

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

## **– CPD Non-Compliance Reporting and E-Payment**



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## CPD Non-Compliance Reporting and E-Payment

### 1. Introduction

The CPD Non-Compliance Reporting on Insurance Intermediaries Connect (“IIC”) is a platform for Principals and Individual Licensees to handle and/or monitor the progress of the Individual Licensees’ non-compliance of the CPD requirements in the situation where the individual has agreed to be disciplined in line with the Penalty Framework for Non-compliance with Continuing Professional Development Requirements (“Penalty Framework”)<sup>1</sup> by entering into an agreement pursuant to section 84 of the Insurance Ordinance (Cap.41) (“Section 84 Agreement”).

The CPD Non-Compliance Reporting allows Principals to report their appointed Individual Licensee(s) Licensees’ non-compliance of the CPD requirements to the IA, handle payment of pecuniary fine for Individual Licensees via the E-Payment function, generate and upload the Section 84 Agreement via IIC.

Individual Licensees can monitor the progress of their Principal’s handling of their non-compliance of the CPD requirements and personally attend to payment of pecuniary fine via the E-payment function.

#### 1.1 Access to IIC Accounts

Any Principal or Individual Licensee who has an existing IIC account can log in to their IIC account to access the CPD Non-Compliance Reporting platform and E-Payment function.

Due to the system setting, please be advised to use the personal computer to login the IIC account to perform the functions in the CPD Non-Compliance Reporting or e-Payment.

If a User encounters any difficulties or technical issues in accessing its IIC account (e.g. forgot password, forgot username, unable to activate account, etc.), the User may refer to “[User Guide of the Insurance Intermediaries Connect for Individual Applicants to Submit an Individual Licence Application](#)” or “[User Guide of the Insurance Intermediaries Connect for Principals](#)” for assistance.

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<sup>1</sup> As revised by the Interpretation Note issued to the Guideline on Continuing Professional Development for Licensed Insurance Intermediaries (GL24) on 14 November 2023



## 1.2 Set up password, mobile phone number and email address

- 1.2.1 After Principal has uploaded the CPD Non-Compliance Excel Form for concerned Individual Licensee(s) to generate settlement agreement (please refer to [Para. 2.1 “Download CPD Non-Compliance Excel Form”](#)), a protected zipped folder would be downloaded to designation directory. To unzip the generated Settlement Agreement for concerned Individual Licensee(s), Principal should set up the password for document download at “Designated Mobile Number, Designated Email address and Password for Document Download” (the “Designated Section”).
- 1.2.2 One Time Password (“OTP”) is required for “Generate Payment” and “Upload Settlement”. Principal must save their designated mobile phone number in IIC for receiving OTP at the Designated Section.
- 1.2.3 Email notifications would be sent to Principal's Designated Email Address (as marked in the Designated Section) and the concerned Individual Licensee(s)' email address respectively after performing the CPD Non-Compliance Reporting functions (e.g. generate Payment Link for fine payment, E-Payment of fine completed, uploaded settlement agreement by Principal).
- 1.2.4 Principal should ensure the Designated Email Address, Password for Document Download and Designated Mobile Number have been input in “Designated Mobile Number Designated Email Address and Password for Documents Download” to perform the CPD Non-Compliance functions.

The screenshot displays the Insurance Intermediaries Connect (IIC) interface. The top header shows the Insurance Authority logo and the text 'Insurance Intermediaries Connect'. The left sidebar contains navigation options: 'Inbox', 'Designated Mobile Number, Designated Email Address and Password for Document Download' (highlighted with a red box), 'Change in Particulars', 'Administration Account Management', and 'Individual Account Management (Applicant)'. The main content area is titled 'Designated Mobile Number, Designated Email Address and Password' and contains a form with the following fields:

- Company Name: [Input field]
- Designated Email Address: [Input field with a red box around it, containing a masked email address and '@ia.org.hk']
- Password for Document Download: [Input field with a red box around it]
- Add Designated Mobile Number: [Green button with a red box around it]
- Designated Mobile Number: [Input field]
- Detail: [Input field]



## 2. Functions in CPD Non-Compliance Reporting

There are four main functions on CPD Non-Compliance Reporting:

1. Download CPD Non-Compliance Excel Form (the “Excel Form”)
2. Generate Payment (for E-Payment)
3. Generate Settlement Agreement
4. Upload Signed Settlement Agreement

“Generate Payment”, “Generate Settlement Agreement” and “Upload Settlement Agreement” will be collectively referred to as “the Three Functions”.

