

**Notification of Termination of Appointment of  
Responsible Officer/Licensed Insurance Agency/Licensed Individual Insurance Agent  
Licensed Technical Representative (Agent)/Licensed Technical Representative (Broker)**  
Pursuant to Section 64R of the Insurance Ordinance (Cap. 41)

For Official Use					
C		LN		Check	
S		NR		Update	
SA		NP		Verify	

**Please complete all items in BLOCK LETTERS. All amendments must be signed by Authorized Person and original signed copy should be submitted.**

**I. Particulars of Appointing Principal**

<b>Reference No.</b> (Company Registration No. for an authorized insurer and Insurance Intermediary Licence No. for a licensed insurance agency/licensed insurance broker company)		<b>† Type of Principal</b>	<input type="checkbox"/> Authorized Insurer <input type="checkbox"/> Licensed Insurance Agency <input type="checkbox"/> Licensed Insurance Broker Company
<b>Name of Principal</b>			
<b>Details of Contact Person</b>			
<b>Name</b>		<b>Position and Department</b>	
<b>Telephone No.</b>		<b>Email Address</b>	
If the abovementioned Appointing Principal is duly authorized to represent other Authorized Insurers/Licensed Insurance Broker Companies ("Other Appointing Principals") to give notification of termination of their appointment of the Responsible Officer ("RO")/Licensed Insurance Agency/Licensed Individual Insurance Agent/Licensed Technical Representative (Broker) listed in Section III and/or Section IV with the same effective date of termination (and other details for ROs) as stated in this Notification Form, please provide the information as below.			
<b>Other Appointing Principal 1</b>	<b>Reference No.</b>		<b>Name</b>
<b>Other Appointing Principal 2</b>	<b>Reference No.</b>		<b>Name</b>
<b>Other Appointing Principal 3</b>	<b>Reference No.</b>		<b>Name</b>

**II. Type of Notification**

† Type of Notification	Section to be Completed
<input type="checkbox"/> Termination of Appointment of Responsible Officer (Not applicable to authorized insurer)	<b>Section III</b>
Termination of Appointment of: <input type="checkbox"/> Licensed Insurance Agency <input type="checkbox"/> Licensed Individual Insurance Agent <input type="checkbox"/> Licensed Technical Representative (Agent) <input type="checkbox"/> Licensed Technical Representative (Broker)	<b>Section IV</b>

† Please tick the appropriate box.



### III. Termination of Appointment of Responsible Officer

(This section is not applicable to Authorized Insurer.)

Name of Responsible Officer ("RO")	Insurance Intermediary Licence No.	Effective Date of Termination (DD/MM/YY)	Reason for Termination (E.g. resignation, job rotation, dismissal, redundancy and etc.)	† Whether the RO will cease to be appointed as your agent for carrying on regulated activities? (If yes, please complete Section IV.)
				<input type="checkbox"/> Yes <input type="checkbox"/> No
				<input type="checkbox"/> Yes <input type="checkbox"/> No

† Whether there will be replacement of any of the above RO?

☐ Yes ☐ No

† If yes, have you submitted an application for the proposed appointment of the new RO to the Insurance Authority ("IA")?

☐ Yes ☐ No

### IV. Termination of Appointment of Licensed Insurance Agency/Individual Insurance Agent/Technical Representative (Agent)/Technical Representative (Broker)

(If there is not enough space, please complete Form S7 Supplemental Form - Notification of Termination of Appointment.)

† Type of Licensed Insurance Intermediary	Name	Insurance Intermediary Licence No.	Effective Date of Termination (DD/MM/YY)	Reason for Termination
<input type="checkbox"/> Licensed Insurance Agency <input type="checkbox"/> Licensed Individual Insurance Agent <input type="checkbox"/> Licensed Technical Representative (Agent) <input type="checkbox"/> Licensed Technical Representative (Broker)				
<input type="checkbox"/> Licensed Insurance Agency <input type="checkbox"/> Licensed Individual Insurance Agent <input type="checkbox"/> Licensed Technical Representative (Agent) <input type="checkbox"/> Licensed Technical Representative (Broker)				
<input type="checkbox"/> Licensed Insurance Agency <input type="checkbox"/> Licensed Individual Insurance Agent <input type="checkbox"/> Licensed Technical Representative (Agent) <input type="checkbox"/> Licensed Technical Representative (Broker)				
<input type="checkbox"/> Licensed Insurance Agency <input type="checkbox"/> Licensed Individual Insurance Agent <input type="checkbox"/> Licensed Technical Representative (Agent) <input type="checkbox"/> Licensed Technical Representative (Broker)				
<input type="checkbox"/> Licensed Insurance Agency <input type="checkbox"/> Licensed Individual Insurance Agent <input type="checkbox"/> Licensed Technical Representative (Agent) <input type="checkbox"/> Licensed Technical Representative (Broker)				
<input type="checkbox"/> Licensed Insurance Agency <input type="checkbox"/> Licensed Individual Insurance Agent <input type="checkbox"/> Licensed Technical Representative (Agent) <input type="checkbox"/> Licensed Technical Representative (Broker)				

† Please tick the appropriate box.

