

保險業監理處

香港金鐘道六十六號  
金鐘道政府合署二十一樓



OFFICE OF THE COMMISSIONER  
OF INSURANCE

21st Floor,  
Queensway Government Offices,  
66 Queensway,  
Hong Kong

圖文傳真 Fax: (852) 2869 0252

覆函請註明本處檔號

In reply please quote this ref. INS/TEC/4/5

25 September 2012

來函檔號 Your ref.

電話 Tel. 2153 2763

To: Chief Executives of all authorized insurers  
and Authorized Representative of Lloyd's

Dear Sirs,

**Information on Directors, Controllers and Authorized Representative**

You are aware that, under the Insurance Companies Ordinance ("the Ordinance"), an authorized insurer or Lloyd's is required, amongst others, to comply with sections 13A, 13B, 14 and 50B of the Ordinance in respect of any changes in/proposed appointment of its directors, controllers or authorized representative. For reporting such changes/proposed appointment, you are required to submit to the Insurance Authority information relating to the director, controller or authorized representative concerned as specified in the Second, Fourth, Fifth or Sixth Schedule to the Ordinance as appropriate.

To enhance our monitoring of the fitness and propriety of directors, controllers or authorized representative, we consider it necessary to collect additional information on whether they have been subject to any disciplinary actions or investigations by other regulatory authorities. In this regard, with immediate effect, please also provide the following additional information when reporting appointments/proposed appointments under sections 13A, 13B, 14 or 50B of the Ordinance. The additional information could be made on a separate sheet as annexure to the Form A/B concerned, and certified in the manner as prescribed in the respective forms.

/.....

“Has the director, controller, proposed controller or authorized representative in the last 10 years been:

- refused or restricted from the right to carry on any trade, business or profession by any regulatory authority in Hong Kong or elsewhere;
- censured, disciplined or publicly criticized by any regulatory authority in Hong Kong or elsewhere; or
- the subject of an investigation conducted by any regulatory authority in Hong Kong or elsewhere?

If so, give full particulars.”

Please also notify the Insurance Authority in writing of any subsequent changes to the aforesaid additional information reported.

Please note that the above information applies to both individuals and corporate directors, controllers, proposed controllers or authorized representative. Should you have any enquiries on the above, please feel free to contact our Miss Lily Chan at 2153 2763, Ms Cecilia Chan at 2867 3446 or the case officer whom you have been dealing with.

Yours faithfully,

( Ms Annie Choi )  
Commissioner of Insurance

c.c. Chairman, The Hong Kong Federation of Insurers

[LC(3)/T4-5/CA-vs]