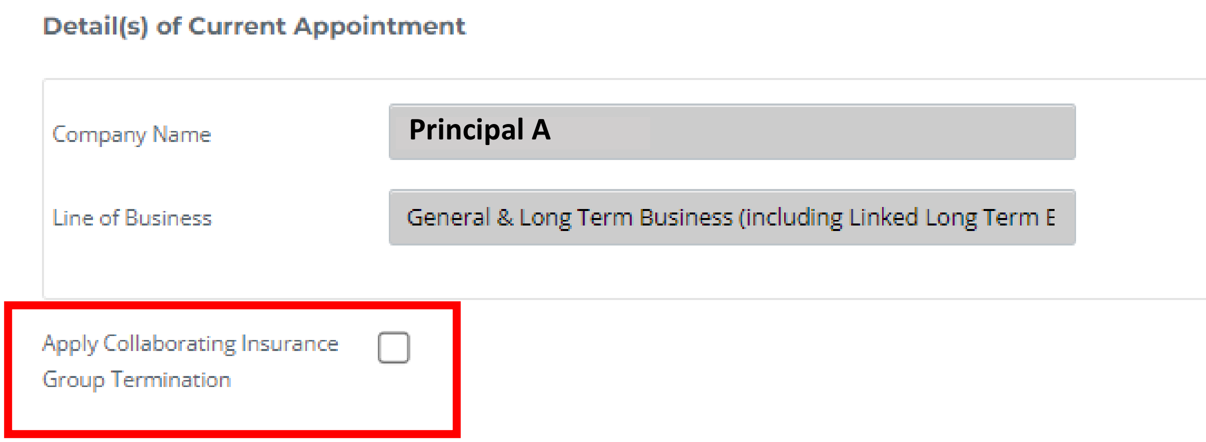
- **An Insurer can only be a *CIG primary company* of one CIG but may be a *CIG member* of multiple CIGs.**

- **Collaborative insurers are required to complete the designated authorization form to notify the IA (by sending completed form to licensing@ia.org.hk), with all *CIG member(s)* agreeing to authorize the *CIG primary company* to act as its/ their representative for the sole purpose of making the required statutory notifications:**

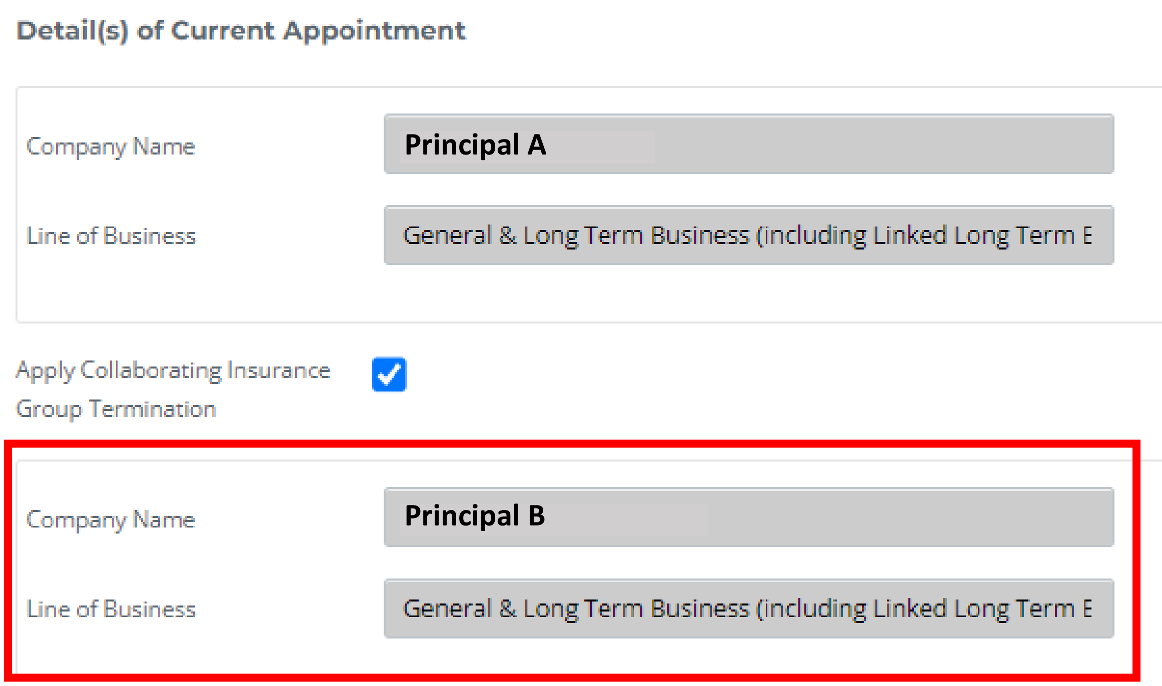
  1) **the appointment of Licensed Individual Insurance Agent(s) on the same date; and**
  2) **the termination of appointment of Licensed Individual Insurance Agent(s) on the same effective date (optional).**

- **Interested Insurers may contact the IA by email (licensing@ia.org.hk) to obtain the designated authorization form and send the completed form to the IA via email (licensing@ia.org.hk).**

- **Under CIG Arrangement, there is an additional check box "Apply Collaborating Insurance Group Termination" if the login principal is a *CIG primary company*.**



- **If the check box "Apply Collaborating Insurance Group Termination" is selected, the licensee's appointment details with all *CIG member(s)* who authorized the *CIG primary company* will be displayed.**



- **Then the PAA is required to input the Termination Date and Reason for Termination.**

- **The Termination Date and Reason for Termination will be applied to all appointments.**

- **The PAA will also be required to make relevant declarations before submission of the notification.**

- **The PAA will have to select the company designated mobile number (set by the supervisor account owner) from the drop down menu for receiving the OTP. Once the OTP is inputted into the system, the notification of termination of appointment will be formally forwarded to the IA.**

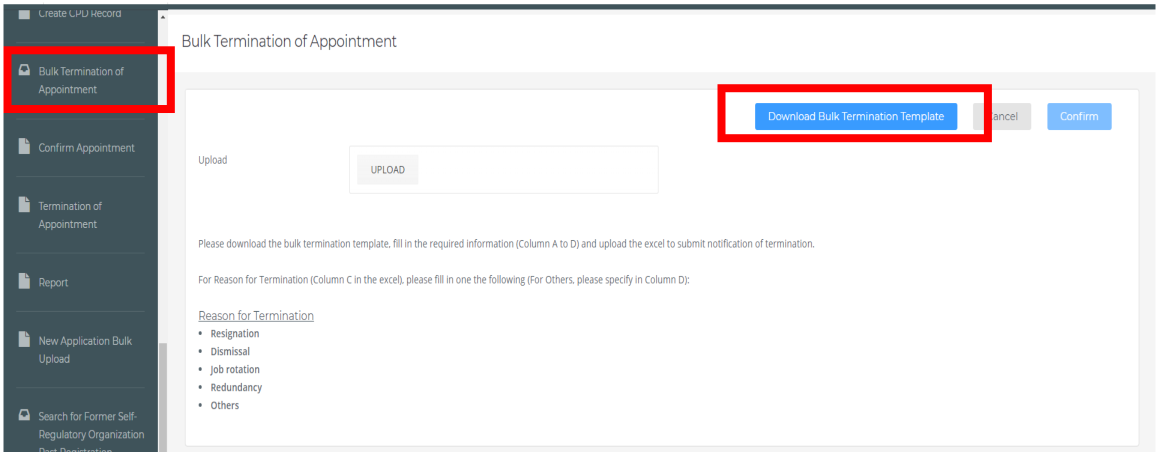
- **The individual account owner will be notified that the appointment has been terminated by the Principal.**

- **Reports of notification submitted through online and hardcopy submission to the IA will be generated to the principal at day end.**

8.4 Bulk Termination of Appointment

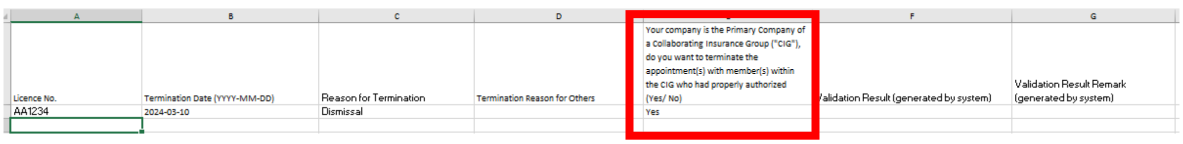
- **For terminating a licensee who is the Responsible Officer of the Company, please submit the Notification of Termination of Responsible Officer before using Bulk Termination of Appointment function. Please refer to the Section 8 for Termination of Responsible Officer.**

- **The PAA should select, "Bulk Termination of Appointment" then click "Download Bulk Termination Template" to obtain the input template.**



- **To perform the bulk termination of appointment, the PAA should follow the samples in the input template for "Licence No.", "Termination Date (DD/MM/YYYY)", "Reason for Termination" and "Termination Reason for Others" (if applicable).**

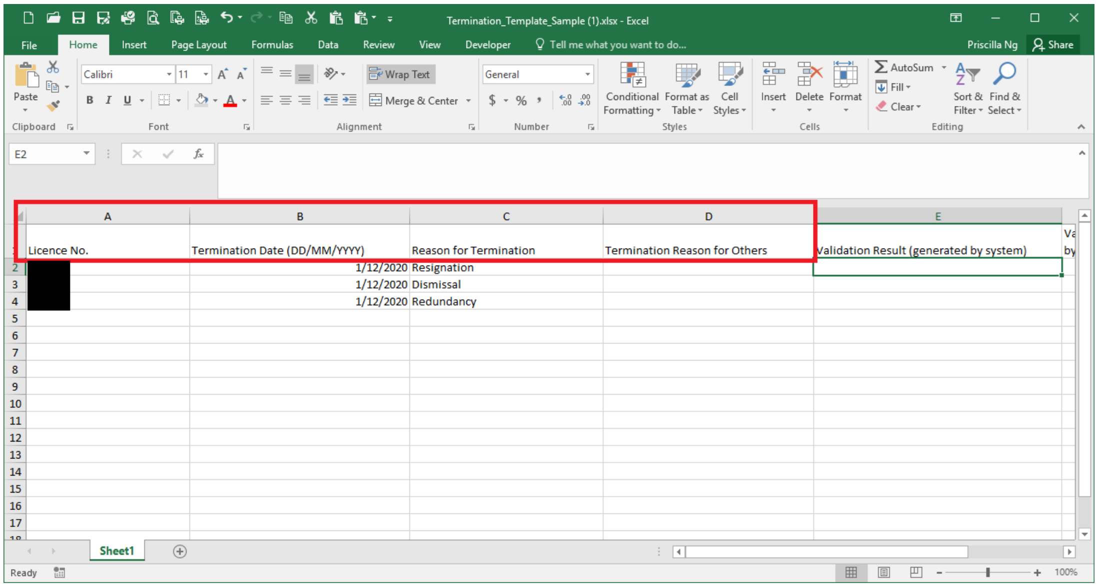
- **There is an additional column "Your company is the Primary Company of a Collaborating Insurance Group ("CIG"), do you want to terminate the appointment(s) with member(s) within the CIG who had properly authorized (Yes/ No)" in the specialized Bulk Termination Template downloaded if the login principal is a *CIG primary company*:**



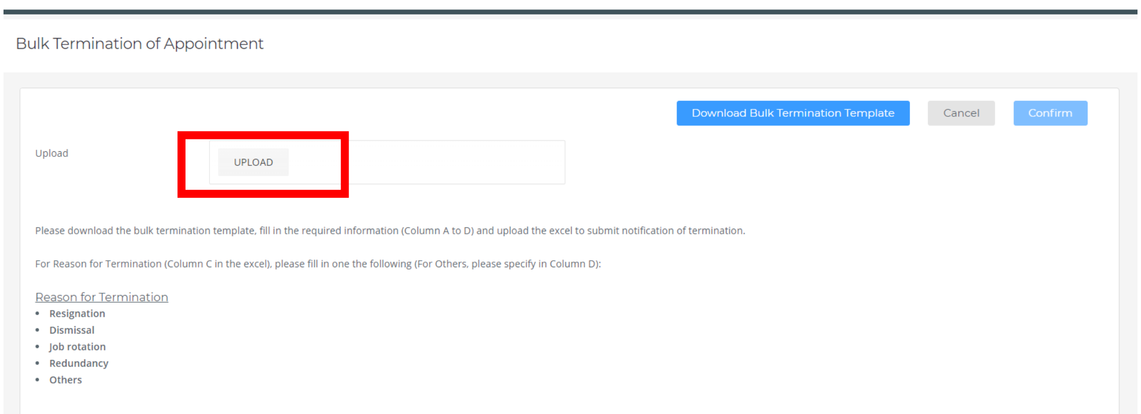
A	B	C	D	E	F	G
Licence No.	Termination Date (YYYY-MM-DD)	Reason for Termination	Termination Reason for Others	Your company is the Primary Company of a Collaborating Insurance Group ("CIG"), do you want to terminate the appointment(s) with member(s) within the CIG who had properly authorized (Yes/ No)	Validation Result (generated by system)	Validation Result Remark (generated by system)
AA1234	2024-03-10	Dismissal		Yes		

- **For "Reason for Termination", please fill in one of the specified reasons, namely "Resignation", "Dismissal", "Job Rotation", "Redundancy" or "Others". If the PAA indicates "Others", he / she should provide the reason to "Termination Reason for Others" within**

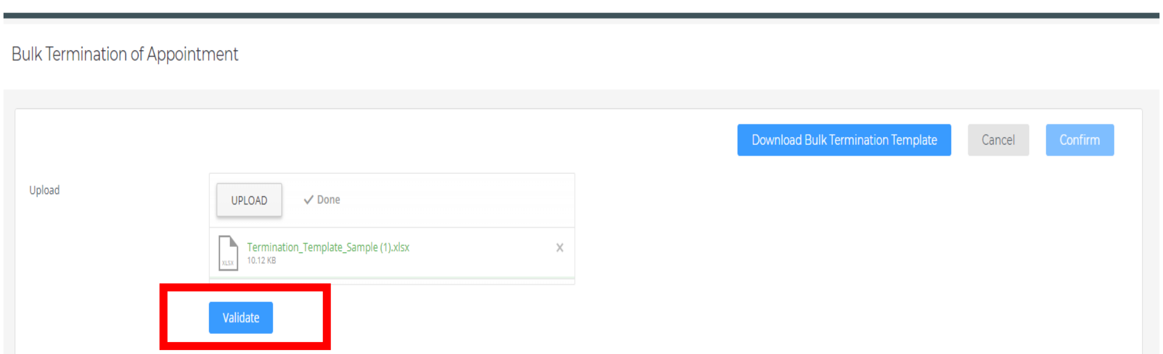
1000 characters.



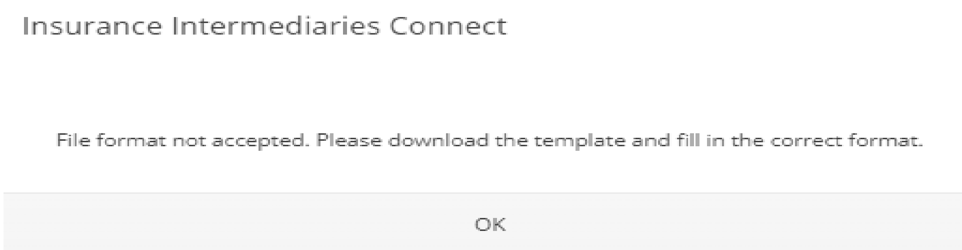
- **After filling in the template, the PAA should click "Upload" button to upload the Excel file.**



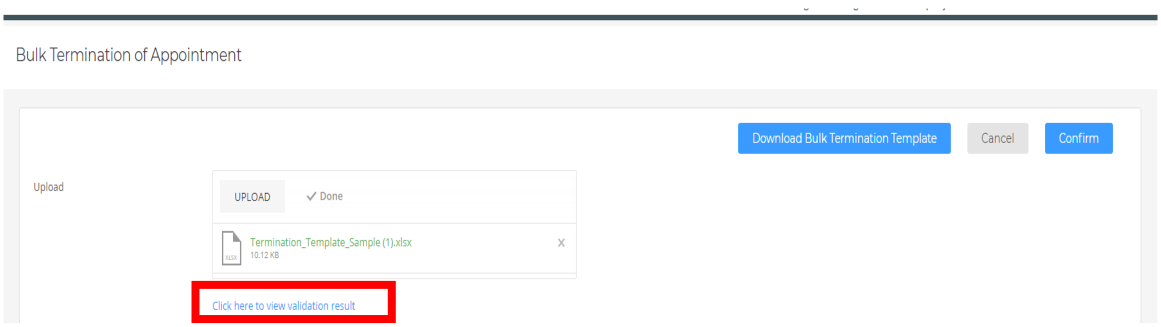
- **Then, the PAA should click "Validate" to check the data validity of the input template.**



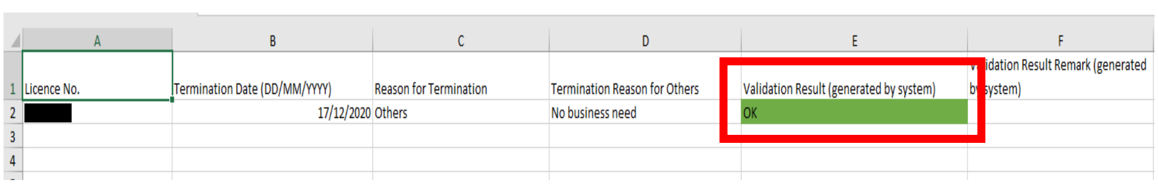
- **If the uploaded template is not match with the login principal (i.e. a CIG primary company with the ordinary Bulk Termination Temples, or vice versa), the following error message will be prompted when "Validate" is clicked:**



- **When the system completes the validation check, a zipped file for validation result could be obtained by clicking "Click here to view validation result". The PAA should unzip the file with the designated password set in the supervisor account (please refer to Section 2.5 to obtain the password for Document Download).**

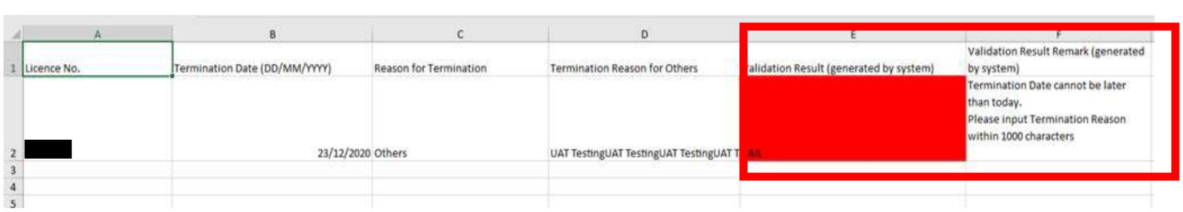


- **The PAA could find the validation result in "Validation Result (generated by system)". For positive result, it will be shown as "OK" in green color.**



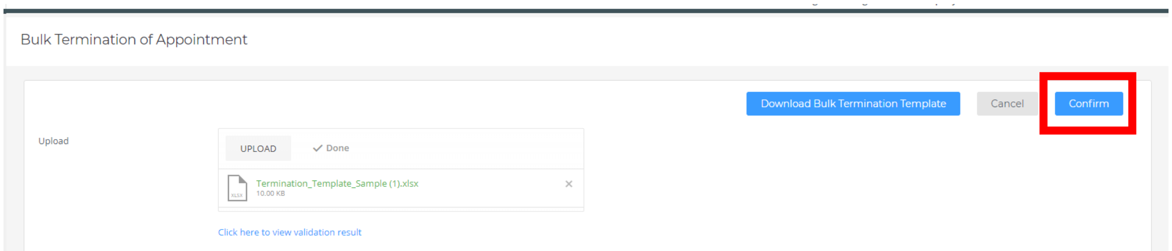
	A	B	C	D	E	F
1	Licence No.	Termination Date (DD/MM/YYYY)	Reason for Termination	Termination Reason for Others	Validation Result (generated by system)	Validation Result Remark (generated by system)
2	[redacted]	17/12/2020	Others	No business need	OK	
3						
4						

- **For negative result, a "FAIL" status in red color will be shown. Reason(s) will be specified in "Validation Result Remark (generated by system)".**

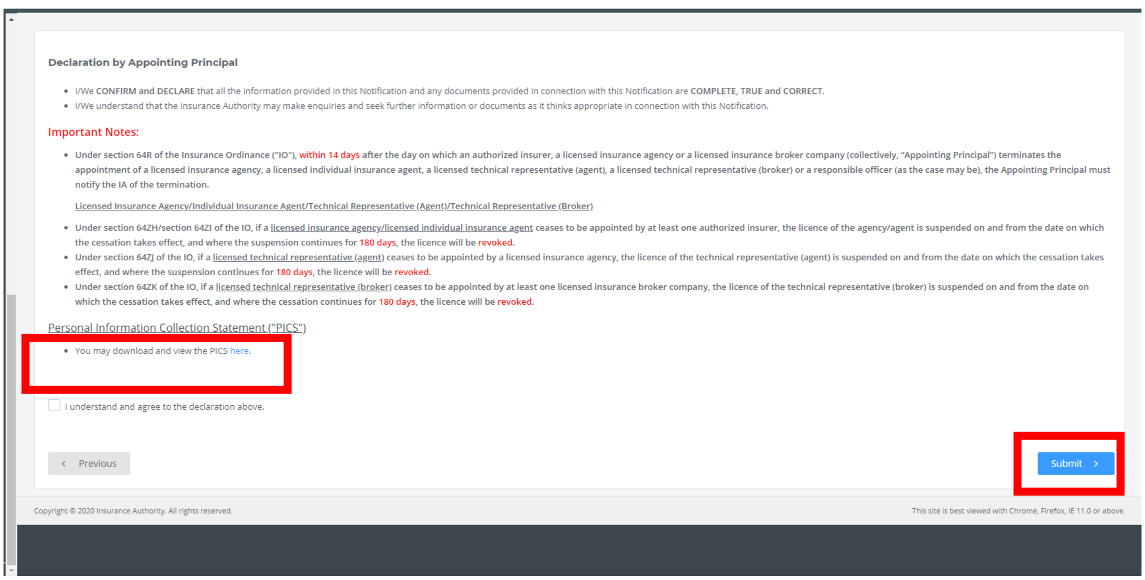


	A	B	C	D	E	F
1	Licence No.	Termination Date (DD/MM/YYYY)	Reason for Termination	Termination Reason for Others	Validation Result (generated by system)	Validation Result Remark (generated by system)
2	[redacted]	23/12/2020	Others	UAT TestingUAT TestingUAT TestingUAT T	AIL	Termination Date cannot be later than today. Please input Termination Reason within 1000 characters
3						
4						
5						