**V. Declaration by Appointing Principal**

- I/We **CONFIRM** that we have completed Section \_\_\_\_\_ of this Notification.
- 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.

\_\_\_\_\_  
Name and Position of Authorized Person\_\_\_\_\_  
Signature of Authorized Person\_\_\_\_\_  
Date

(For an authorized insurer, this Notification Form should be signed 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 Notification Form should be signed by its Responsible Officer/Director/a person authorized by its Board of Directors/Sole Proprietor/Partner (where applicable).)

**Important Notes:****Responsible Officer**

Under section 64ZN/section 64ZO of the Insurance Ordinance ("IO"), if the IA is satisfied that a licensed insurance agency/licensed insurance broker company ceases to have a responsible officer, the IA may:

- **suspend** the licence of the agency/broker company;
- **revoke** such licence if the agency/broker company has not made an application for the approval of an individual as a responsible officer within 90 days after the date on which the suspension takes effect (or has made such an application within 90 days and the IA rejects the application).

**Licensed Insurance Agency/Individual Insurance Agent/Technical Representative (Agent)/Technical Representative (Broker)**

Under section 64ZH/section 64ZI of the IO, if a licensed insurance agency/licensed individual insurance agent ceases to be appointed by at least one authorized insurer, the licence of the agency/agent is suspended on and from the date on which the cessation takes effect, and where the suspension continues for **180 days**, the licence will be **revoked**.

Under section 64ZJ of the IO, if a licensed technical representative (agent) ceases to be appointed by a licensed insurance agency, the licence of the technical representative (agent) is suspended on and from the date on which the cessation takes effect, and where the suspension continues for **180 days**, the licence will be **revoked**.

Under section 64ZK of the IO, if a licensed technical representative (broker) ceases to be appointed by at least one licensed insurance broker company, the licence of the technical representative (broker) is suspended on and from the date on which the cessation takes effect, and where the cessation continues for **180 days**, the licence will be **revoked**.



## **Personal Information Collection Statement ("PICS")**

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

### **Purpose of Collection**

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

- (a) to administer and/or enforce the provisions of any relevant ordinances (including the Insurance Ordinance (Cap. 41) (the "Ordinance")) and any regulations, rules, codes, guidelines and circulars made or promulgated pursuant to the powers vested in the IA as in force at the relevant time and to carry out its functions as a regulator of the insurance industry, including:
  - (i) to process any application(s)/notification(s) received by the IA under the Ordinance;
  - (ii) to assess the fitness and properness of any person in relation to licensing or approval (as the case may be) under the Ordinance;
  - (iii) to monitor the fitness and properness of any licensed insurance intermediaries or responsible officers to remain licensed or approved (as the case may be) under the Ordinance;
  - (iv) to consider any application(s) under the Ordinance where the licensed insurance intermediaries or responsible officers may otherwise have a connection;
  - (v) to display and publish personal data on the public registers maintained under the Ordinance (where applicable);
  - (vi) to investigate complaints and handle enquiries;
  - (vii) to conduct legal proceedings, inspection, investigation, and taking enforcement or disciplinary actions;
- (b) to co-operate with and assist any other regulatory body and/or law enforcement body of Hong Kong, or of any place outside Hong Kong, whenever appropriate, and to the extent permitted by the laws of Hong Kong;
- (c) for any statistical and research purposes; and/or
- (d) any other purposes as permitted by the laws of Hong Kong.

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

### **Transfer/Matching of Personal Data**

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

Personal data may also be used by the IA and/or disclosed or transferred by the IA to the parties listed above for the purposes of comparing, verifying and/or carrying out a matching procedure<sup>1</sup> of those data.

### **Public Registers**

The IA is required to maintain public registers with specified data related to licensed insurance intermediaries under the Ordinance or any related subsidiary legislation. Any member of the public can inspect the public registers free of charge for the purposes of ascertaining whether he/she is dealing with a licensed insurance intermediary or an approved responsible officer of a licensed insurance agency/insurance broker company in respect of any regulated activity, and the particulars of the licensing of a person as a licensed insurance intermediary and/or the approval of such person as a responsible officer.

### **Access to Data**

Under the PDPO, licensed insurance intermediaries and responsible officers have the right to request access to and/or for correction of the personal data held by the IA. Please complete a "Data Access Request Form" (which is available at the IA's website) and send it by post to the Data Privacy Officer of the IA at 19/F, 41 Heung Yip Road, Wong Chuk Hang, Hong Kong for processing of the request. The IA has the right to charge a reasonable fee for processing any such request.

### **Enquiries**

Any enquiries regarding the personal data collected, used or transferred by the IA, or requests for access to and/or correction of, the personal data held by the IA should be made in writing to:

The Data Privacy Officer  
Insurance Authority  
19/F, 41 Heung Yip Road  
Wong Chuk Hang  
Hong Kong

A copy of the IA's Privacy Policy is made available at the IA's website.

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<sup>1</sup> "matching procedure" is defined in section 2 of the PDPO.