### 2.1 Download CPD Non-Compliance Excel Form

- 2.1.1 The Excel Form can be downloaded by the Principal. The Principal may enter “CPD Non-Compliance Reporting” and click “Download” at “Download Excel Form (s.84 Agreement CPD Non-Compliance Reporting)”. A blank Excel Form would be generated and ready to be downloaded.

Insurance Intermediaries Connect

CPD Non-Compliance Reporting

Download Excel Form (s.84 Agreement CPD Non-Compliance Reporting)

(3) s.84 Agreement CPD Non-Compliance Excel Form (2023-2024 and after) Download

Upload Excel Form for below functions (For assessment period from 2023-2024 and onwards):  
For settlement agreement in relation to the assessment period of 2022/2023 or before, please send it to us at [cpd-dis@ia.org.hk](mailto:cpd-dis@ia.org.hk)

(1) Generate Settlement Agreement

Upload Completed Excel Form

SELECT FILE TO UPLOAD ✓ Selected

s84 Agreement Generator CPD Non-Compliance... X

Download Settlement Agreement

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因未能遵守持續專業培訓規定而制訂第84條協議 Section 84 Agreement for Non-compliance with Continuing Professional Development ("CPD") Requirements						
持續專業培訓評估期 CPD Assessment Period:	2023-2024					
保監局中介人牌照號碼 IA Licence No.	於7月31日持續專業培訓尚欠時數 No. of shortfall in CPD hour(s) as at 31 July	是否已經補回尚欠持續專業培訓時數? Has the shortfall been rectified? (是Yes/否No)	是否於10月31日前已經補回尚欠持續專業培訓時數? Was the shortfall rectified before 31 Oct? (是Yes/否No)	中介人是否同意簽訂<<第84條協議>>? Does individual agree to enter into Section 84 Agreement? (是Yes/否No)	繳款方 To be paid by (中介人 Licensee / 主事人 Principal)	<<第84條協議>>日期 Date of Section 84 Agreement (日/月/年) (DD/MM/YYYY)

2.1.2 The Excel Form requires Principal to provide the following details for the Three Functions:

Field name (All Mandatory)	Description of Data to be input
<b>CPD Assessment Period</b>	<ul style="list-style-type: none"> <li>Select the CPD assessment period. (Must be 2023-2024 or after)<sup>2</sup></li> </ul>
<b>IA Licence no.</b>	<ul style="list-style-type: none"> <li>Enter the licence number of the concerned Individual Licensee(s).</li> </ul>
<b>No. of shortfall in CPD hour(s) as at 31 July</b>	<ul style="list-style-type: none"> <li>Enter the shortfall of CPD hours the concerned Individual Licensee(s) has attained as at 31 July of the subject CPD assessment period. A range of 0.5 to 15 CPD hours can be inserted (i.e. decimal value of 0.5 is allowed).</li> <li>The pecuniary fine will be calculated based on the number of shortfall of CPD hours.</li> </ul>

<sup>2</sup> The Principal should keep on referring to :

"[https://www.ia.org.hk/en/legislative\\_framework/files/Guide\\_to\\_prepare\\_Section\\_84\\_Agreement\\_Eng.pdf](https://www.ia.org.hk/en/legislative_framework/files/Guide_to_prepare_Section_84_Agreement_Eng.pdf)" for generating and submitting the settlement agreement for the CPD assessment period of 2022-2023 or before to the IA.