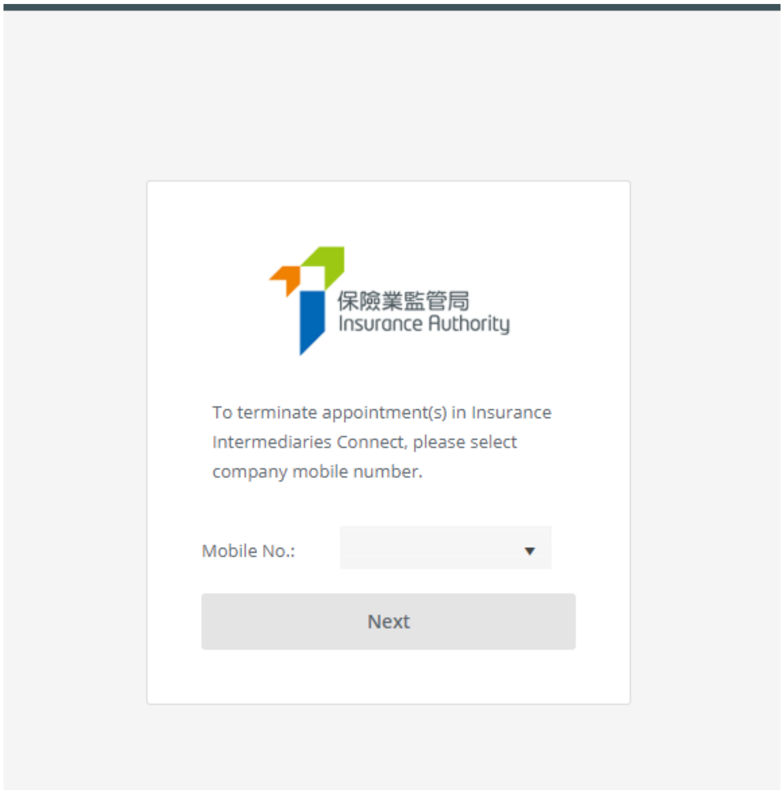
- **The PAA should click "Confirm" to submit the notification of bulk termination of appointment.**



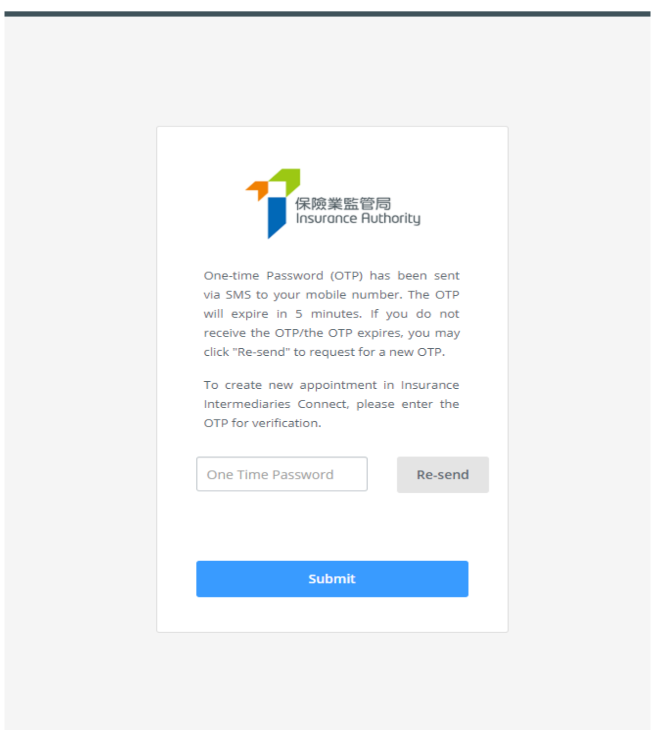
- **Tick the box "I understand and agree to the declaration above" after reading "Declaration by Appointing Principal" and then submit the notification.**

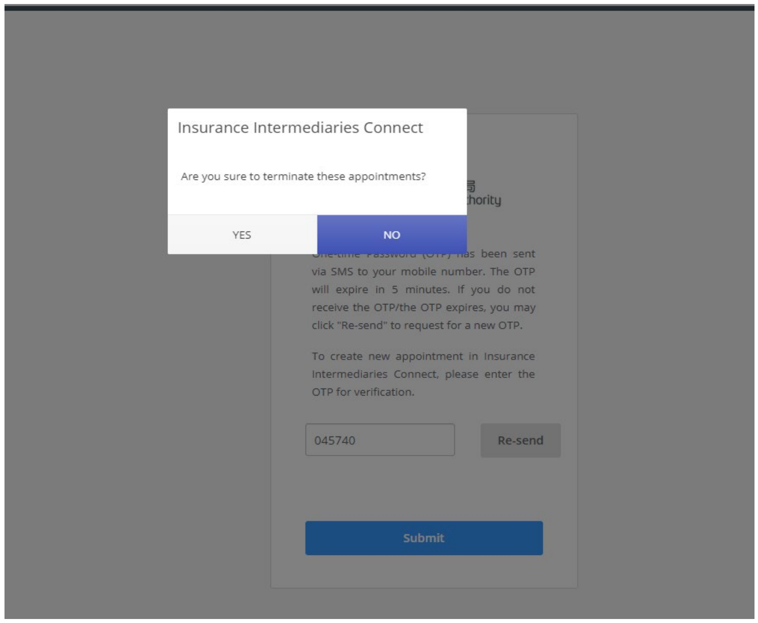


- **The PAA should select the designated mobile number to receive an OTP and then click "Next".**

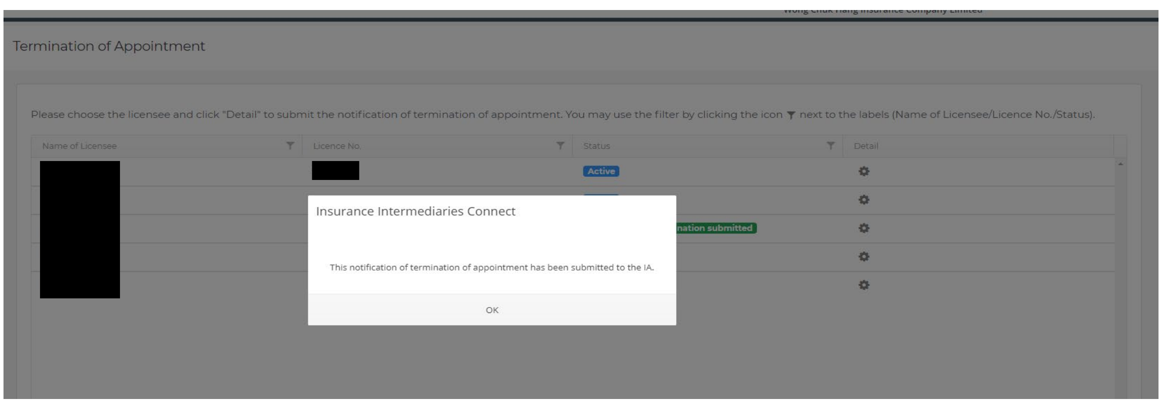


- **He / she is required to enter OTP within 5 minutes in order to submit the notification and then click "Yes" to confirm the termination of appointment.**

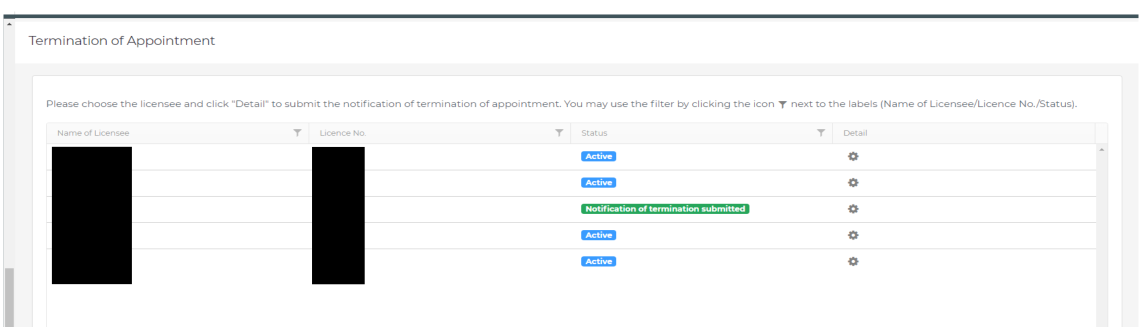




- **A message will be shown when the notification has been submitted to the IA, and the PAA will be directed to the page of "Termination of Appointment".**



- **In the page "Termination of Appointment", the status of the licensee concerned will change from "Active" to "Notification of termination submitted".**



9. Termination of Responsible Officer

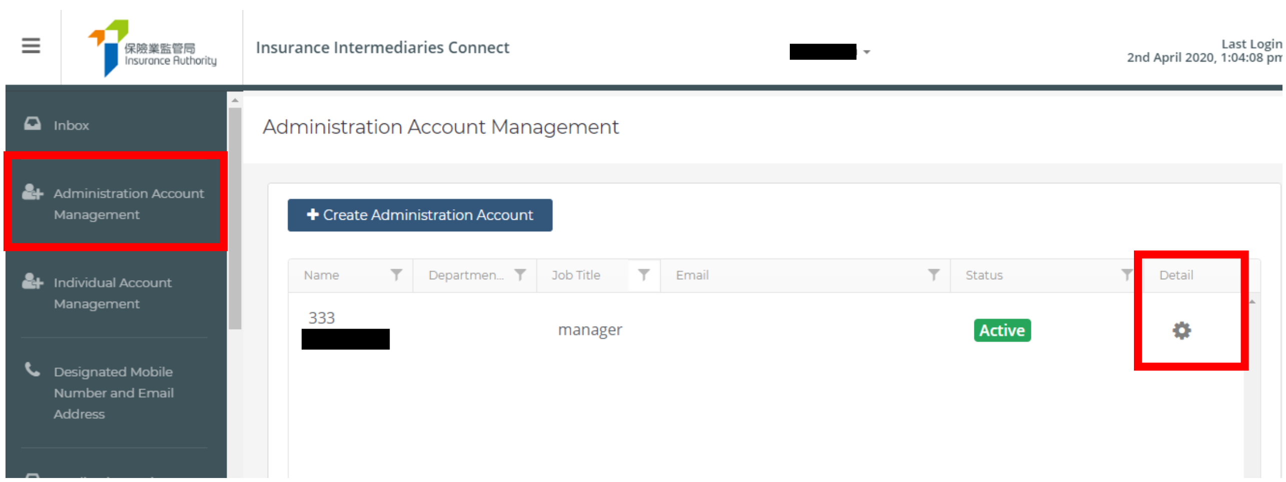
[Applicable to Licensed Insurance Agencies and Licensed Insurance Broker Companies only]

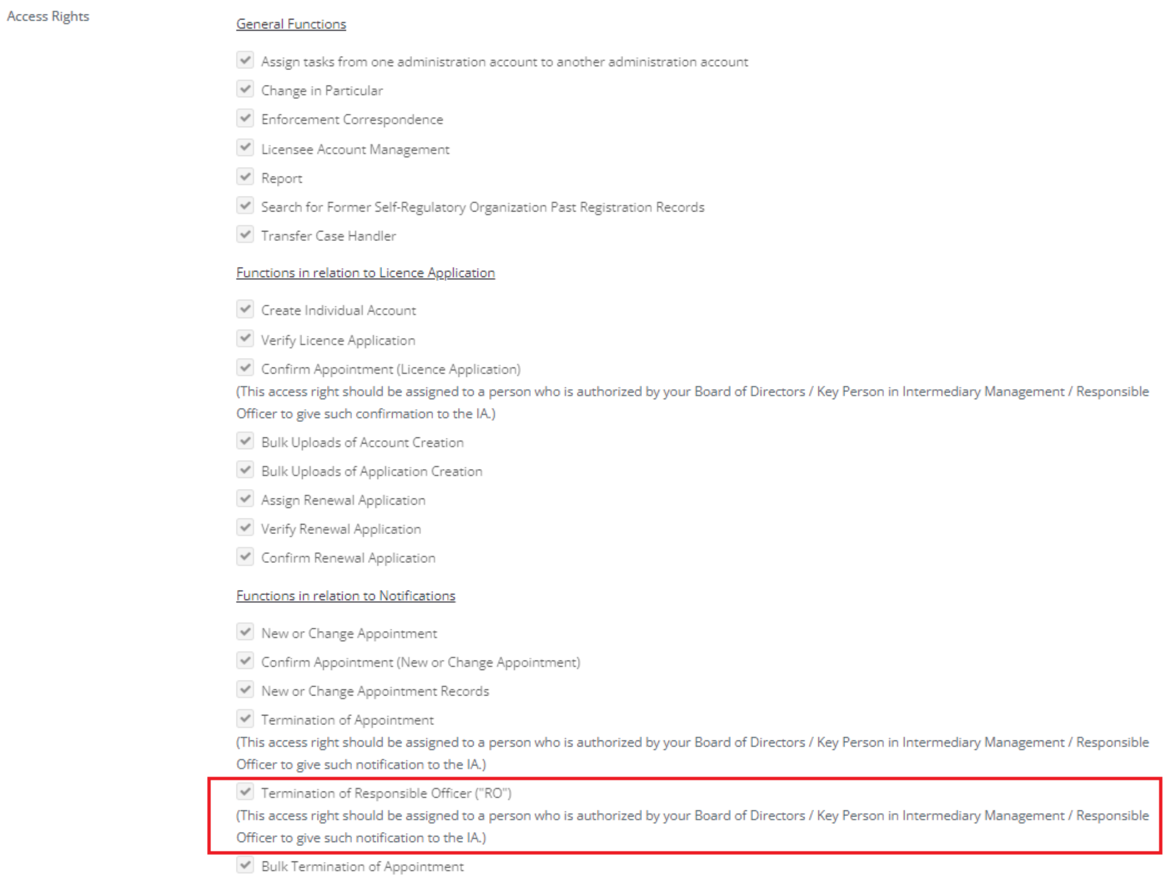
PAAs with appropriate access right can submit the notification of termination of Responsible Officer ("RO") via IIC. Please note that Notification of Appointment in relation to a RO must be submitted together with Notification of Termination of Responsible Officer or after Notification of Termination of Responsible Officer is submitted.

9.1 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.

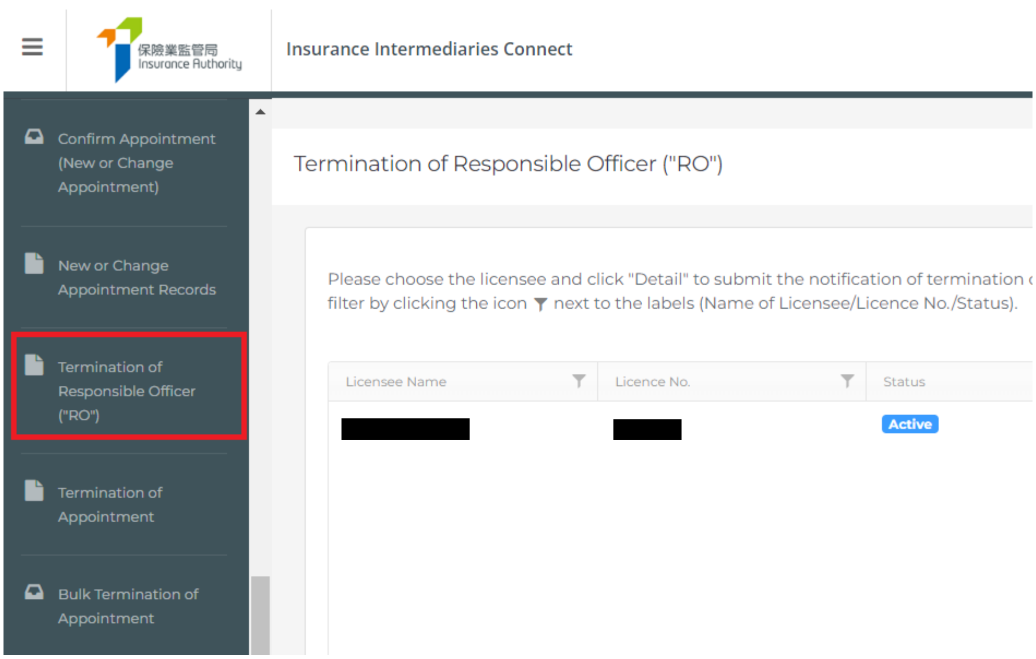
Supervisor / alternate supervisor account owner should click "*Administration Account Management*", select the designated PAA and tick the box "Termination of Responsible Officer" to grant the relevant access right to the designated PAA.

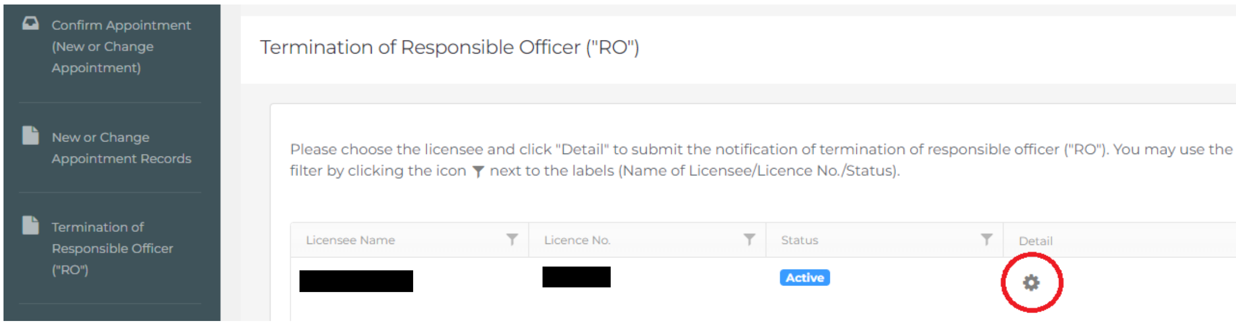




9.2 Select the Responsible Officer terminated by the Appointing Principal

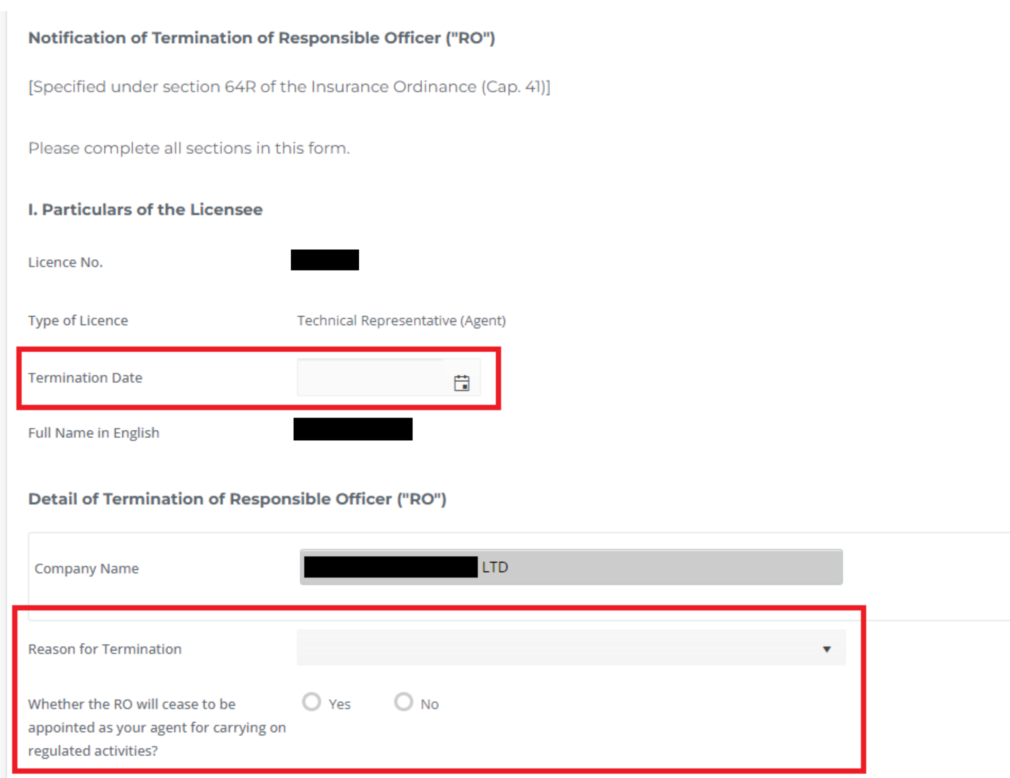
- **The PAA should click "Termination of Responsible Officer" and choose the RO by clicking the "*Detail*" icon.**





9.3 Submit the Notification of Termination of Responsible Officer

- **After the PAA chooses the RO, he/ she will be directed to the next page. He/ she is required to (1) fill in the effective date of termination, (2) provide the reason for termination and (3) answer the question whether the RO will cease to be appointed.**

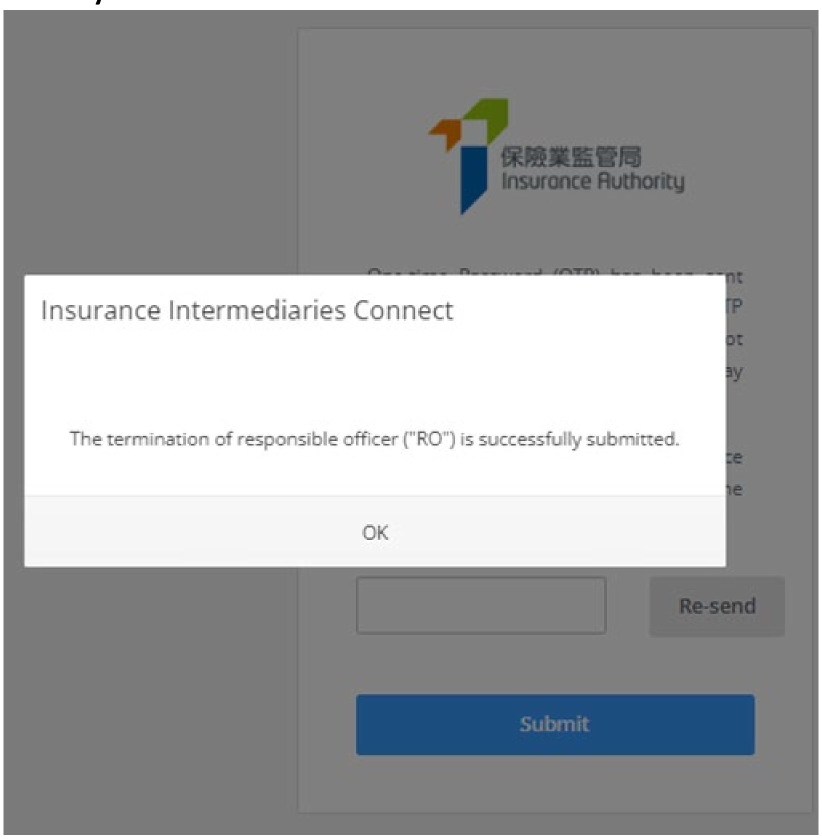


- **The PAA will also be required to make relevant declarations before submission of the notification.**

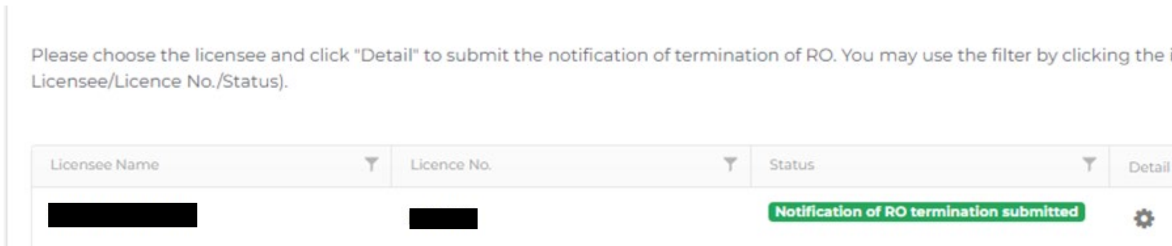
II. Declaration by Appointing Principal

- I/We **CONFIRM and DECLARE** that all the information provided in this Notification and any documents provided in connection with this Notification are **COMPLETE, TRUE and CORRECT.**
- I/We understand that the Insurance Authority may make enquiries and seek further information or documents as it thinks appropriate in connection with this Notification.

- **The PAA will have to select the company designated mobile number (set by the supervisor account owner) from the drop down menu for receiving the OTP. Once the OTP is inputted into the system, the notification of termination of appointment will be formally submitted to the IA.**



- **In the page “Termination of Responsible Officer”, the status of the RO concerned will change from “Active” to “Notification of RO termination submitted”.**



- **The individual account owner will be notified that his/her RO appointment has been terminated by the Principal.**

- **Reports of notification submitted through online and hardcopy submission to the IA will be generated to the principal at day end.**

10. Report

Currently, there are 12 types of reports that are available in the IIC:

(1) Full Intermediary Licence List

(2) New Application E-Portal Status 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 [YYYY/YYYY]

(12) Company Renewal Application E-Portal Status Report

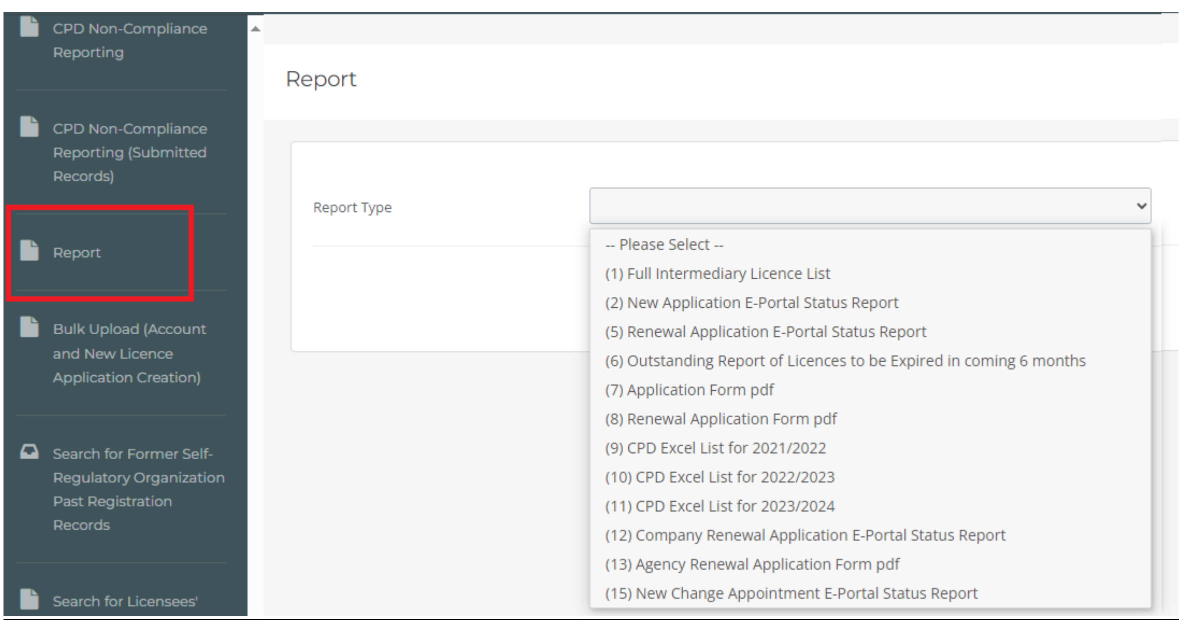
(13) Agency Renewal Application Form pdf

(14) Broker Company Renewal Application Form pdf

(15) New Change Appointment E-Portal Status Report

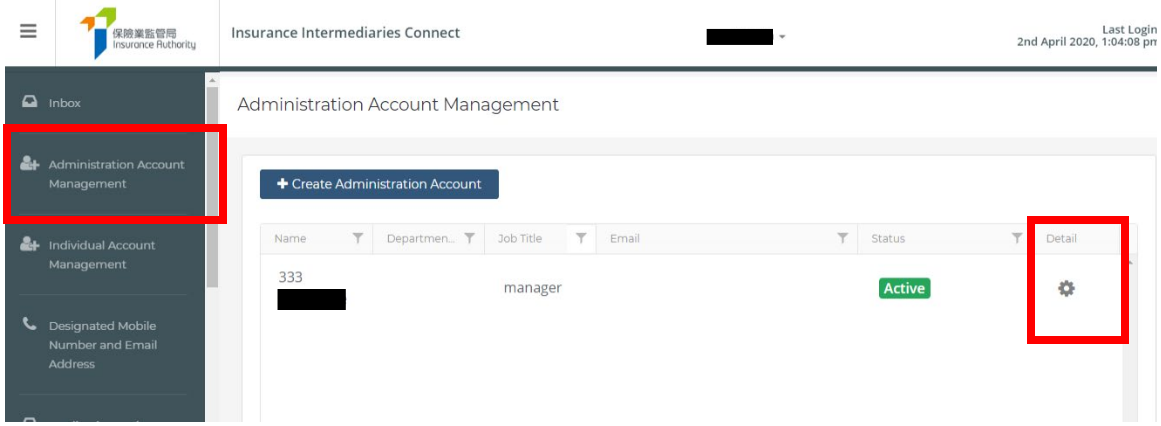
(16) RO Application E-Portal Status Report

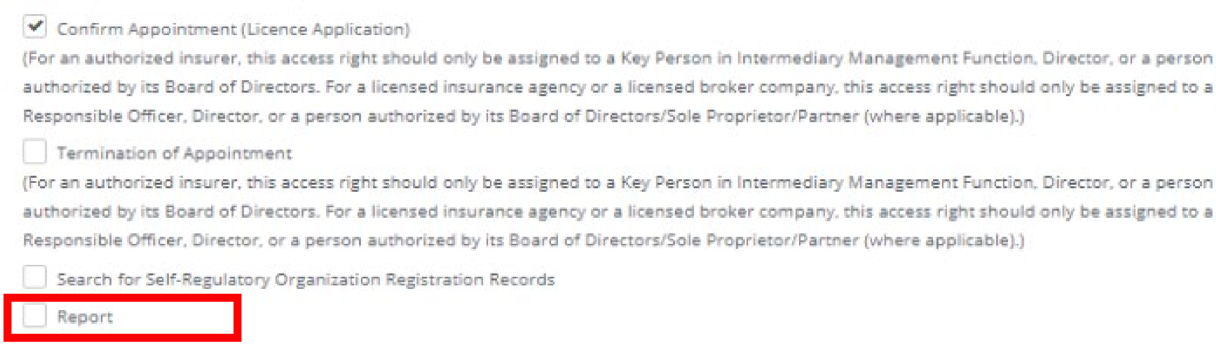
PAA with relevant access right can click "*Report*" to view and select the available reports from the drop down menu.



10.1 Grant of Access Right to PAA

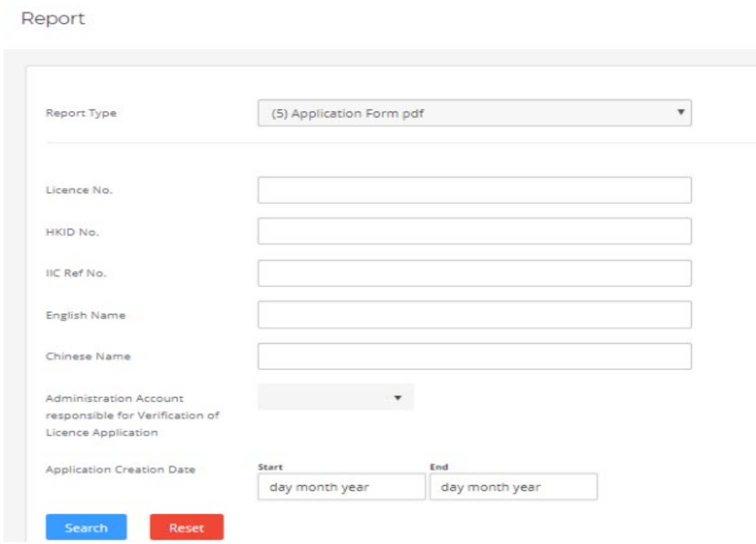
If supervisor / alternate supervisor account owner would like to delegate the report function to administration account owner, he/she should click "*Administration Account Management*", select the designated PAA and tick the box "Report" to grant the relevant access right to the designated PAA.



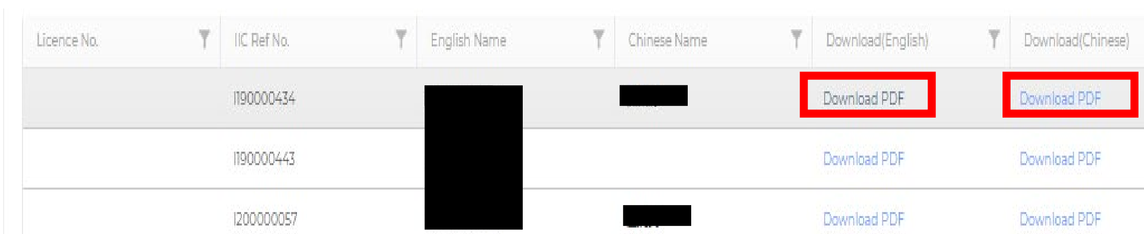


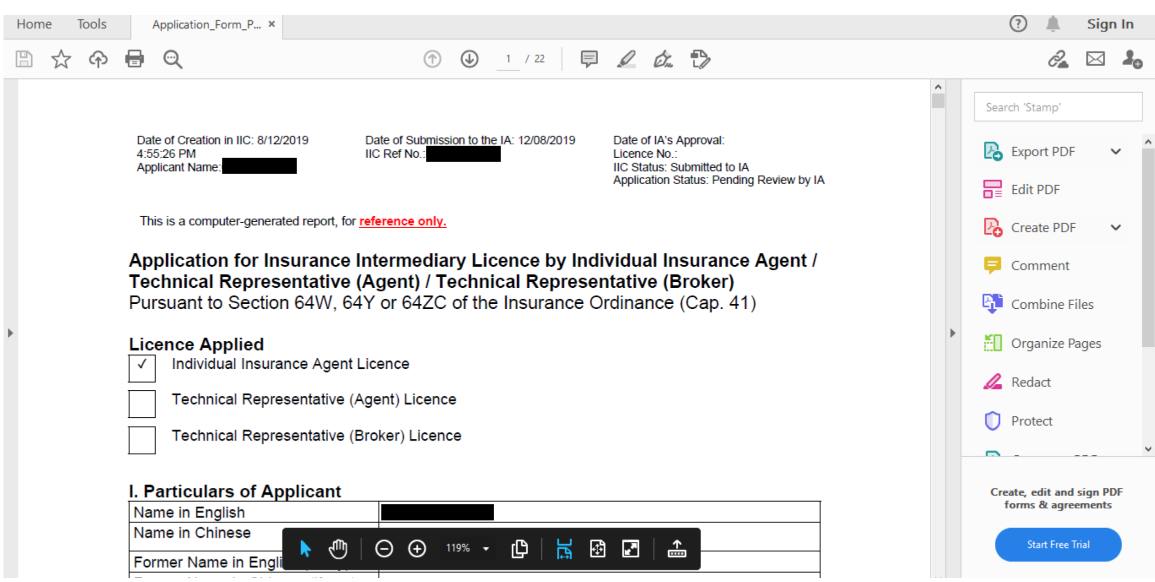
10.2 Application Form (PDF)

- **PAA can use different criteria to search for a particular application (including cases created in IIC but not yet submitted to the IA) and download the application form in PDF format.**



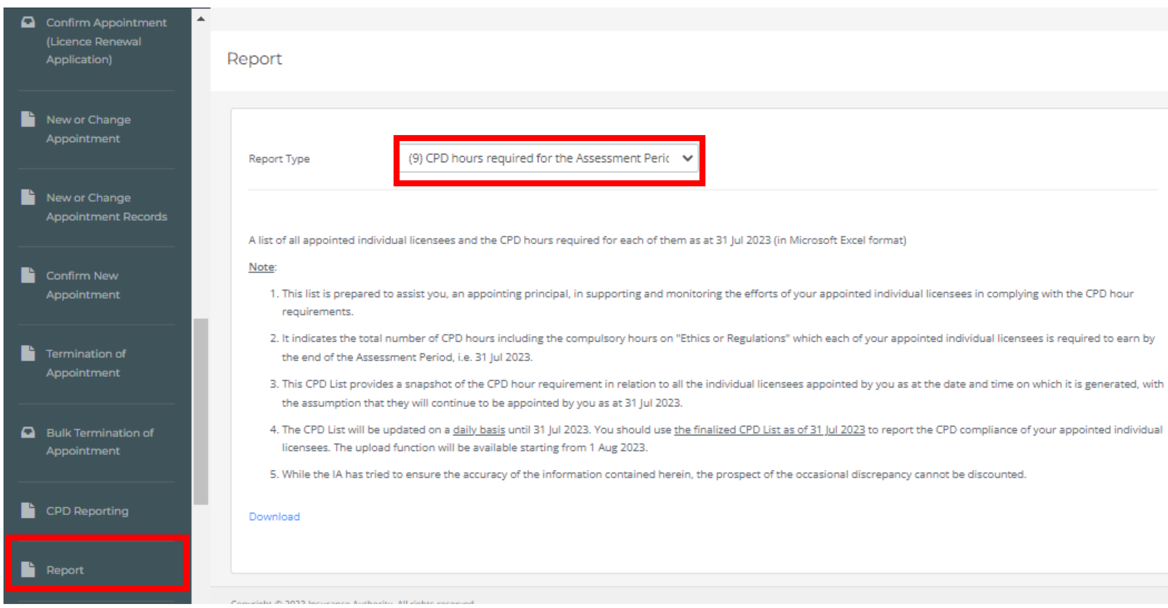
PAA can then click "*Download PDF*" (English/Chinese) to download a password-protected zip file. PAA should use an unzip software (e.g. 7-zip, Winzip, WinRAR) and use the password set up by supervisor account to unzip and open the file. For the password setting, please refer to section 2.5.



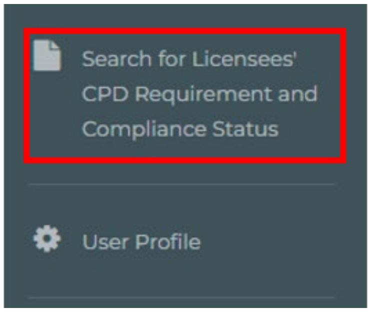


10.3 CPD Hours Required

- **Supervisor / alternate supervisor account owners can use the report function to download a list indicating the number of CPD hours that each of the individual licensees appointed by the principal concerned is required to complete for a particular CPD Assessment Period (“CPD List”). The CPD List is in Microsoft Excel format and an updated list will be available in IIC from time to time.** ***To enable administration account owners to download the CPD List, supervisor / alternate supervisor account owners will need to delegate the report function to administration account owners. Please refer to section 9.1.***
- **To download the CPD List:**
  1. **Select “Report” from the menu on the left**
  2. **Select “(9) CPD hours Required for the Assessment Period of [YYYY/YYYY]” for “Report Type”**
  3. **Press “Download”**



- **The PAA may click the "*Search for Licensees' CPD Requirement and Compliance Status*" option from the vertical menu on the left and will be able to view the CPD hours requirement for any individual licensee and his/ her reported compliance status:**



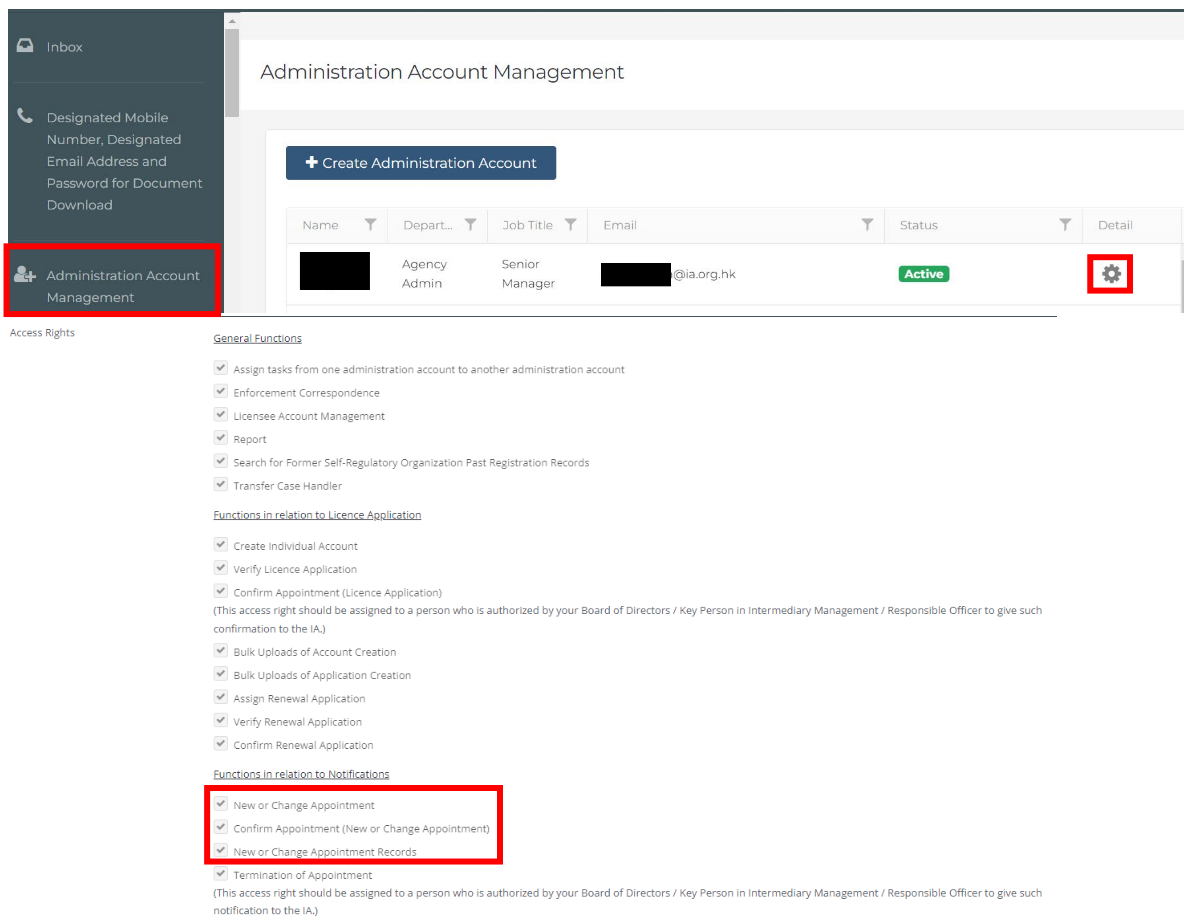
- **Technical Issues: If the Report function cannot be displayed in IIC, or encounter webpage problems (e.g. screen stuck, badly formatted webpages) or error messages, it may be related to the browser cache. Please refer to section 16 for details.**

11. New or Change appointment

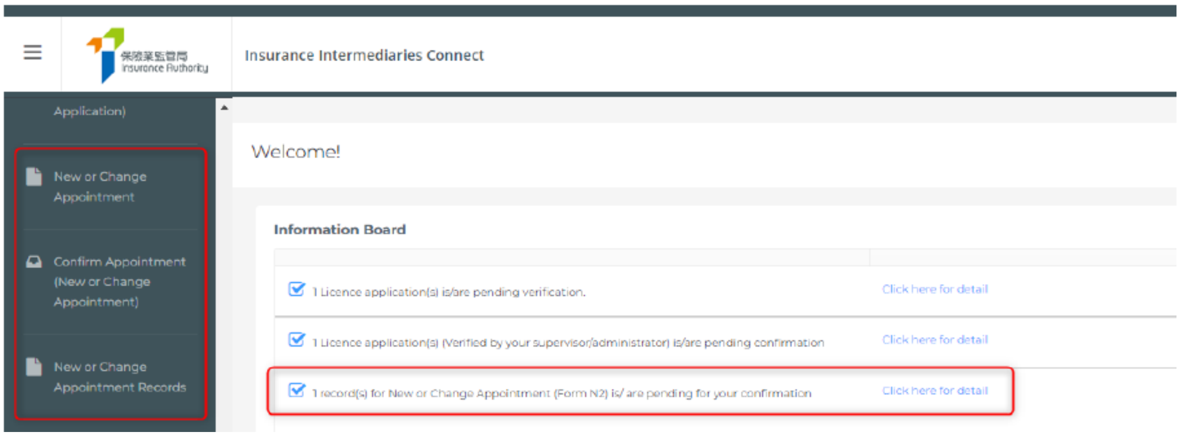
Menu items – "New or Change Appointment", "Confirm Appointment (New or Change Appointment)", "New or Change Appointment Records" are displayed for company supervisor account and alternative supervisor account by default. For company administration accounts, access right should be granted in administration account management by supervisor/ alternative supervisor account owner.

11.1 Grant of Access Right to PAA

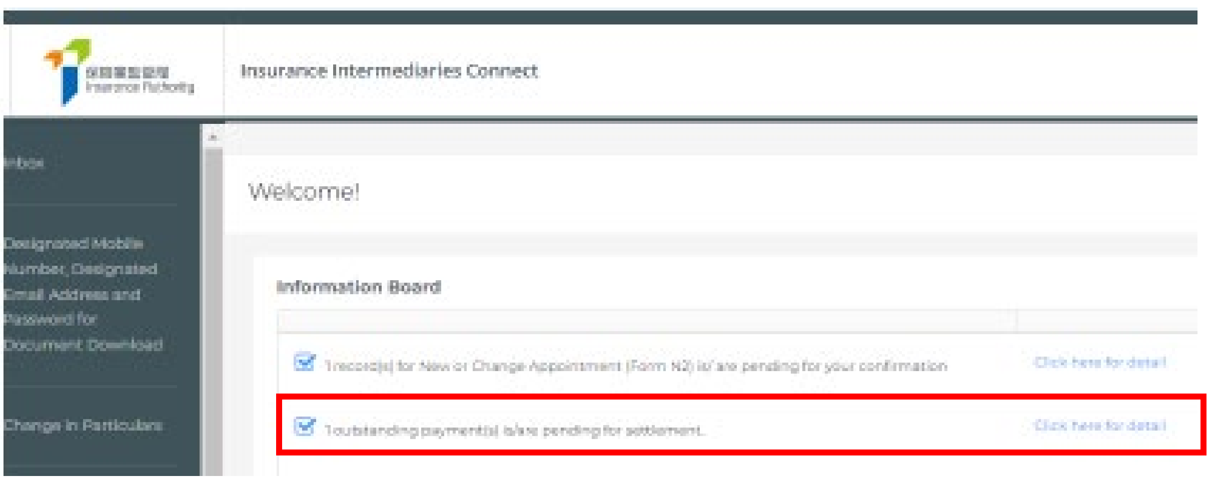
If supervisor/ alternate supervisor account owner would like to grant access right to administration account owner, he/ she should click "*Administration Account Management*", select the designated PAA and tick the boxes "New or Change Appointment", "Confirm Appointment (New or Change Appointment)" and "New or Change Appointment Records" to grant the access right to the designated PAA.