<b>Has the shortfall been rectified? (Yes / No)</b>	<ul style="list-style-type: none"><li>• Rectification of the shortfall of CPD hours is a prerequisite for the Individual Licensee(s) to enter into Section 84 Agreement with the IA.</li><li>• If the CPD non-compliance has not been rectified, the system will not generate a Section 84 Agreement.</li></ul>
<b>Was the shortfall rectified before 31 Oct? (Yes / No)</b>	<ul style="list-style-type: none"><li>• Please indicate if the shortfall of CPD hours was rectified before 31 October of the subject assessment period.</li><li>• Please refer to the <u>circular issued on 23 July 2021 for the Penalty Framework</u> of the different sanction the IA would impose if the shortfall of CPD hours was rectified before or after 31 October of the subject assessment period.</li><li>• As the answer to this field will affect the sanction imposed on and be subjected to the Individual licensee, Principal <b><u>must ensure the answer to this field is the same</u></b> when <u>generating</u> the Section 84 Agreement, and <u>uploading</u> the Section 84 Agreement.</li></ul>
<b>Does individual agree to enter into Section 84 Agreement? (Yes/No)</b>	<ul style="list-style-type: none"><li>• Individual licensee(s) must agree to enter into Section 84 Agreement before the system generates the agreement.</li></ul>
<b>To be paid by (Licensee or Principal)</b>	<ul style="list-style-type: none"><li>• Principal may elect the pecuniary fine to be paid by the Individual Licensee(s) or by the Principal on behalf of the licensee(s).</li><li>• The pecuniary fine must be paid before generating the Section 84 Settlement Agreement.</li><li>• When uploading the Section 84 Agreement, this field shall refer to the paying entity (i.e. Principal / Licensee).</li></ul>
<b>Date of Section 84 Agreement</b>	<ul style="list-style-type: none"><li>• When the Principal to “Generate Payment Link”:<ul style="list-style-type: none"><li>-if the S84 Agreement has not yet been generated, printed and signed by the Individual License, please fill in the date when the payment link was generated, which will be temporarily referred to as “Date of Section 84 Agreement”;</li><li>-if the principal has generated, printed (and the Individual Licensee has signed) the settlement agreement before</li></ul></li></ul>



	<p>generating the payment link, please fill in the date as generated on the settlement agreement.</p> <ul style="list-style-type: none"><li>• When the Principal to "Generate Settlement Agreement": It must be the date when generating the date of Section 84 Agreement" for the signature of individual licensee.</li><li>• When the Principal to "Upload Settlement Agreement": It should be the date when the settlement agreement was generated, printed (and signed). If the "Date of Section 84 Agreement" is different when the Principal performed "Generate Payment Link" and "Generate Settlement Agreement", the system will ask the principal to reconfirm the "Date of Section 84 Agreement" as input when "Upload the Settlement Agreement". The Principal should input the date when "Generate Settlement Agreement (and sign)" as the "Date of Section 84 Agreement".</li></ul>
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- 2.1.3 Principal can enter details of up to 20 Individual Licensee(s) on the Excel Form to perform the Three Functions.
- 2.1.4 Principal should verify the information provided by the Individual Licensee(s) and ensure the data is accurate and **ensure the Individual Licensee has rectified the shortfall in CPD hours before completing the Excel Form.**
- 2.1.5 Principal may perform the Three Functions by using the same Excel Form for the same batch of Individual Licensees.

## 2.2 Generate Payment Link

- 2.2.1 The Principal may generate Payment link for fine payment for those Individual Licensee(s) who agreed to sign the settlement agreement.
- 2.2.2 The Principal may choose to pay the fine on behalf of the Individual Licensee or for the concerned Individual Licensee(s) to pay directly.
- 2.2.3 Once the payor has been elected, the Payment Link will be generated to the selected payor for payment.
- 2.2.4 The Payment Link is valid for 30 calendar days after generation. Payor needs to login IIC to make the payment.
- 2.2.5 The Payment Status will be "Void (Payment Link Expired)" if the Payment Link has





expired. Please generate a new Payment Link if it has expired, or there is a need to change the Payor.