When there is Notification of Appointment pending confirmation, reminder message will be displayed in the Information Board if the PAA account has the access right for "Confirm Appointment (New or Change Appointment)".



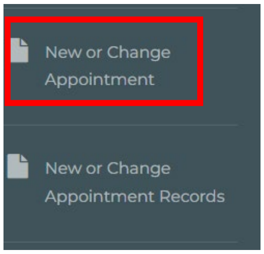
When there is Payment pending for settlement, after the relevant Notification of Appointment has been confirmed, a reminder message will be displayed in the Information Board if the PAA account has the access right for "Payment".



11.2 Notification initiation by Initiating Principal

- **This process is for 1) adding new appointment of New Appointing Principal(s) for the subject licensee and/ or 2) changing the subject licensee's Line(s) of Business ("LoB") appointed by the Existing Appointing Principal(s).**

- **After logging into the IIC, the PAA may click "*New or Change Appointment*" to start the New or Change Appointment process. The principal starting the process will be regarded as the Initiating Principal.**

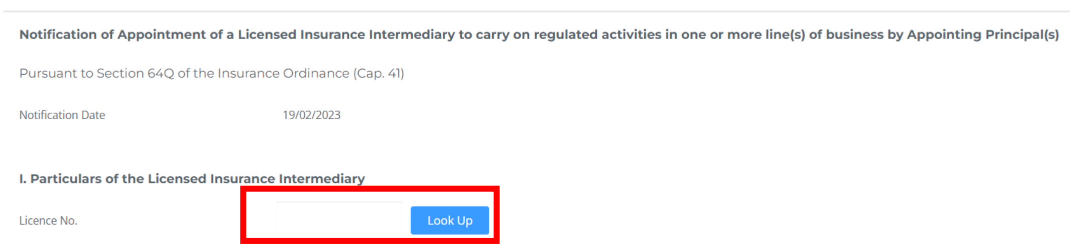


- **The licence type of the subject licensee must match with the Initiating Principal of the process:**

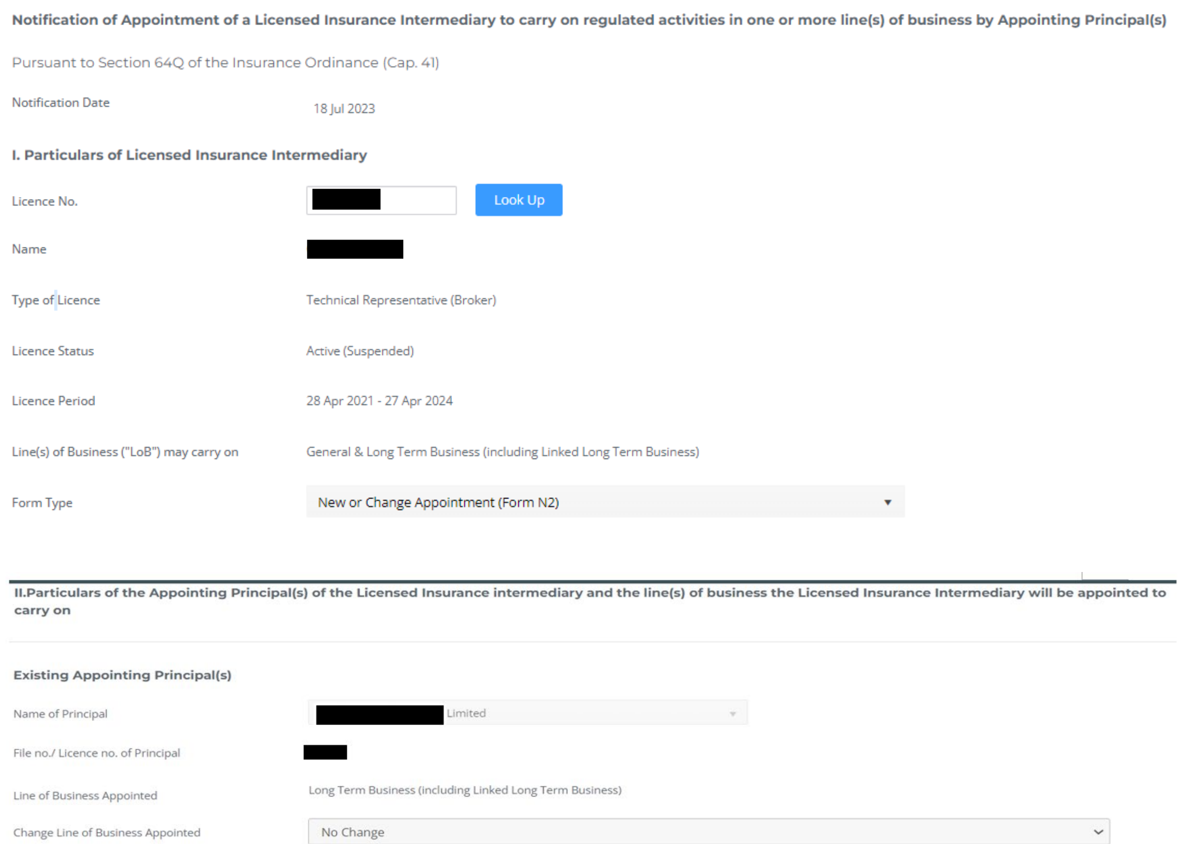
Subject licensee's licence type	**Initiating Principal**
Individual Insurance Agent ("IND")	**Authorized Insurers**
Technical Representative (Agent) ("TRA")	**Licensed Insurance Agencies**
Technical Representative (Broker) ("TRB")	**Licensed Insurance Broker Companies**
Insurance Agency ("AGY")	**Authorized Insurers**

- **The Initiating Principal must be either one of the Existing Appointing Principal(s) or one of the New Appointing Principal(s) of the subject licensee, otherwise, the process cannot be proceeded.**

- **The PAA to input the licence number of the subject licensee of the notification and click the "*Look Up*" button:**



- **If the licence status of the subject licensee is "Active" or "Active (suspended)", and the licence type of subject licensee matches with the principal's licence type, the subject licensee's Particulars (i.e. Name, Type of Licence, Licence Status, Licence Period and LoB may carry on), the Form Type of this notification and Existing appointing principal(s), if any, will be displayed. Otherwise, the relevant error message will be prompted.**



Notification of Appointment of a Licensed Insurance Intermediary to carry on regulated activities in one or more line(s) of business by Appointing Principal(s)

Pursuant to Section 64Q of the Insurance Ordinance (Cap. 41)

Notification Date	18 Jul 2023

I. Particulars of Licensed Insurance Intermediary

Licence No.	[redacted] Look Up
Name	[redacted]
Type of Licence	Technical Representative (Broker)
Licence Status	Active (Suspended)
Licence Period	28 Apr 2021 - 27 Apr 2024
Line(s) of Business ("LoB") may carry on	General & Long Term Business (including Linked Long Term Business)
Form Type	New or Change Appointment (Form N2)

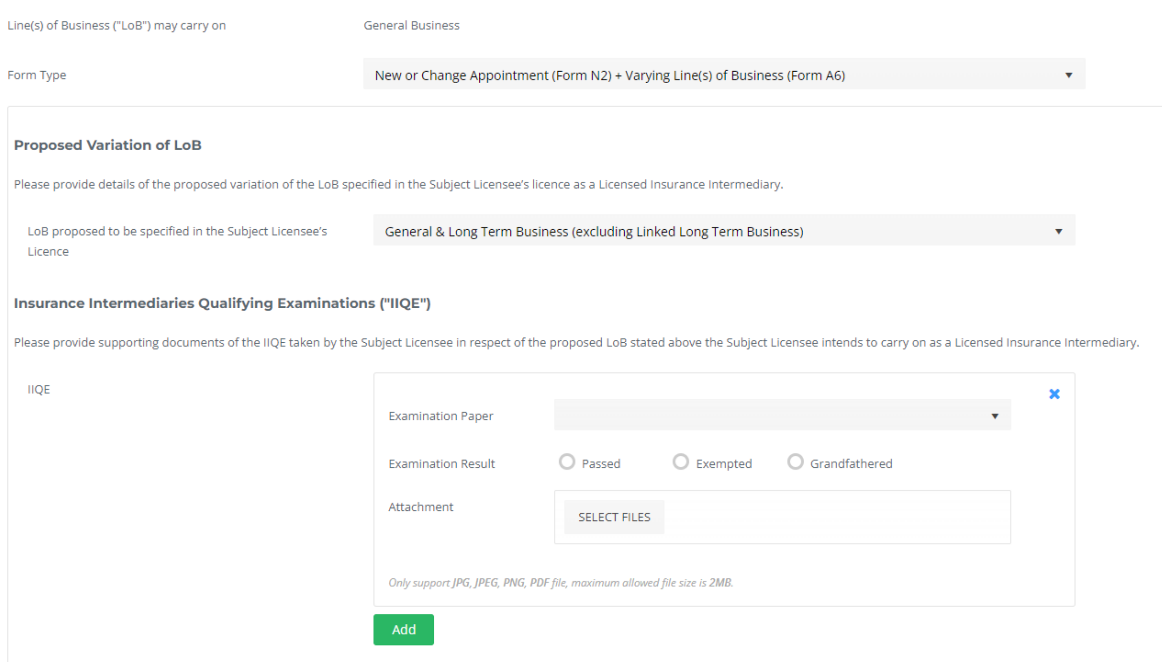
II.Particulars of the Appointing Principal(s) of the Licensed Insurance intermediary and the line(s) of business the Licensed Insurance Intermediary will be appointed to carry on

Existing Appointing Principal(s)

Name of Principal	[redacted] Limited
File no./ Licence no. of Principal	[redacted]
Line of Business Appointed	Long Term Business (including Linked Long Term Business)
Change Line of Business Appointed	No Change

- **Selection of Form Type for this notification (for determination whether Variation of Line(s) of Business is required):**
    1. **"New or Change Appointment (Form N2)"; or**
    2. **"New or Change Appointment (Form N2) + Varying Line(s) of Business (Form A6)" (Note: this Form Type is not applicable to Insurance Agencies applying for variation of line of business.)**

- **By default, Form Type "New or Change Appointment (Form N2)" is selected.**
- **If Form Type "New or Change Appointment (Form N2) + Varying Line(s) of Business (Form A6)" is selected, a new section "Proposed Variation of LoB" will be shown. Please select the "LoB proposed to be specified in the Subject Licensee's Licence" for the subject licensee.**
- **Principal may add IIQE record(s) for the subject licensee or leave it to the subject licensee to provide information and relevant supporting document later when he/ she confirm the appointment.**


Line(s) of Business ("LoB") may carry on | General Business

Form Type | New or Change Appointment (Form N2) + Varying Line(s) of Business (Form A6)

Proposed Variation of LoB

Please provide details of the proposed variation of the LoB specified in the Subject Licensee's licence as a Licensed Insurance Intermediary.

LoB proposed to be specified in the Subject Licensee's Licence | General & Long Term Business (excluding Linked Long Term Business)

Insurance Intermediaries Qualifying Examinations ("IIQE")

Please provide supporting documents of the IIQE taken by the Subject Licensee in respect of the proposed LoB stated above the Subject Licensee intends to carry on as a Licensed Insurance Intermediary.

IIQE

Examination Paper

Examination Result: Passed / Exempted / Grandfathered

Attachment: SELECT FILES

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

Add

11.2.1 Collaborating Insurance Group arrangement

[Applicable to Authorized Insurers only]

- **In order to streamline the relevant licensing notification processes for <u>Licensed Individual Insurance Agents</u>, we have introduced the Collaborating Insurance Group ("CIG") arrangement, which is used for collaborative arrangement between insurers, including insurance companies within the same group and Life Insurers collaborating with designated General Insurers.**

- **A CIG consists of a *CIG primary company* and one or more *CIG member(s)*, under the CIG arrangement, only the *CIG primary company* is required to login its IIC account to add/ terminate appointment of Licensed Individual Insurance Agent(s) with *CIG primary company* and *CIG member(s)* within the CIG.**

- **To apply the CIG arrangement, the relevant licensing notification processes must be initiated by the *CIG primary company*.**

- **An Insurer can only be a *CIG primary company* of one CIG but may be a *CIG member* of multiple CIGs.**

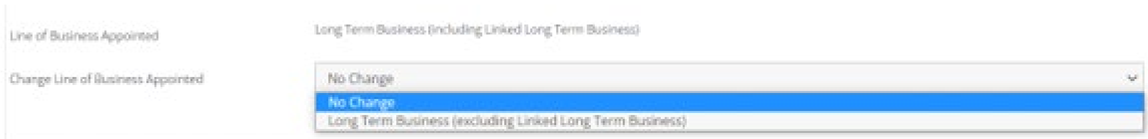
- **Collaborative insurers are required to complete the designated authorization form to notify the IA (by sending completed form to licensing@ia.org.hk), with all *CIG member(s)* agreeing to authorize the *CIG primary company* to act as its/ their representative for the sole purpose of making the required statutory notifications:**

3) the appointment of Licensed Individual Insurance Agent(s) on the same date; and
4) the termination of appointment of Licensed Individual Insurance Agent(s) on the same effective date (optional).

- Interested Insurers may contact the IA by email (licensing@ia.org.hk) to obtain the designated authorization form and send the completed form to the IA via email (licensing@ia.org.hk).

11.3 Change the LoB appointed by the Existing Appointing Principal(s)

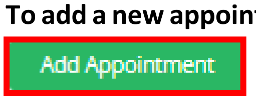
- Depending on the LoB (after variation, if selected) the subject licensee and the Existing Appointing Principal(s) may carry on, the LoB appointed by the Existing Appointing Principal(s) may be changed by selecting the available LoB from the drop down menu of "Change Line of Business Appointed".



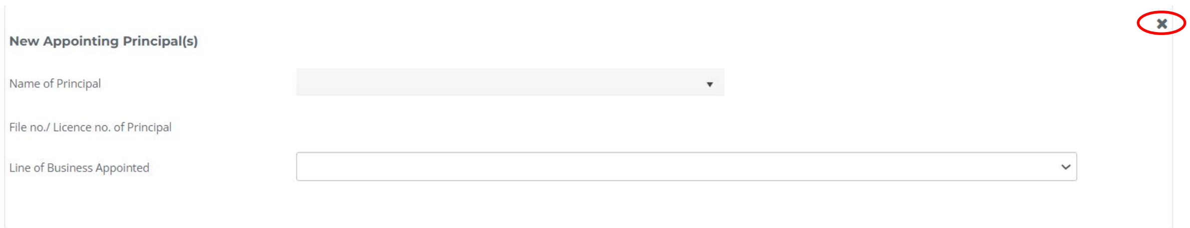
11.4 Add new appointment with new Appointing Principal(s)

- Since a TRA can only be appointed by one Licensed Insurance Agency, if the Initiating Principal is a Licensed Insurance Agency but not the Existing Appointing Principal of the subject licensee, the new Appointing Principal must be the Initiating Principal, the PAA is only required to select the LoB to be appointed.

- To add a new appointment for INDs or TRBs, the PAA may click "*Add Appointment*" button.



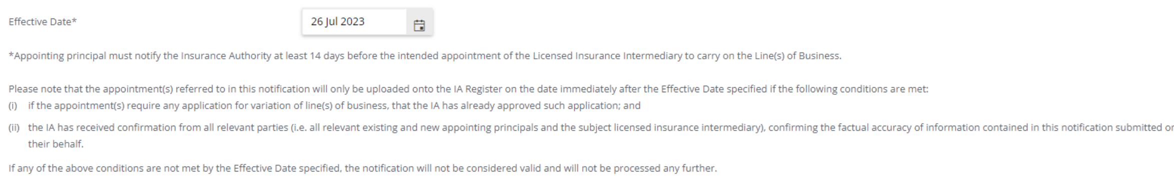
- Then select the new Appointing Principal from the drop down menu and the LoB to be appointed. To remove the input box of new Appointing Principal, click the "x" in the top right corner of the input box.



- **To add additional new appointment, click "*Add Appointment*" button again to proceed.**

11.5 Effective Date of the process

- **Pursuant to the requirements of Section 64Q of the Insurance Ordinance (Cap. 41), the default value of Effective Date is set to be 14 days after the initiation date of the process.**



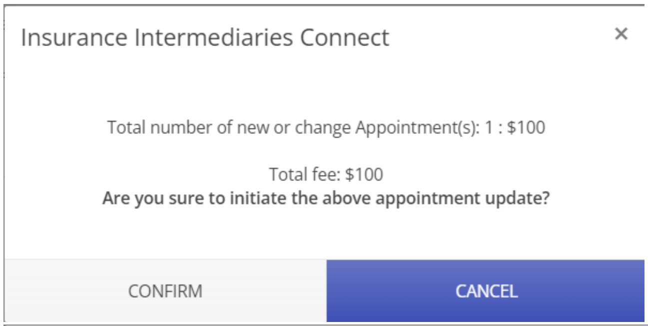
- **The maximum value is the Licence Period end date (for active licensees) or licence revocation date (for suspended licensees).**

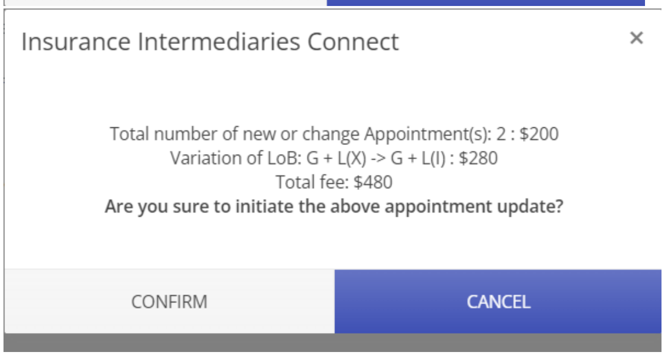
- **The PAA may amend the Effective Date where necessary, however, the amended date must be more than 14 days after the initiation date of the process but less than or equals the maximum value stated above.**

11.6 Confirmation of the process

- **By confirming that the inputted information is correct, the PAA may then click the button "*Confirm*" to confirm the New or Change appointment notification.**

- **After confirmation, a message box showing the licensing fee required will be prompted:**

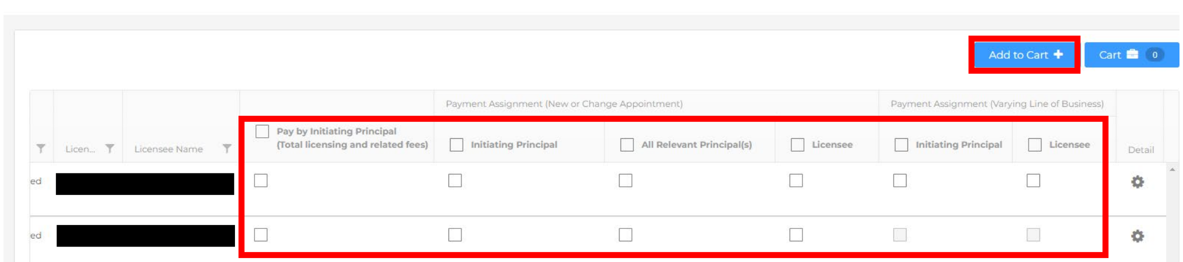




- The licensing fee is based on the number of notification of appointments (no matter it is a new appointment or a change of appointment by existing appointing principal(s)); and if Form Type is “New or Change Appointment (Form N2) + Varying Lines of Business (Form A6)”, the fee for varying line of business varies with the additional line of business and the duration between the date of application and licence expiry date. For details, **please refer to the fees table available at the IA’s website (https://www.ia.org.hk/en/supervision/reg_ins_intermediaries/licensing_and_related_fees.html).**

- In the Confirm Appointment (New of Change Appointment) Summary page, the initiating principal is required to select the relevant appointment record(s) and indicate which party to pay the fee, then click “Add to Cart”.

Confirm Appointment (New or Change Appointment) - Summary



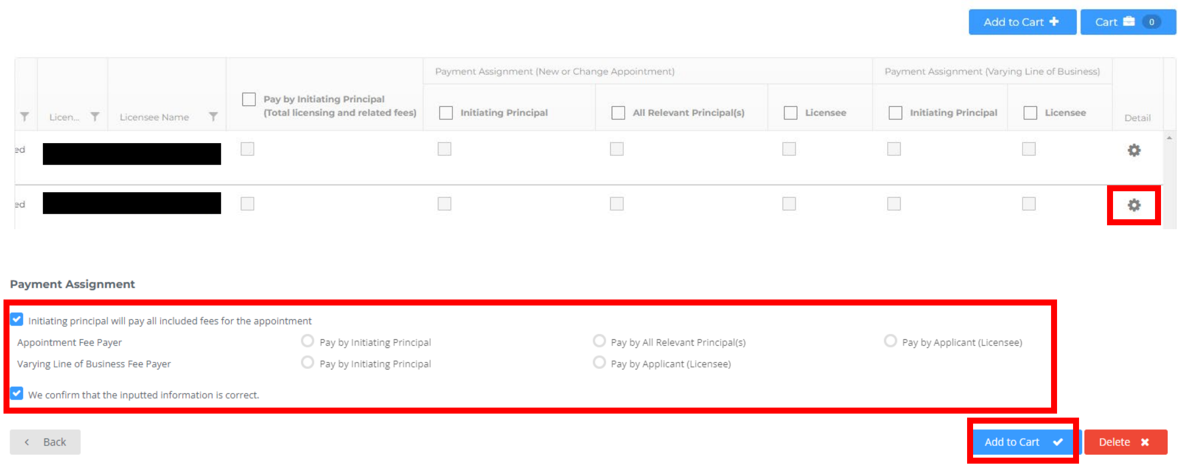
The payment assignment options are listed below:

- Pay by Initiating Principal (Total licensing and related fees)
  All Fee for New or Change Appointment(s) and Varying Line of Business, if any, to be paid the Initiating Principal
- Payment for New or Change Appointment:- Initiating Principal

All Fee for New or Change Appointment(s) to be paid the Initiating Principal

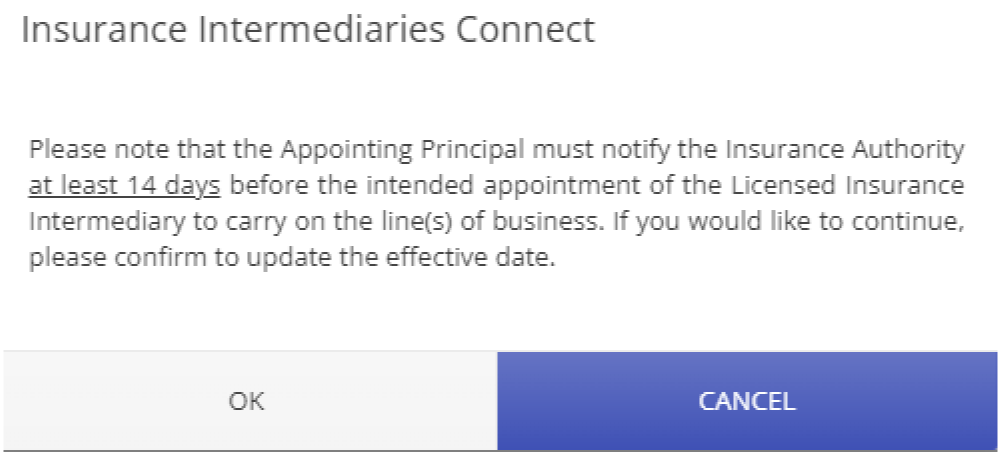
- Payment for New or Change Appointment:- All Relevant Principal(s)
  The relevant Fee for New or Change Appointment(s) to be paid the Relevant Principal(s)
- Payment for New or Change Appointment:- Licensee
  All Fee for New or Change Appointment(s) to be paid the Licensee
- Payment for Varying Line of Business:- Initiating Principal
  The fee for Varying Line of Business to be paid the Initiating Principal
- Payment for Varying Line of Business:- Licensee
  The fee for Varying Line of Business to be paid the Licensee

- **If the initiated notification(s) of New or Change Appointment is/ are not confirmed on the initiating date, the PAA must select the Detail icon of each notification to select the payment assignment option(s), confirm the correctness of the inputted information and then add it to Cart.**

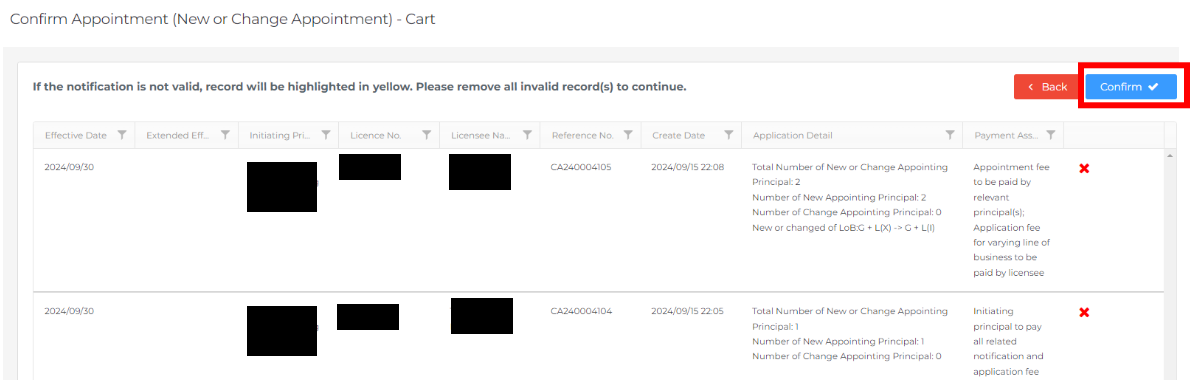


- **Pursuant to the requirements of Section 64Q of the Insurance Ordinance (Cap. 41), the appointing principal must notify the Insurance Authority at least 14 days before the intended appointment of the Licensed Insurance Intermediary to carry on the line(s) of business. As the notification date should be counted from the notification(s) confirmation date, as such, the Effective Date should be revised based on the notification(s) confirmation date (e.g. if a notification is initiated on 1 Aug 2024, the original effective date will be 15 Aug 2024, but the initiating principal confirms the notification on 4 Aug 2024, then this feature will automatically add 3 more days to the original effective date, the updated one will be 18 Aug 2024).**

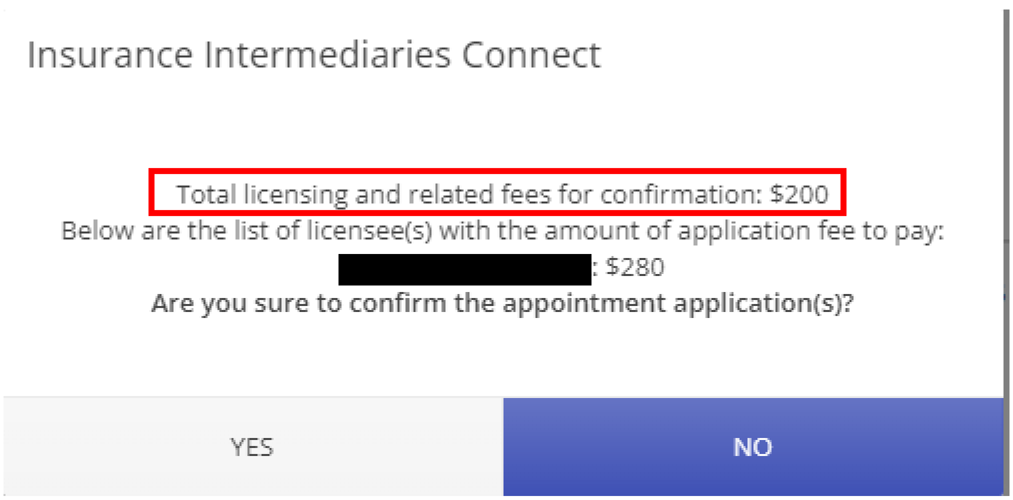
- **The PAA is required to confirm updating the Effective date of the notification based on the confirmation date.**



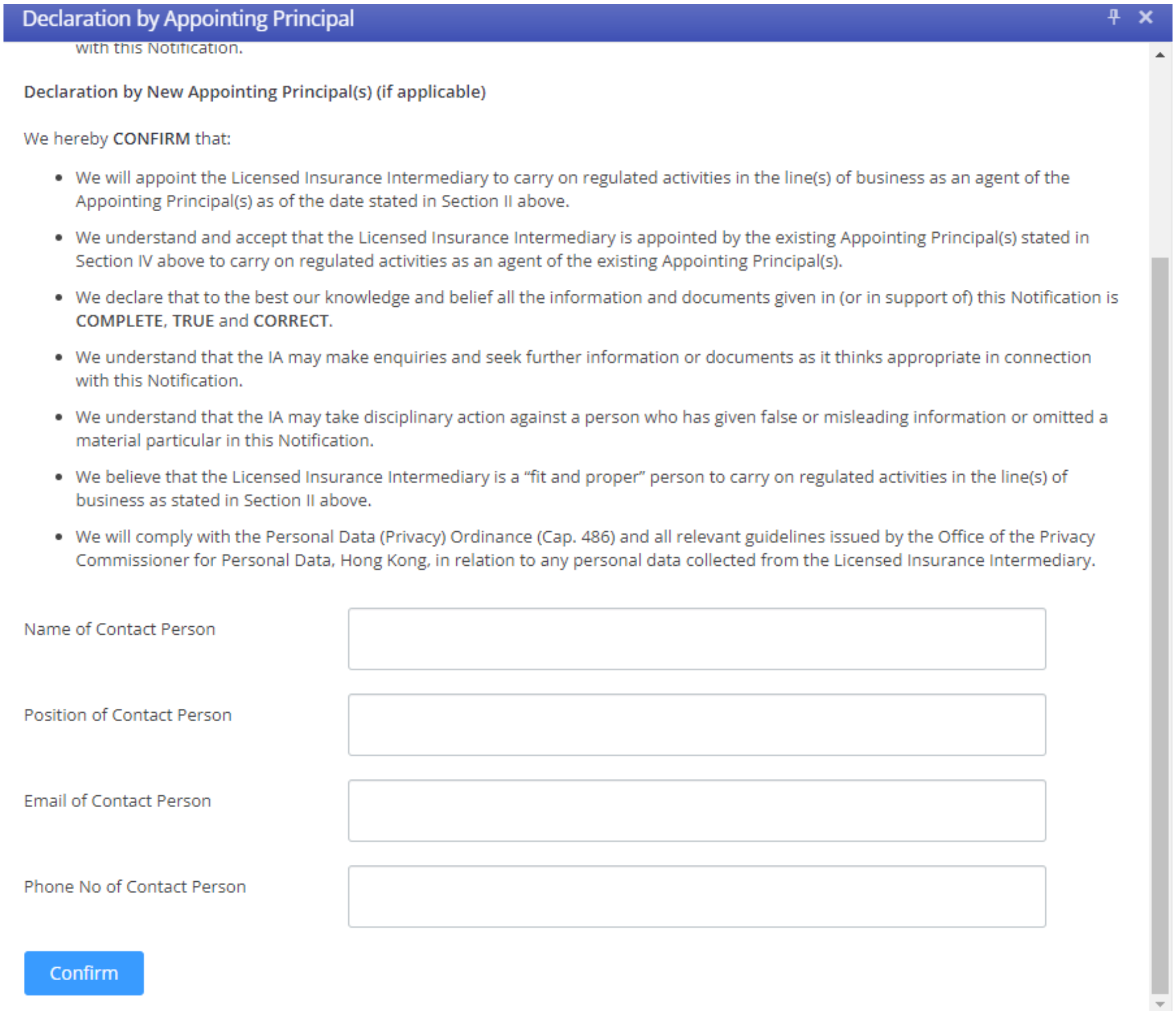
- **Then, the PAA needs to confirm the notification(s) in the Cart.**



- **The Total licensing and related fees to be paid the initiating principal will be stated for confirmation.**



- **The PAA is required to complete the Declaration by Appointing Principal.**



Declaration by Appointing Principal

with this Notification.

Declaration by New Appointing Principal(s) (if applicable)

We hereby **CONFIRM** that:

- We will appoint the Licensed Insurance Intermediary to carry on regulated activities in the line(s) of business as an agent of the Appointing Principal(s) as of the date stated in Section II above.
- We understand and accept that the Licensed Insurance Intermediary is appointed by the existing Appointing Principal(s) stated in Section IV above to carry on regulated activities as an agent of the existing Appointing Principal(s).
- We declare that to the best our knowledge and belief all the information and documents given in (or in support of) this Notification is **COMPLETE**, **TRUE** and **CORRECT**.
- We understand that the IA may make enquiries and seek further information or documents as it thinks appropriate in connection with this Notification.
- We understand that the IA may take disciplinary action against a person who has given false or misleading information or omitted a material particular in this Notification.
- We believe that the Licensed Insurance Intermediary is a "fit and proper" person to carry on regulated activities in the line(s) of business as stated in Section II above.
- We will comply with the Personal Data (Privacy) Ordinance (Cap. 486) and all relevant guidelines issued by the Office of the Privacy Commissioner for Personal Data, Hong Kong, in relation to any personal data collected from the Licensed Insurance Intermediary.

Name of Contact Person

Position of Contact Person

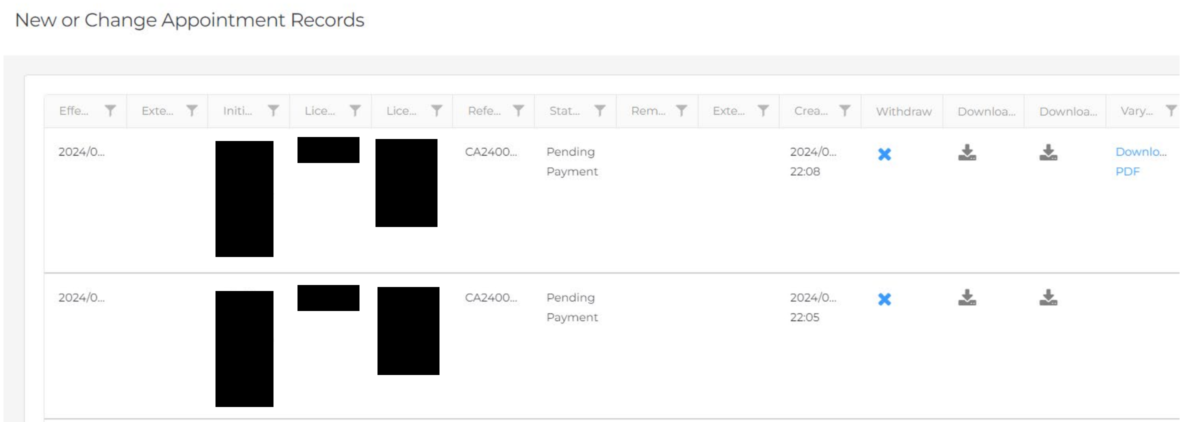
Email of Contact Person

Phone No of Contact Person

Confirm

- **An OTP will be sent to the designated mobile number selected via SMS and the PAA is required to provide the OTP within 5 minutes. If the PAA is unable to receive the OTP, he/ she can click the "*Re-send*" button to request a new OTP.**

- **After confirmation, the notification(s) will be added to the page "New or Change Appointment Records".**



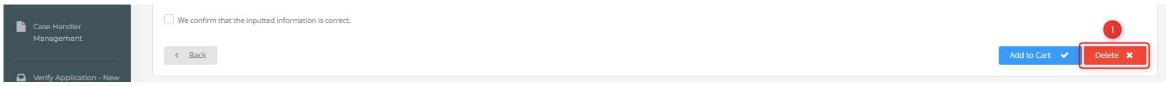
New or Change Appointment Records

Effe...	Exte...	Initi...	Lice...	Lice...	Refe...	Stat...	Rem...	Exte...	Crea...	Withdraw	Downloa...	Downloa...	Vary...
2024/0...		[redacted]	[redacted]	[redacted]	CA2400...	Pending Payment			2024/0... 22:08				Downlo... PDF
2024/0...		[redacted]	[redacted]	[redacted]	CA2400...	Pending Payment			2024/0... 22:05				

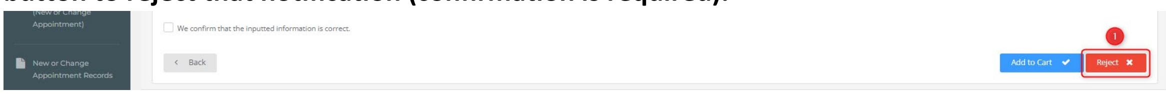
- **For payment of fees involved, please refer to Section 16. “Payment” for details.**

11.7 Deletion/ Rejection of notification(s) by Principal(s)

- **Deletion of notification(s) may be performed by Initiating Principal only. In the detail page of a particular notification, the PAA may click "*Delete*" button to delete that notification (confirmation is required).**

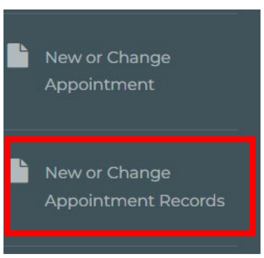


- **Rejection of notification(s) may be performed by other Principal(s) involved in a notification only. In the detail page of a particular notification, the PAA may click "*Reject*" button to reject that notification (confirmation is required).**

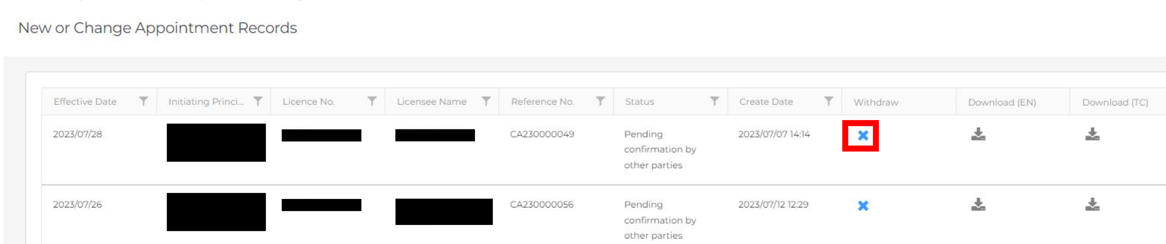


11.8 To view the status and download the notifications in PDF format

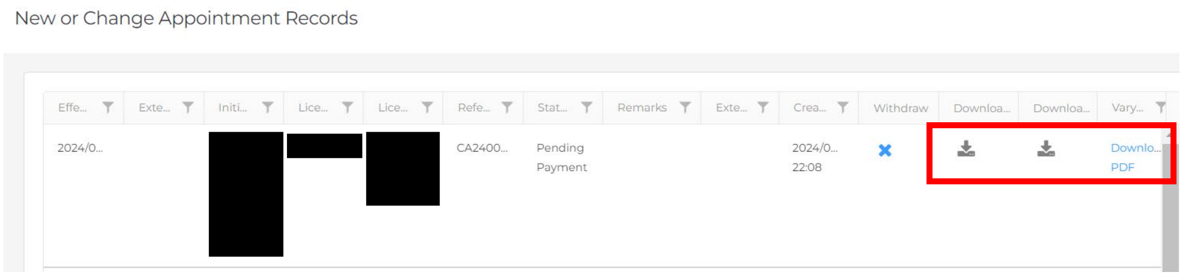
- **The PAA may click the "*New or Change Appointment Records*" to view the status and download the notifications in PDF format:**



- **Initiating principal may withdraw a notification if the Status is "Pending confirmation by other parties" by clicking the withdraw icon.**



- **Appointing principal(s) may download the N2 and/ or A6 in PDF format.**

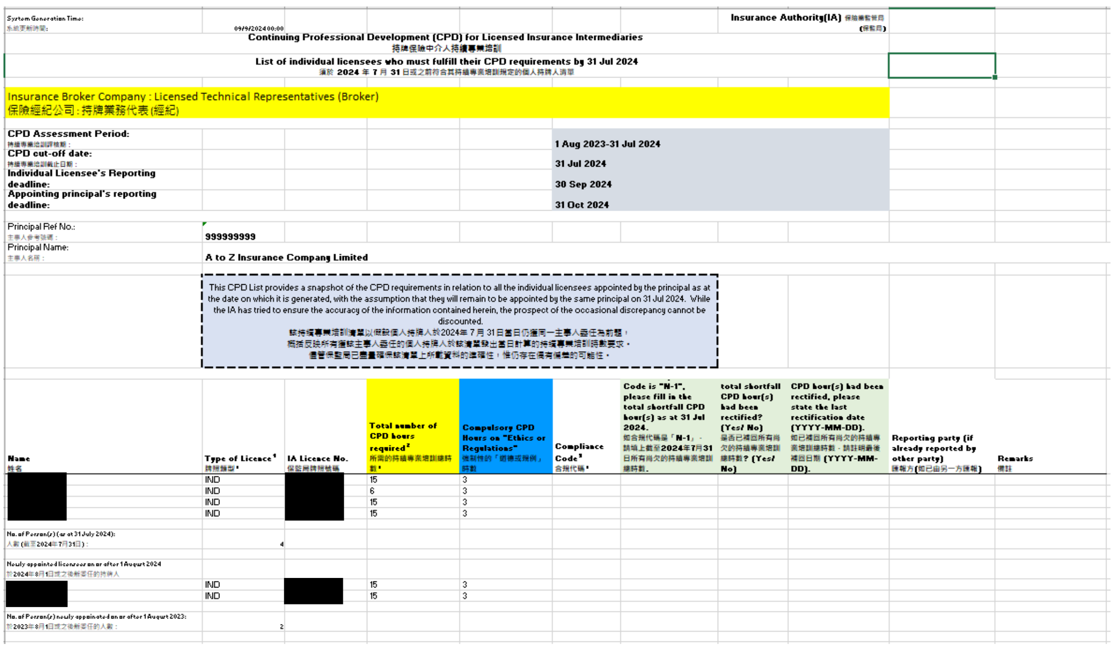


12. CPD Reporting

12.1 Downloading and completion of CPD List

- **With regard to downloading of CPD List, please refer to section 9.3 above.**

- **Below is a specimen of the CPD List:**



System Generation Time: 09/9/2024 00:00

Insurance Authority(IA)

Continuing Professional Development (CPD) for Licensed Insurance Intermediaries

持牌保險中介人持續專業培訓

List of individual licensees who must fulfill their CPD requirements by 31 Jul 2024

Insurance Broker Company : Licensed Technical Representatives (Broker)

保險經紀公司 : 持牌業務代表 (經紀)

CPD Assessment Period: 1 Aug 2023-31 Jul 2024

CPD cut-off date: 31 Jul 2024

Individual Licensee's Reporting deadline: 30 Sep 2024

Appointing principal's reporting deadline: 31 Oct 2024

Principal Ref No.: 999999999

Principal Name: A to Z Insurance Company Limited

This CPD List provides a snapshot of the CPD requirements in relation to all the individual licensees appointed by the principal as at the date on which it is generated, with the assumption that they will remain to be appointed by the same principal on 31 Jul 2024. While the IA has tried to ensure the accuracy of the information contained herein, the prospect of the occasional discrepancy cannot be discounted.

Name	Type of Licence[1]	IA Licence No.	Total number of CPD hours required[2]	Compulsory CPD Hours on "Ethics or Regulations"	Compliance Code[3]	Code is "N-1", please fill in the total shortfall CPD hour(s) as at 31 Jul 2024.	total shortfall CPD hour(s) had been rectified? (Yes/ No)	CPD hour(s) had been rectified, please state the last rectification date (YYYY-MM-DD).	Reporting party (if already reported by other party)	Remarks
[redacted]	IND	[redacted]	15	3						
	IND		6	3						
	IND		15	3						
	IND		15	3						
No. of Person(s) (as at 31 July 2024):	4									
Newly appointed licensees on or after 1 August 2024										
[redacted]	IND	[redacted]	15	3						
	IND		15	3						
No. of Person(s) newly appointed on or after 1 August 2023:	2									

- **An appointing principal must, in its CPD List, indicate the compliance status for each of its individual licensees using the following codes (the priority of the codes is listed below in descending order):**

Code	Explanation
Y	**The individual licensee has completed his/her CPD hours for the current assessment period by 31 July and submitted his/her CPD Declaration Form to the principal by 30 September.**
N-1	**The individual licensee has not completed the CPD hours required for the current assessment period by 31 July.**
N-2	**The individual licensee has not submitted a completed CPD Declaration Form to the appointing principal by 30 September.**
N/A	**The individual licensee has not appointed the principal, as the principal responsible for reporting the individual licensee's CPD compliance to the IA.**
NR	**The individual licensee was not required to complete any CPD hour for the current assessment period.**

- **The CPD List will be updated by the IA on a daily basis for appointing principal to keep track of the CPD status of their appointed individual licensees. The final CPD List showing the status of the appointed individual licensees for each appointing principal as at 31 July will be available in [IIC](#) on 1 August.**

- **From 1 August onwards, an additional list of newly appointed individual licensees who are appointed after 31 July (if any), will be appended to the original CPD list of appointed individual licensees as at 31 July, in order to facilitate appointing principal to monitor the CPD compliance status of their newly appointed individual licensees who are appointed after 31 July. Appointing principals may also report the CPD compliance status for these newly appointed individual licensees as appropriate.**

Name 姓名	Type of Licence[1] 牌照類型[1]	IA Licence No. 保監局牌照號碼	Total number of CPD hours required[2] 所需的持續專業培訓總時數[2]	Compulsory CPD Hours on "Ethics or Regulations" 強制性的「道德或規例」時數	Compliance Code[3] 合規代碼[3]	If the Compliance Code is "N-1", please fill in the total shortfall CPD hour(s) as at 31 Jul 2024. 如合規代碼是「N-1」，請填上截至2024年7月31日所有尚欠的持續專業培訓總時數.	Whether the total shortfall CPD hour(s) had been rectified? (Yes/ No) 是否已補回所有尚欠的持續專業培訓總時數?(Yes/ No)	If the total shortfall CPD hour(s) had been rectified, please state the last rectification date (YYYY-MM-DD). 如已補回所有尚欠的持續專業培訓總時數，請註明最後補回日期 (YYYY-MM-DD).	Reporting party (if already reported by other party) 匯報方(如已由另一方匯報)	Remarks 備註
[redacted]	IND	[redacted]	15	3						
	IND		6	3						
	IND		15	3						
	IND		15	3						
No. of Person(s) (as at 31 July 2024): 人數 (截至2024年7月31日) :	4									
Newly appointed licensees on or after 1 August 2024 於2024年8月1日或之後新委任的持牌人										
[redacted]	IND	[redacted]	15	3						
	IND		15	3						
No. of Person(s) newly appoinated on or after 1 August 2023:	2									

- **Please note that when submitting a CPD List to IA via IIC, an appointing principal should only include in the CPD List the appointed individual licensees that it is reporting on with compliance code completed for each of these licensees.**

- **Please also note that if an appointing principal is reporting on any of its individual licensees on or before 31 July, it will only be able to do so if their compliance code is "Y" i.e. they have completed the CPD hours they were required to complete.**

- **For those individual licensees with reported compliance code "N-1", an appointing principal may only report these after 31 July. When doing so, please fill in the total CPD hour(s) shortfall as at 31 July for each such licensee in the column next to the compliance code.**

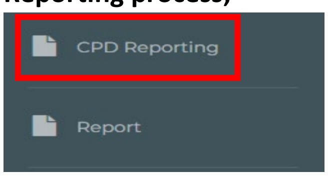
- **Note that for individual licensees who are <u>not</u> required to earn any CPD hour for the relevant assessment period, the compliance code 'NR' has been pre-populated in the CPD Lists. These individual licensees are not required to report their CPD Declarations to the IA for the corresponding assessment period.**

- **For individual licensees who have self-reported their CPD Declaration via IIC directly to the IA, their reported compliance status will also be pre-populated in the CPD Lists. Appointing principals should verify the pre-populated compliance stats self-reported by their individual licensees against the principal's own internal records and advise any** individual licensee who has reported the wrong information to amend their CPD Declaration if necessary.

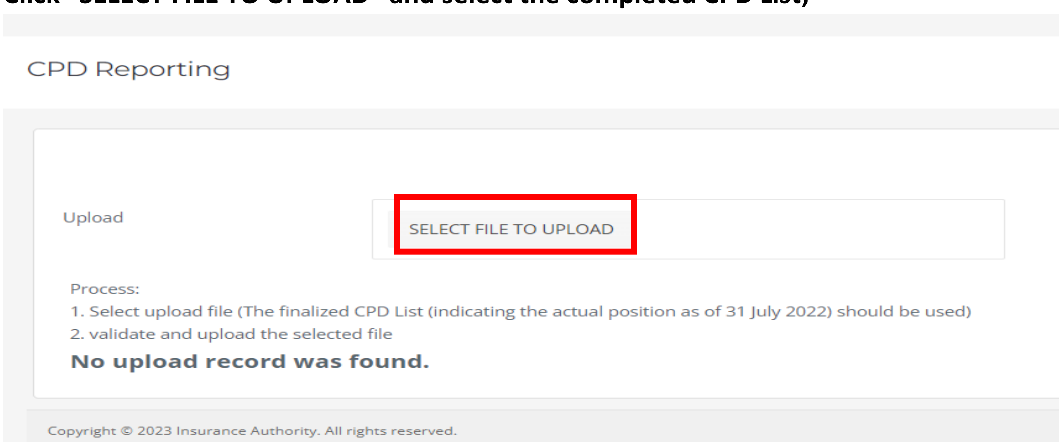
- An appointing principal may delete from the CPD List it submits to the IA, the records of individual licensees (i) who are not required to earn any CPD hours during the current Assessment Period; or (ii) who have already self-reported their CPD Declarations directly to the IA via IIC; or (iii) whose compliance status have been reported by another appointing principal.

12.2 Uploading of CPD List

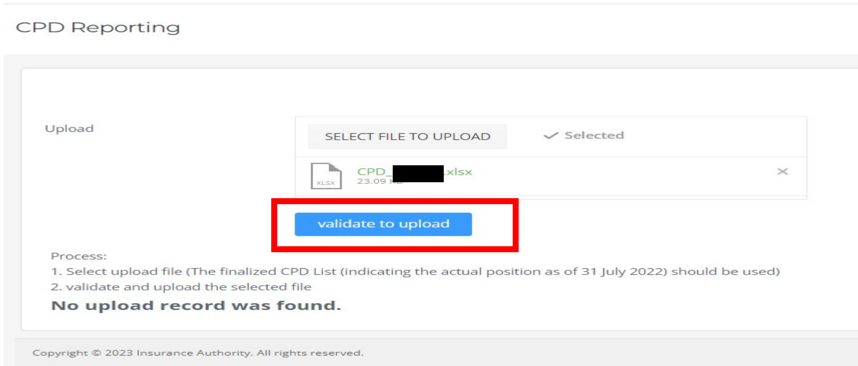
- **To submit completed CPD List to IA, please follow the steps below:**
  1) **After logging into the IIC, the PAA may click "*CPD Reporting*" to start the CPD Reporting process;**



  2) **Click "SELECT FILE TO UPLOAD" and select the completed CPD List;**

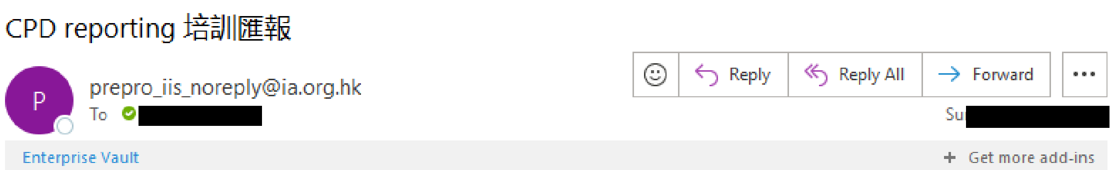


  3) **Click "Validate to upload" to check the format and version of the CPD List, and upload the select CPD List to IA.**



4) **An OTP will be sent to the designated mobile number selected via SMS and the PAA is required to provide the OTP within 5 minutes. If the PAA is unable to receive the OTP, he/ she can click the "*Re-send*" button to request a new OTP.**

- **After the upload of CPD List, an email with Subject "CPD reporting" will be generated by system and sent to the Principal's Designated Email Address, which is stored in the function "Designated Mobile Number, Designated Email Address and Password for Document Download", to confirm the CPD List has been received by the Insurance Authority. Below is a specimen of the email:**



Dear Sirs,

This is to confirm that your uploaded CPD List has been received by the Insurance Authority. Please be reminded that should there be any individual licensee(s) with compliance code "N-1" reported in the CPD List, you are required to send the relevant CPD Declaration Form(s) together with CPD proof, if any, in PDF format to our email address cpdreporting@ia.org.hk for our further handling.

Licensing Team
Market Conduct Division
Insurance Authority

敬啟者:

謹此確認保險業監管局已收悉 貴公司上載的培訓清單。請注意，假如在培訓清單中有任何個人持牌人所匯報的合規代碼為"N-1"， 貴公司需要將相關的持續專業培訓聲明書連同培訓證明 (如有)，以 PDF 格式發送至本局的電子郵件地址 cpdreporting@ia.org.hk，以便本局作進一步處理。

保險業監管局
市場行為部
牌照組

This is a system generated email. Please do not reply.
這是由系統生成的電郵。請不要回覆。

- **If the reported CPD Compliance Code of the licensee(s) is/ are not accepted, e.g. the Compliance Code was already reported by other principal or a Compliance Code with higher priority was self-reported by the licensee, an exception list will be appended to the aforesaid email with subject "CPD reporting (with exception list)" and sent to the Principal's Designated Email Address. Principal should utilize the exception list, clarify the compliance status with the licensee, and update the Compliance Code with the IA (if necessary). Below is a specimen of the email:**

CPD reporting (with exception list) 培訓匯報 (連例外列表)

P prepro_iis_noreply@ia.org.hk

To [redacted]

Reply | Reply All | Forward | ...

[redacted] PM

Enterprise Vault

+ Get more add-ins

Dear Sirs,

This is to confirm that your uploaded CPD List has been received by the Insurance Authority. Please be reminded that should there be any individual licensee(s) with compliance code "N-1" reported in the CPD List, you are required to send the relevant CPD Declaration Form(s) together with CPD proof, if any, in PDF format to our email address cpdreporting@ia.org.hk for our further handling.

Licensing Team
Market Conduct Division
Insurance Authority

敬啟者:

謹此確認保險業監管局已收悉 貴公司上載的培訓清單。請注意，假如在培訓清單中有任何個人持牌人所匯報的合規代碼為"N-1"， 貴公司需要將相關的持續專業培訓聲明書連同培訓證明 (如有)，以 PDF 格式發送至本局的電子郵件地址 cpdreporting@ia.org.hk，以便本局作進一步處理。

保險業監管局
市場行為部
牌照組

Exception List for CPD compliance status reported by your company not accepted
由 貴公司匯報的培訓合規情況沒有被接納的例外列表

Name 姓名	IA Licence No. 保監局牌照號碼	Compliance Code reported by your company 由 貴公司匯報的合規代碼	Compliance Code already reported 已匯報的合規代碼	Reporting party 匯報方
[redacted]	[redacted]	N-2	N-1	Self Reported on 21 Jul 2023

No. of Person(s):
人數: 1

This is a system generated email. Please do not reply.
這是由系統生成的電郵。請不要回覆。

- **In relation to all individual licensees indicated by the appointing principal to be N-1 (i.e. the individual licensee has not completed the CPD hours required by 31 July) in the CPD List, the appointing principal must also email copies of the individual licensees' CPD Declaration Forms together with the relevant supporting document(s) for the CPD hour(s) earned, if any, to cpdreporting@ia.org.hk for IA's follow-up actions. For each such appointed individual licensee, the appointing principal should include the individual licensee's supporting documents in a separate file in PDF format. Appointing principals should add their Licence Numbers (for Insurance Agencies and Insurance Broker Companies) or File Numbers (for Authorized Insurers) in the subject of the email, e.g. "CPD Reporting for N-1 cases for 2022/2023 (Licence no.: FA9999)" or "CPD Reporting for N-1 cases for 2022/2023 (File no.: 99999999)"**

- **If, following the submission of a completed CPD List to IA, an appointing principal needs to amend the reported CPD compliance status of any of its appointed individual licensee(s), it should upload the CPD List containing only those individual licensee(s) with revised compliance status in the list, via the IIC.**

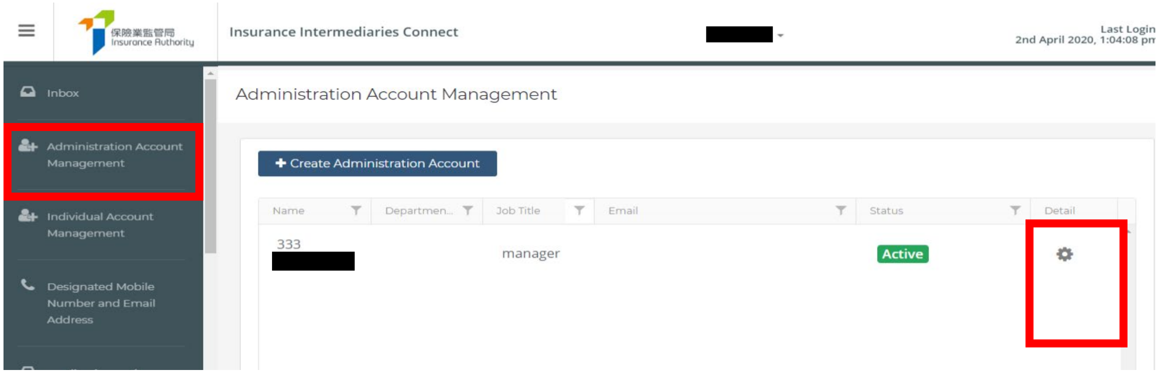
13. Search for Former Self-Regulatory Organization ("SRO") Past Registration Records

PAA with relevant access right can use this function to search for the past registration records of insurance intermediaries who had been registered with any of the three self-regulatory organizations ("SROs") prior to 23 September 2019, of which the information has been transferred from the SROs to the Insurance Authority ("IA"). For licence records of insurance intermediaries on or after 23 September 2019, please refer to the Register of Licensed Insurance Intermediaries (https://iir.ia.org.hk).

The Principal has to obtain a prior written consent from the person appointed or proposed to be appointed as the Principal's licensed insurance intermediary who is subject to the Principal's search to access his/her/its past registration records with the SROs.

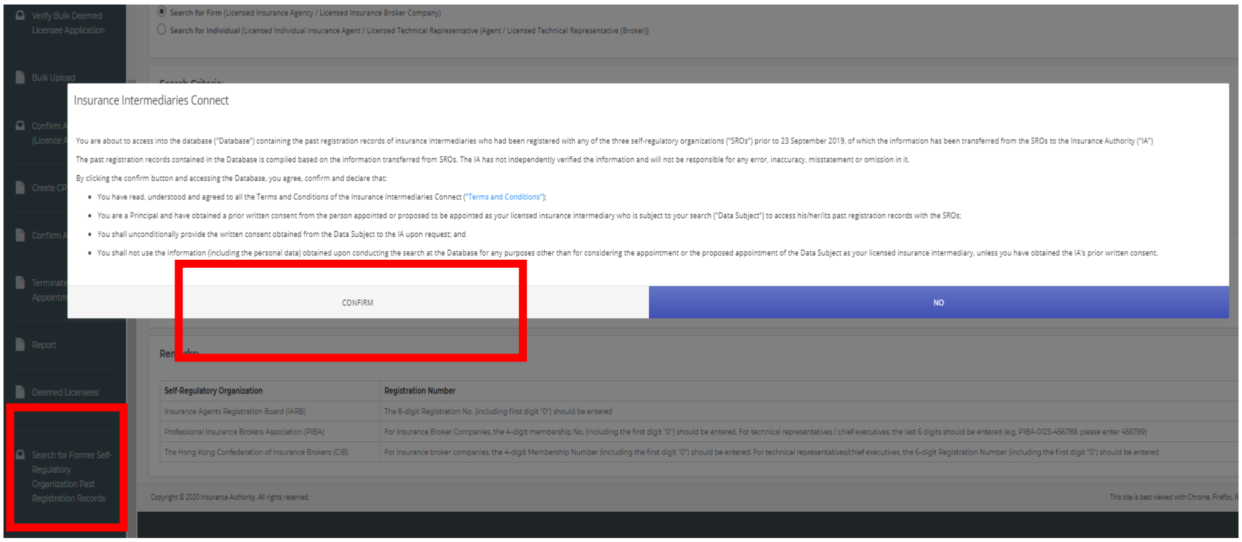
13.1 Grant of Access Right to PAA

If supervisor / alternate supervisor account owner would like to delegate the SRO search function to administration account owner, he/she should click "*Administration Account Management*", select the designated PAA and tick the box "Search for Self-Regulatory Organization Registration Records" to grant the relevant access right to the designated PAA.



13.2 Search for SRO Registration Records

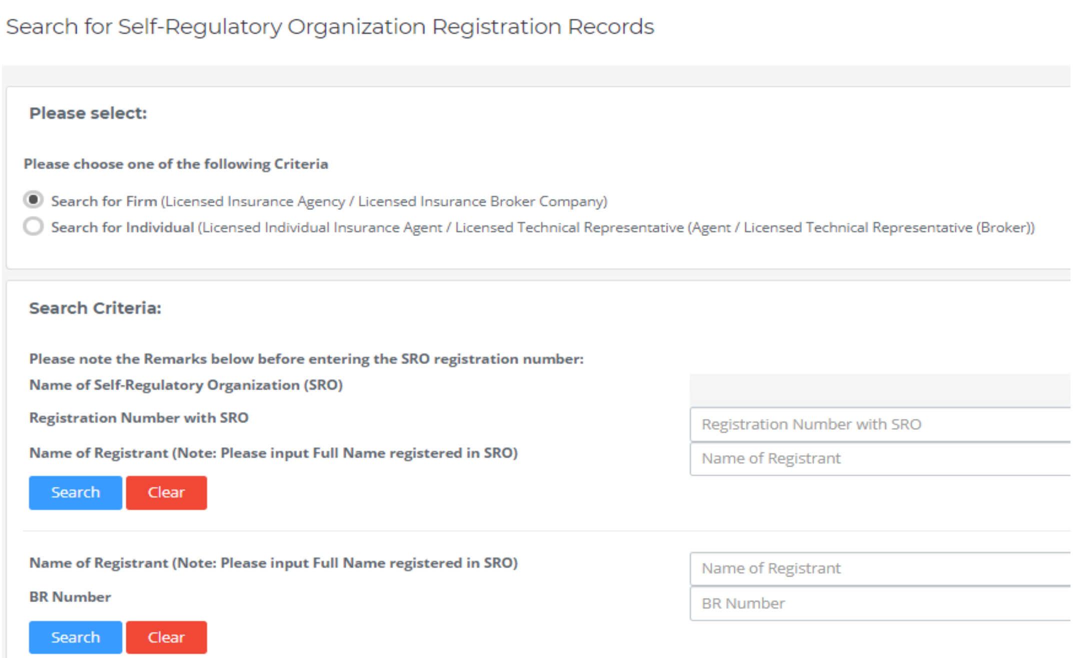
- **PAA with relevant access right can click "*Search for Self-Regulatory Organization Registration Records*" for the search. Before accessing into the Database, PAA will be required to read, understand and agree to all the terms and conditions and make relevant declaration by clicking the "Confirm" button.**



- **PAA can conduct the search by the following search criteria:**

(a) **Name of SRO, SRO Registration Number and Registrant's English Full Name registered in SRO.**

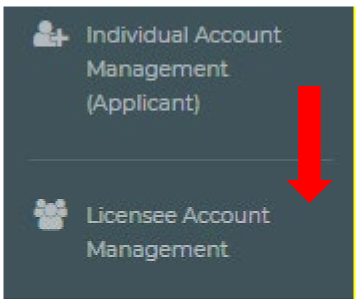
(b) **HKID Number (if the HKID No. is A123456(7), please input A1234567) for individual or the Business Registration Number for Company and Registrant's English Full Name registered in SRO.**



14. Licensee Account Management

14.1 Individual Account (Applicant) to Licensee Account

- **Upon approval of an individual's licence application, the individual account will no longer be found in "*Individual Account Management (Applicant)*". PAA shall click "*Licensee Account Management*" in order to view the details of the individual. Information such as name of license, appointment details, licence period can be found in "*Licensee Account Management*".**



14.2 Appointment and Termination of Appointment

- **When principal terminates the appointment of an individual licensee, principal will not be required to delete the licensees' IIC account. After the termination record has been updated, the licensee details will not be found in "*Licensee Account Management*".**

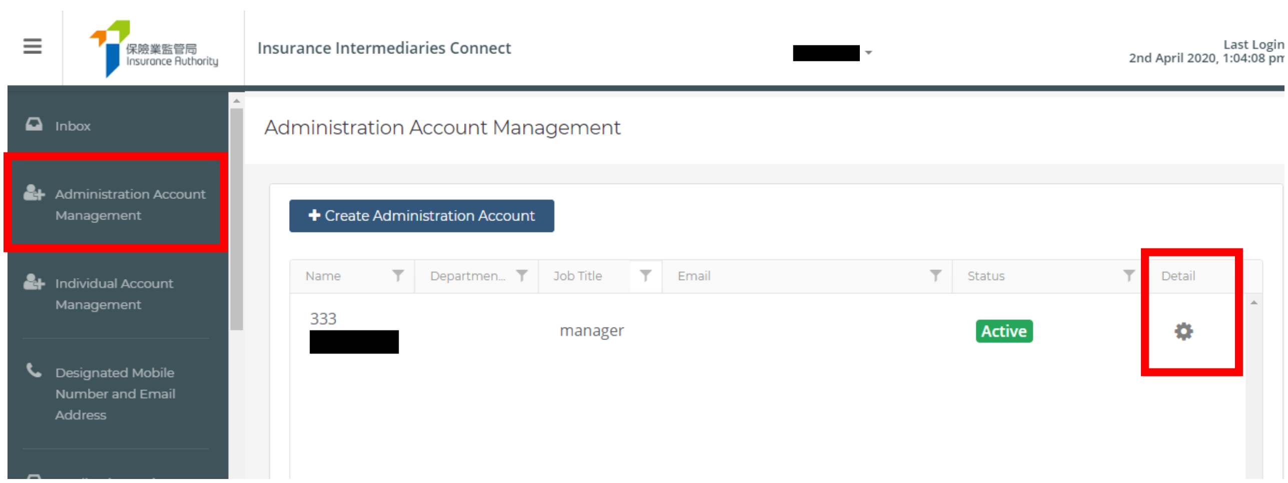
- **When principal appoints an individual licensee who has a valid IIC account, principal will not be required to create the IIC account for him/her again. After the appointment record has been updated, the licensee details can be found in "*Licensee Account Management*".**

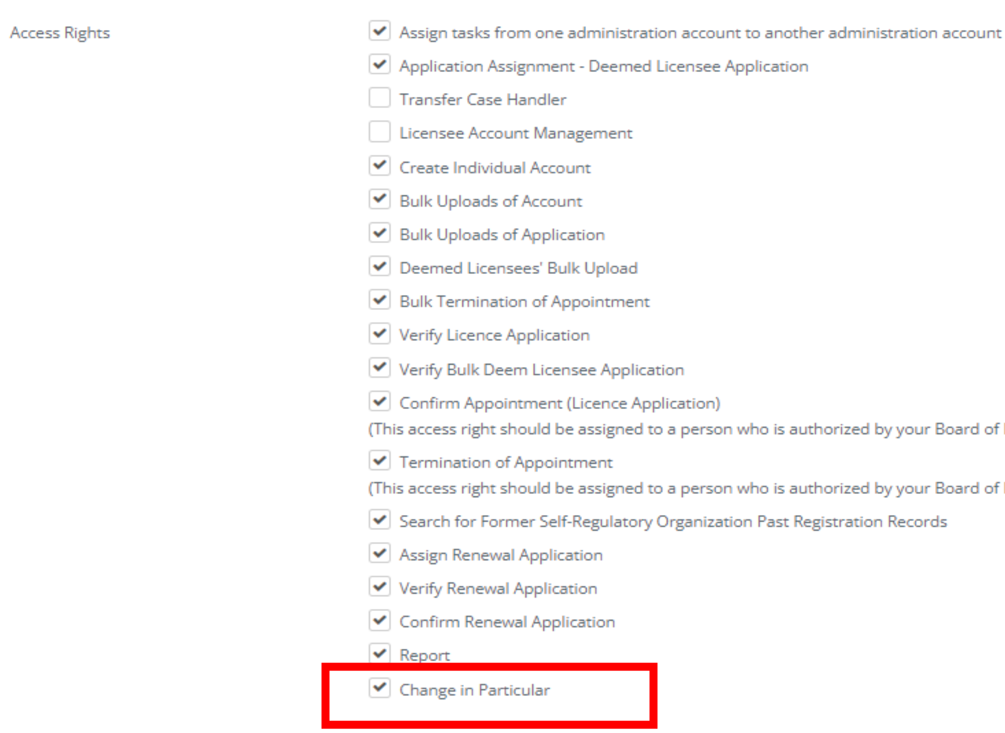
15. Change in Particulars

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

15.1 Grant of Access Right to PAA

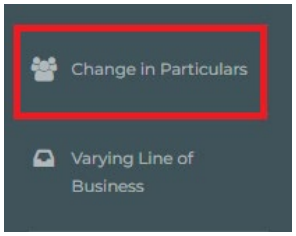
If supervisor / alternate supervisor account owner would like to delegate the change in particulars function to administration account owner, he/she should click "*Administration Account Management*", select the designated PAA and tick the box "Change in Particulars" to grant the relevant access right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



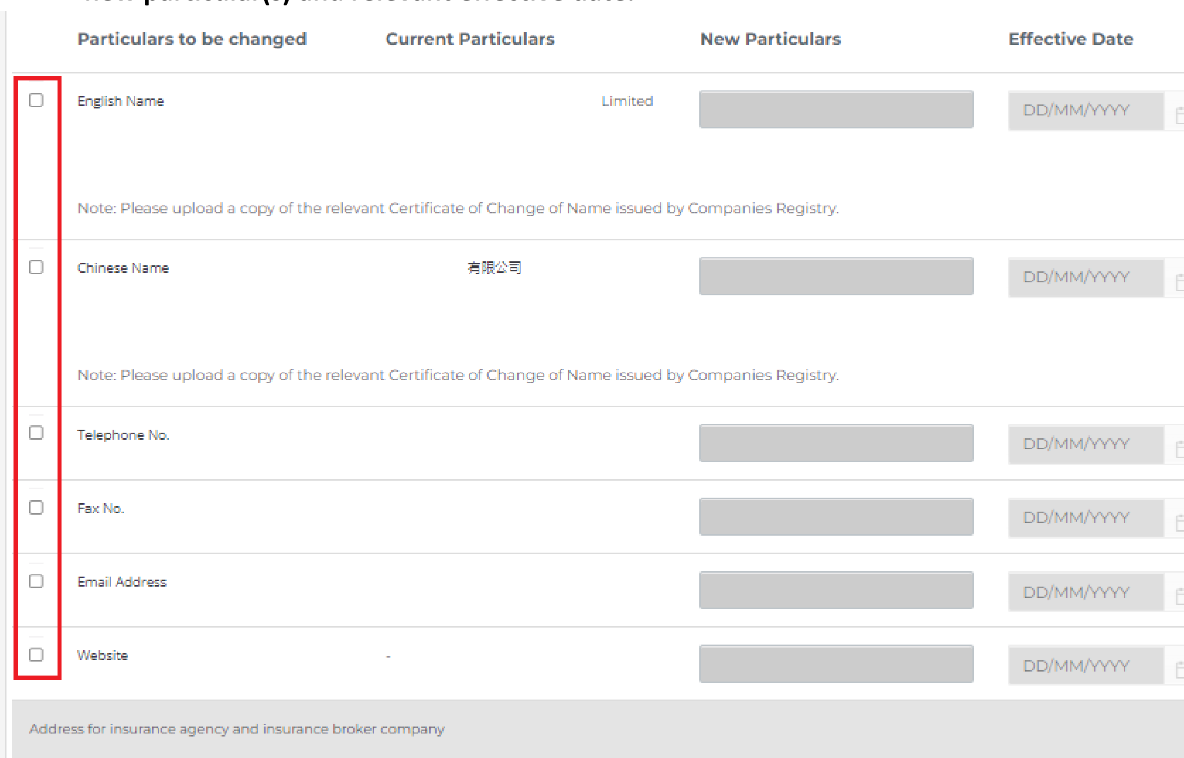


15.2 Notification of Change in Particulars

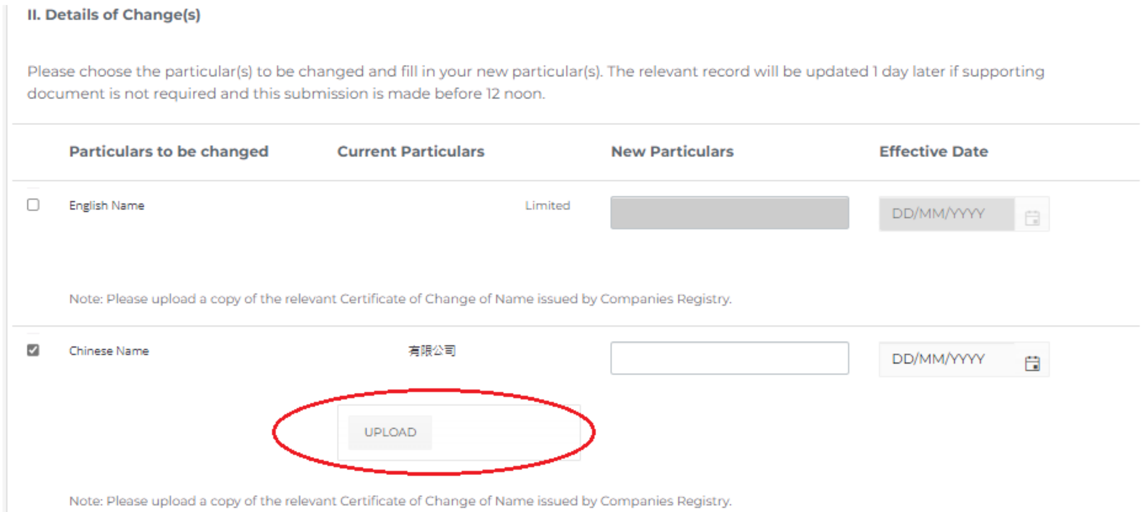
- **After logging into the IIC, PAA may click "*Change in Particulars*" to start the change of particulars process.**



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



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



- **By confirming all information is true and accurate, PAA may then click the button "*Submit*" for the IA's handling.**

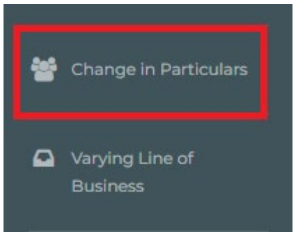
- **The PAA will have to select the designated mobile number of the principal (as set by the supervisor account owner) from the drop-down menu for receiving the OTP via SMS. He/ she is required to provide the OTP within 5 minutes. If the OTP was not received, licensee can click the "Re-send" button to 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.**

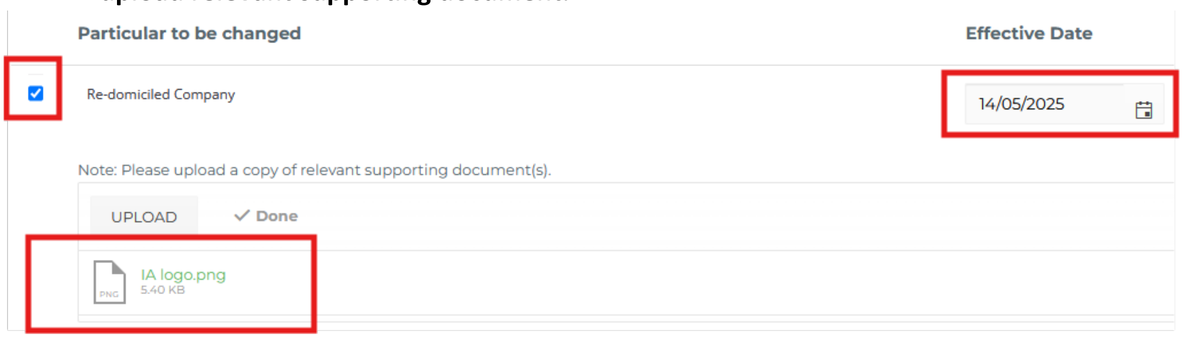
- **Please note that "*Change in Particulars*" function will be disabled when there is another notification submitted to the IA and such change is still being processed by the IA.**

15.3 Notification of Becoming a Re-domiciled Company

- **If PAA needs to make the notification of becoming a re-domiciled company, he/she should click "Change in Particulars".**



- **Then, please click the box of Re-domiciled Company and fill in the effective date and upload relevant supporting document.**



- **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.**

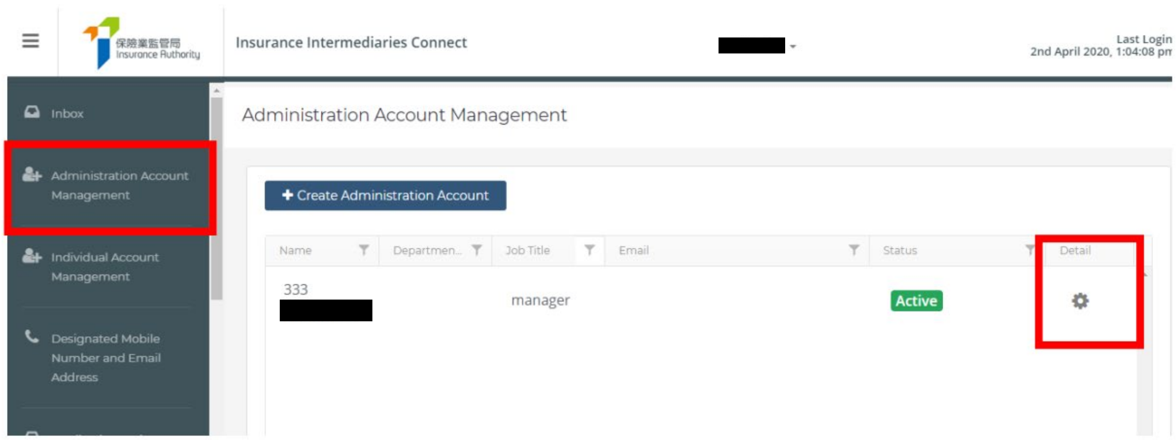
- **Please note that "*Change in Particulars*" function will be disabled when there is another notification submitted to the IA and such change is still being processed by the IA.**

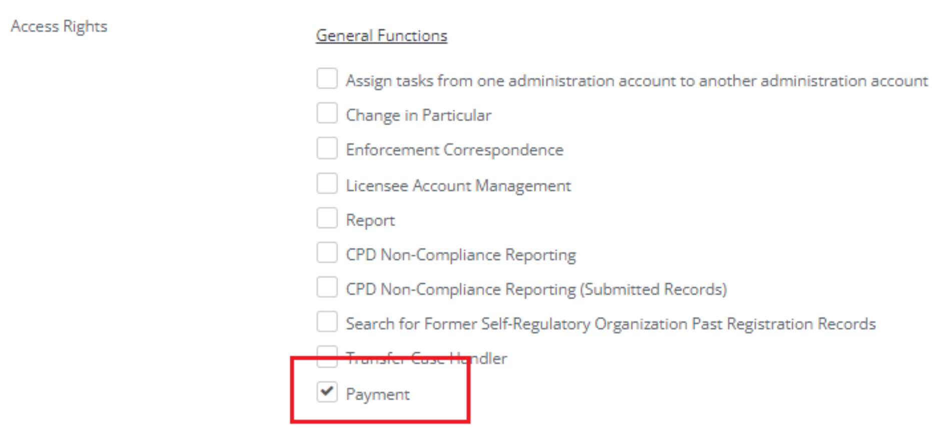
16. Payment

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).

16.1 Grant of Access Right to PAA

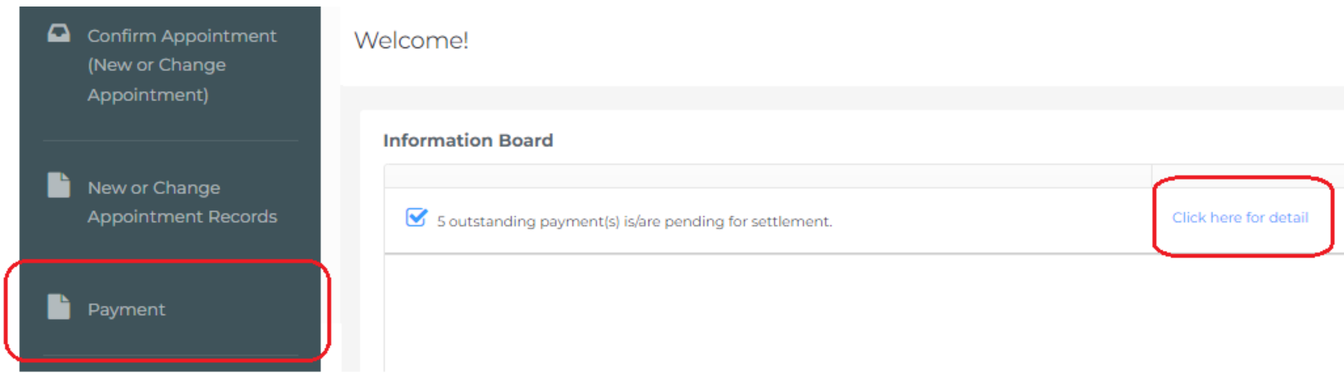
Supervisor / alternate supervisor account owner should click "*Administration Account Management*", select the designated PAA and tick the box "Payment" to grant the relevant access right to the designated PAA.





16.2 Outstanding Payment Records

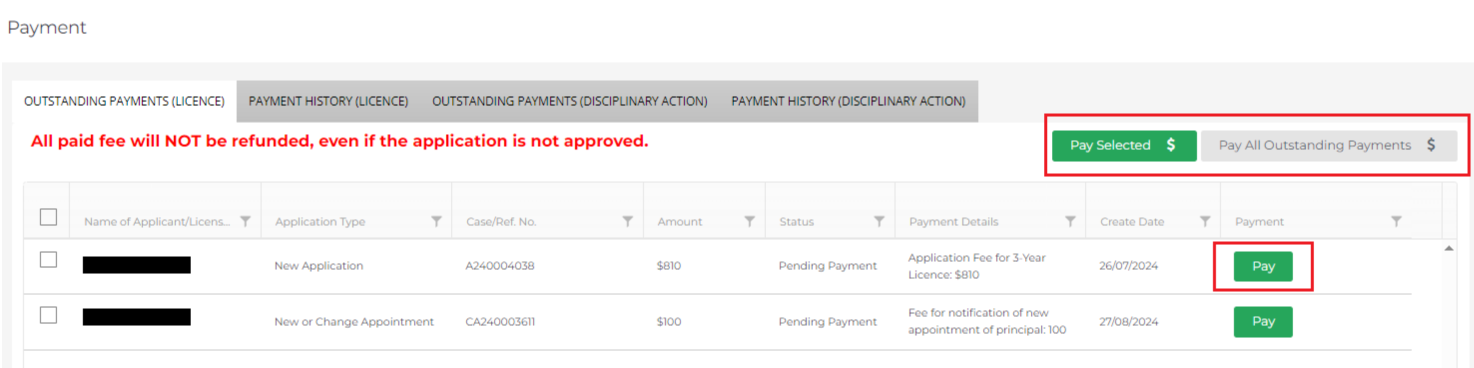
- **When there is outstanding payment pending settlement, reminder message will be displayed in the Information Board if the PAA account has the access right for "Payment". The PAA may click "*Click here for details*" or "*Payment*" at the menu bar to check outstanding payment record(s), settle the payment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



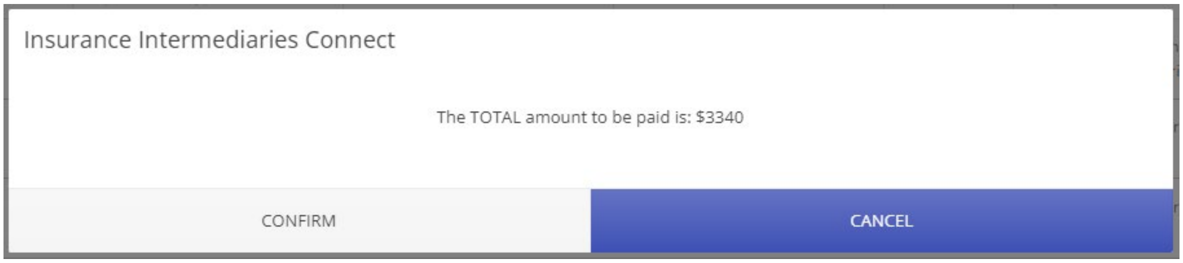
- **When there is an application or a notification which relevant licensing fee was selected to be paid by the PAA's relevant principal, relevant payment entry will be added to the list of "*Outstanding Payments (Licence)*".**
  Remarks: Payment entry will not be added here if relevant fee was selected to be paid by Applicant or other Principal. Selected payer and payment status could be found 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..**

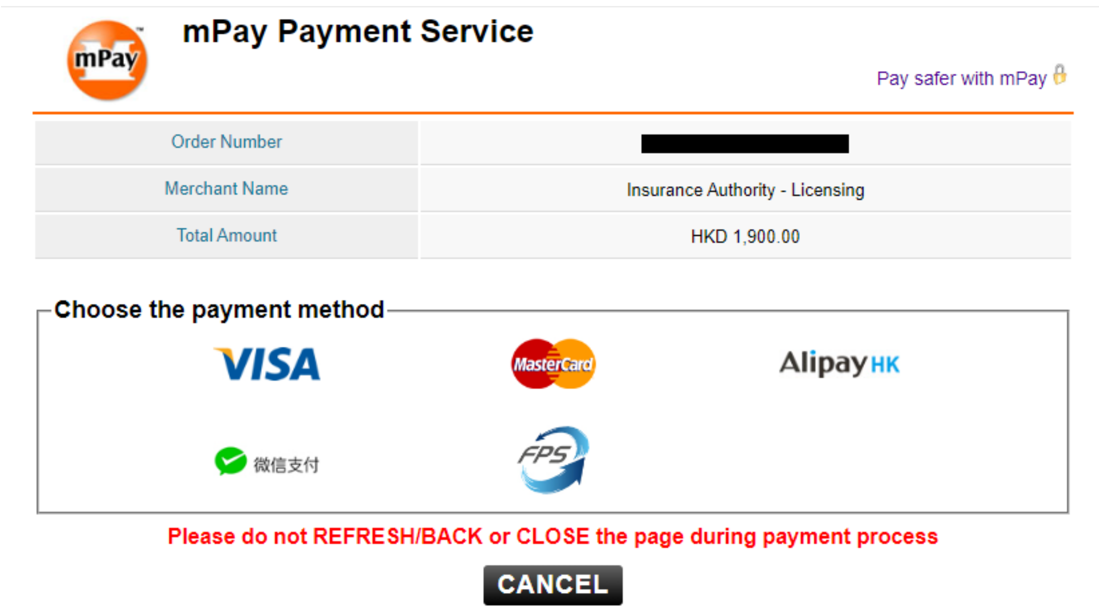
- **PAA may settle the payment one by one by clicking "*Pay*" next to each payment record or settle the payments in batch by clicking "*Pay Selected*" or "*Pay All Outstanding Payments*".**



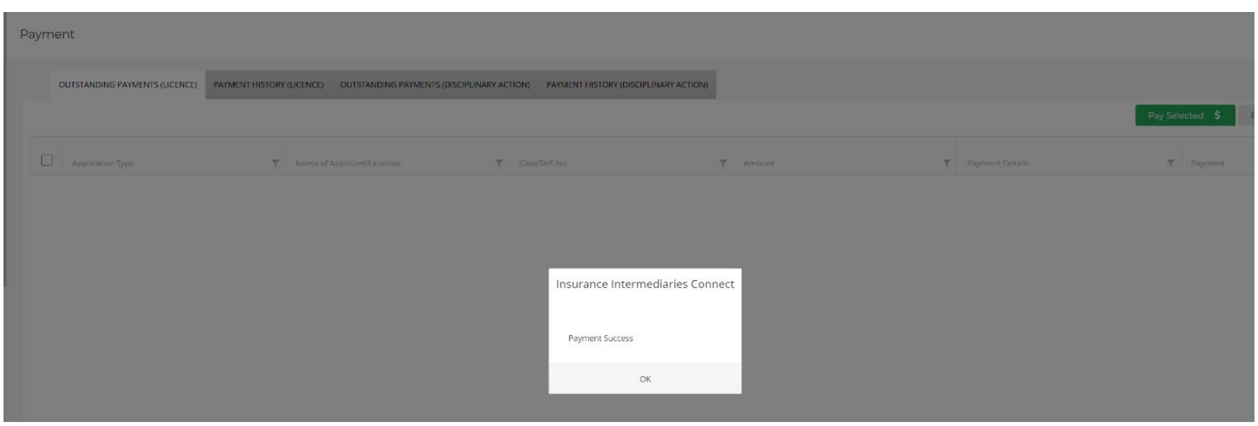
- **Total amount to be paid would be shown. Click "*Confirm*" to proceed if confirm the amount is correct.**



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

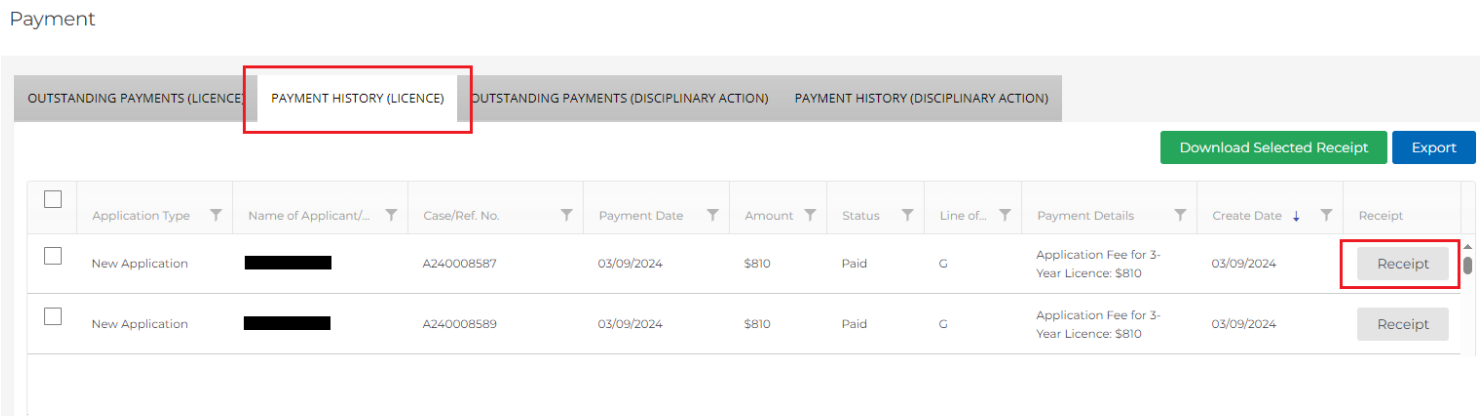


- **When payment process is completed, PAA will be directed back to the IIC.**

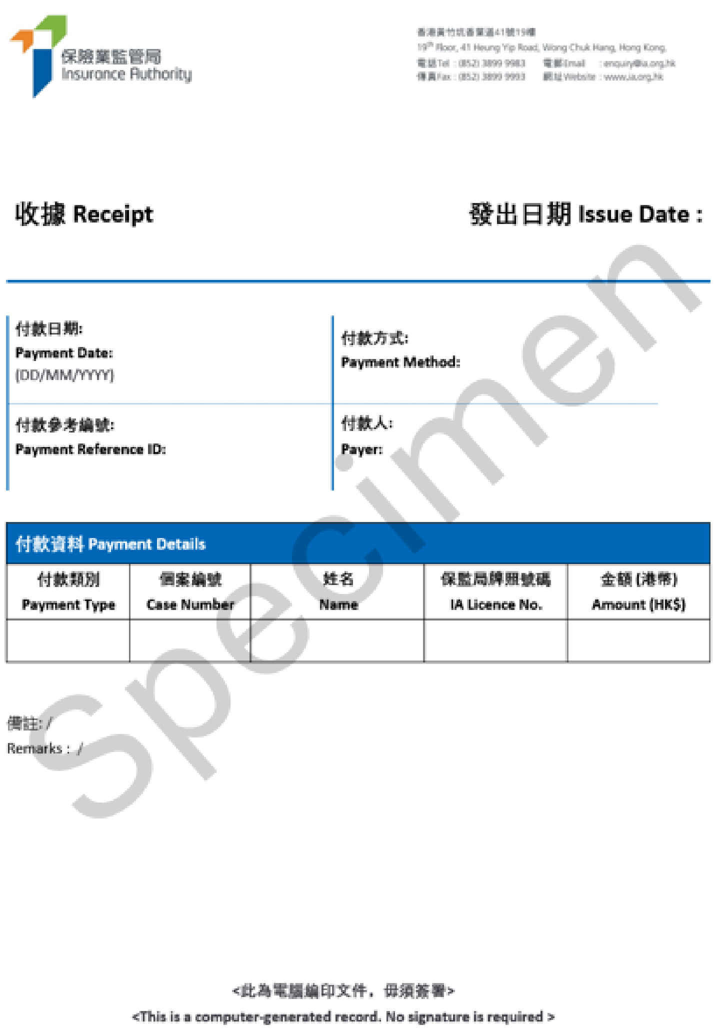


16.3 Payment History and Payment Receipt

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



	Application Type	Name of Applicant/...	Case/Ref. No.	Payment Date	Amount	Status	Line of...	Payment Details	Create Date	Receipt
☐	New Application	[redacted]	A240008587	03/09/2024	$810	Paid	G	Application Fee for 3-Year Licence: $810	03/09/2024	Receipt
☐	New Application	[redacted]	A240008589	03/09/2024	$810	Paid	G	Application Fee for 3-Year Licence: $810	03/09/2024	Receipt



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$)

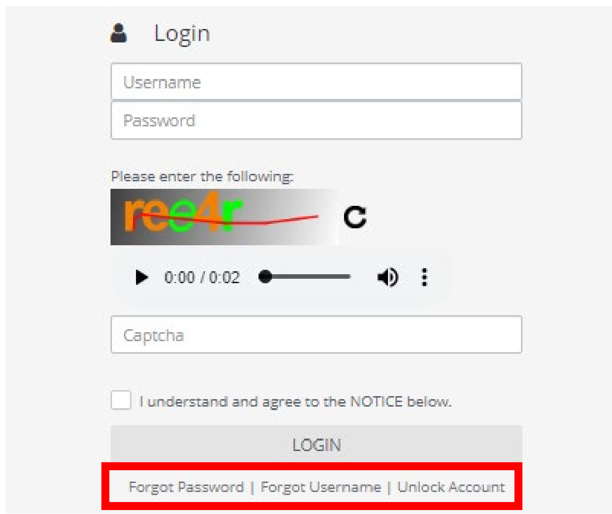
備註: /
Remarks : /

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

17. Forgot Password, Username and Unlock Account

17.1 Forgot Password

In case that any users, including the PAA, forgot their password, they can reset the password by clicking "*Forgot Password*" button from the login page. An email will be sent to the account owner's registered email address after the account owner's verification.



17.2 Forgot Username

In case that any users, including the PAA, forgot their username, they can obtain the username by clicking "*Forgot Username*" button from the login page. The username will be delivered to the user through their registered email addresses.

17.3 Unlock Account

All IIC accounts, including supervisor, alternative supervisor or administration and individual accounts will be locked after 3 failed login attempts. Account owners can unlock their accounts by clicking "*Unlock Account*" button from the login page. Please note that both "*Forgot Password*" and "*Forgot Password*" buttons cannot be used when the account is locked.

18. Other Technical Issues

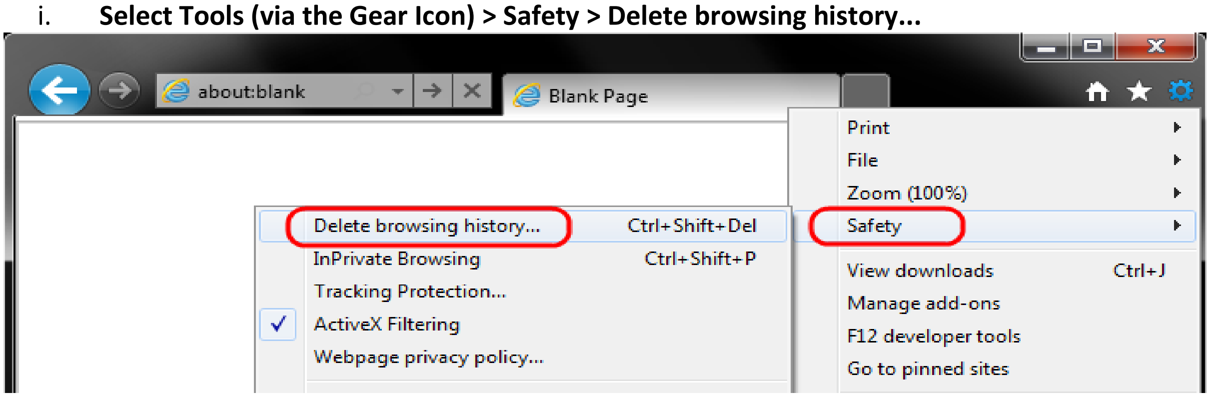
18.1 Webpage Problems

If users encounter webpage problems (e.g. screen stuck, badly formatted webpages) or error messages, it may be related to the browser cache. Please clear browser cache by using one of the following methods below.

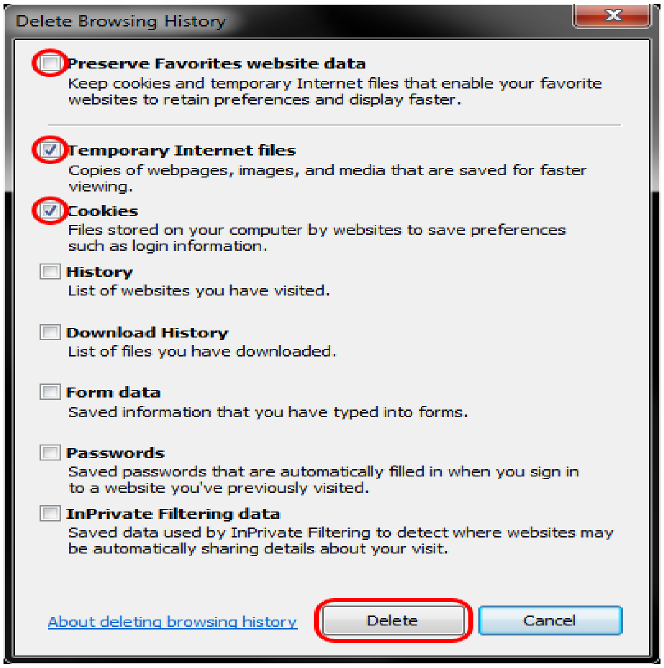
For any other technical issues (e.g. creation of individual account, collection of Account Opening Password, company internet firewall, work e-mail server setting/cannot receive e-mail notifications, etc.), please contact your Principal for further advice.

For IE Users

i. **Select Tools (via the Gear Icon) > Safety > Delete browsing history…**

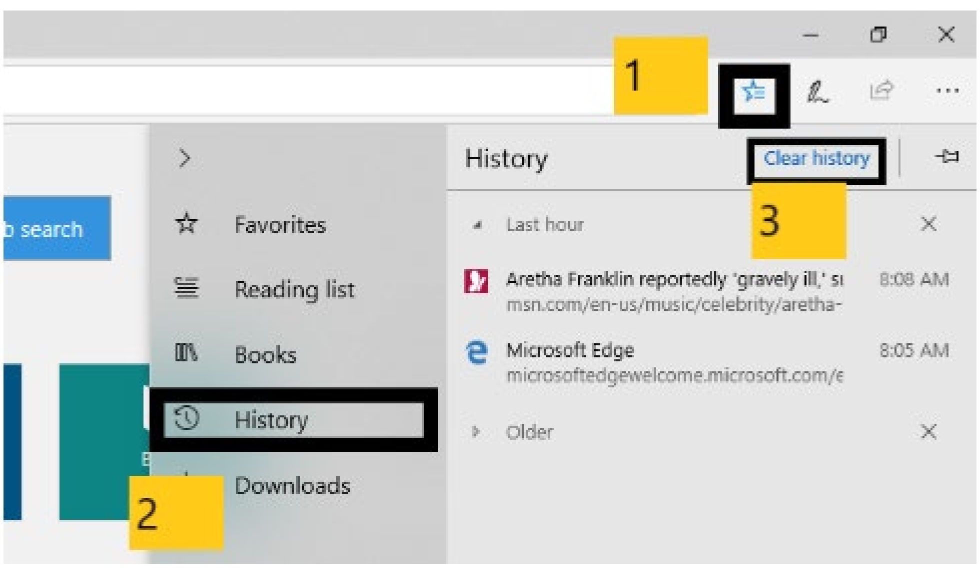


ii. **Make sure to uncheck Preserve Favorites website data and check both Temporary Internet Files and Cookies then click Delete.**

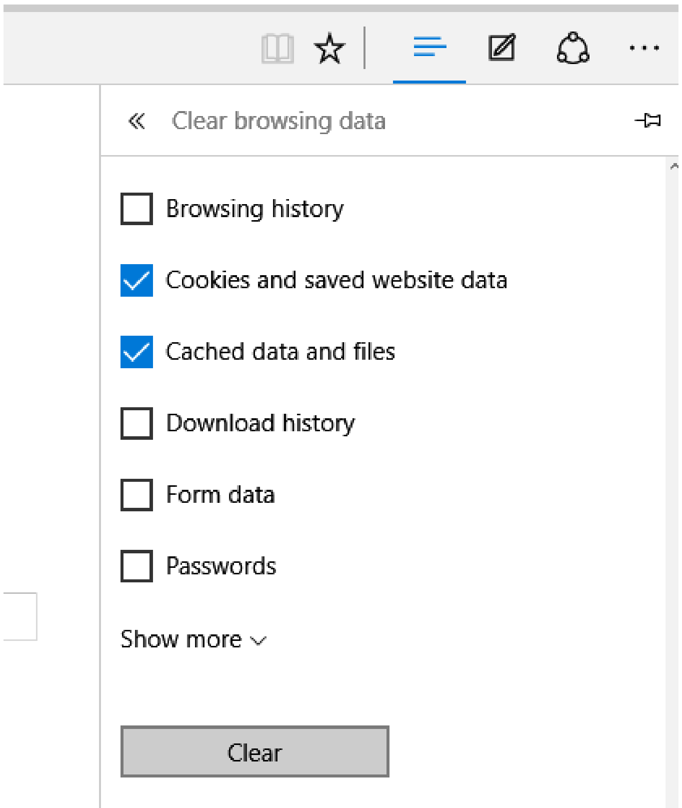


For EDGE Users

i. **Select the Hub icon (three horizontal lines at top bar in front of a star), click the History menu option, and then click Clear history.**



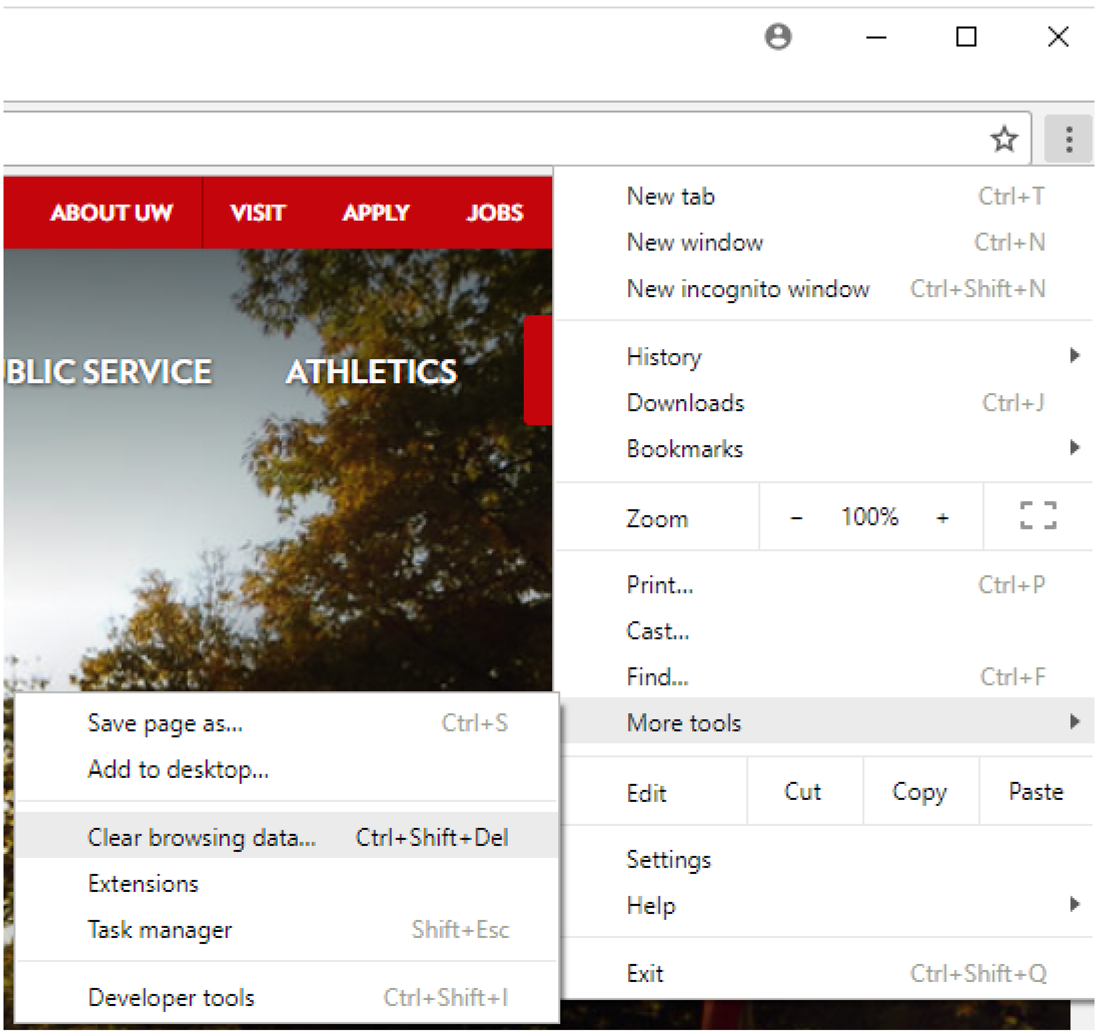
ii. Select "Cookies and saved website data" and "Cached data and files". After the two are marked, click Clear.



For Chrome Users

i. **Click on the settings icon that appears to the right of the address bar. In the newest versions of Chrome, this appears as three vertical dots and in older versions will be three horizontal lines or a wrench icon.**

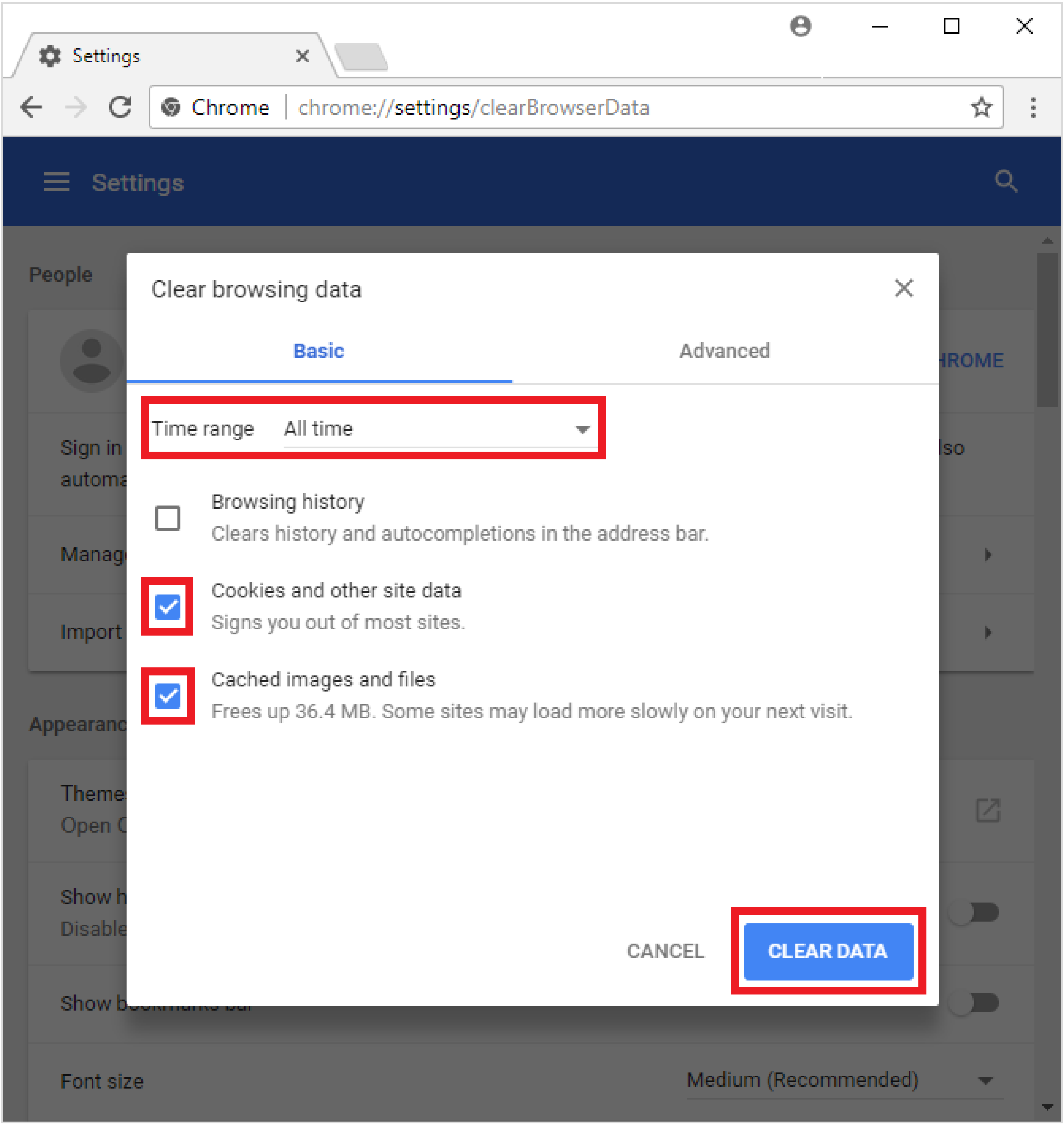
ii. **From the menu, select More tools > Clear browsing data....**



iii. **Check the following:**

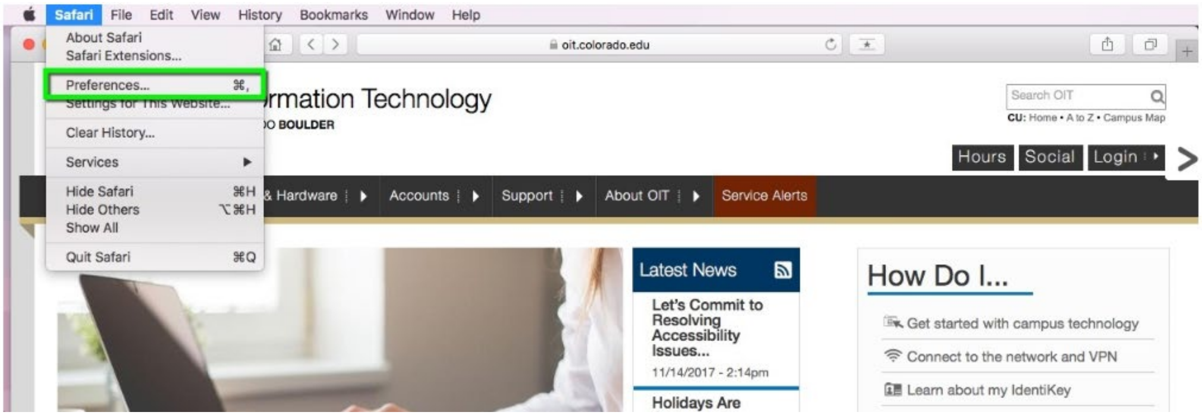
- **Cookies and other site data**
- **Cached images and files**

iv. Select All time in the Time range drop down box and click on the CLEAR DATA button.



For Safari Users

i. Click on the Safari drop-down menu and select Preferences.



ii. Click the Advanced tab. Select the Show Develop menu in menu bar checkbox and close the Preferences window.

18.2 Unable to receive Email Notifications

In case notification email (e.g. account activation email, etc.) cannot be received, one of the possible reason may be related to the internal email server setting, which may cause to block emails sent by the IA, or place the emails in the junk/ spam email folder. Please check with your IT team for further details.

18.3 Other Technical Issues

For any other technical issues (e.g. company internet firewall, etc.), please contact your IT team for further advice.

<< END >>