2.2.6 If the Payment has been generated without payment, and there is another principal generating the Payment Link for the same licensee, the Payment Status of the primary principal would be shown as “Void (Superceded Link)” and the Payment Link will be disabled.

2.2.7 Below are the steps to generate Payment Link –

- *Step 1: Select “(1) Generate e-Payment Link” under “Upload Excel Form for below functions”.*
- *Step 2: Press “Select file to upload” and find the completed Excel Form for the concerned licensee(s).*

The screenshot shows the 'Insurance Intermediaries Connect' portal. The sidebar on the left contains navigation links: Termination of Appointment, Bulk Termination of Appointment, CPD Reporting, CPD Non-Compliance Reporting, CPD Non-Compliance Reporting (Submitted Records), Report, and Bulk Upload (Account and New Licence Application Creation). The main content area is titled 'CPD Non-Compliance Reporting'. It features a 'Download Excel Form (s.84 Agreement, CPD Non-Compliance Reporting)' section with a dropdown menu showing '(3) s84 Agreement CPD Non-Compliance Excel Form (2023-2024 and aft)' and a 'Download' button. Below this is an 'Upload Excel Form for below functions (For assessment period from 2023-2024 and onwards):' section. A red box labeled '1' highlights the dropdown menu where '(1) Generate e-Payment Link' is selected. Another red box labeled '2' highlights the 'Upload Completed Excel Form' button, which is positioned above a 'SELECT FILE TO UPLOAD' button.

- *Step 3: The licence number, name and Date of Section 84 Agreement (Please refer to Para 2.1.2 for details) of the concerned licensee(s) as input in the Excel Form will appear in the confirmation page. Please verify and press “Confirm” if the information is correct. If not, please press “Cancel”, and revise the Excel Form and repeat Step 1 above.*



Insurance Intermediaries Connect

Please check and confirm again the following:  
(1) The Assessment Period (2023-2024) is correct;  
(2) The Date(s) of Agreement is/are correct;

(1) - Row 7 (License no. [REDACTED]) [REDACTED] (Date of Agreement:05/08/2024)

Confirm to proceed? (Yes / No)

3 **CONFIRM** **CANCEL**

- Step 4: Check the licence number, name and agreement date of the concerned licensee(s) again which is shown on the page.
- Step 5: Press “Generate e-Payment Link”

Insurance Authority Insurance Intermediaries Connect

CPD Non-Compliance Reporting

Download Excel Form (s.84 Agreement CPD Non-Compliance Reporting)

(3) s84 Agreement CPD Non-Compliance Excel Form (2023-2024 and aft) **Download**

Upload Excel Form for below functions (For assessment period from 2023-2024 and onwards):  
For settlement agreement in relation to the assessment period of 2022/2023 or before, please send it to us at [cpd-dis@ia.org.hk](mailto:cpd-dis@ia.org.hk)

(1) Generate e-Payment Link

Upload Completed Excel Form

**SELECT FILE TO UPLOAD** ✓ Selected

**s84 Agreement CPD Non-Compliance E...** 13.71 KB

Licence Number **4** [REDACTED]  
Name [REDACTED]  
Agreement Date 05/08/2024

**5** **Generate e-Payment Link**

- Step 6: Press “Yes” to confirm generating the Payment Link.



6

Insurance Intermediaries Connect

×

Confirm to generate e-Payment link?

YES

NO



- *Step 7: Select a mobile phone number from the combo box (please refer to Para. 1.2 to save any new mobile phone number).*

保險業監管局  
Insurance Authority

To create payment for CPD reporting in Insurance Intermediaries Connect, please select company mobile number.

Mobile No.: [Dropdown Menu]

- *Step 8: Press “Next” to receive a One Time Password (“OTP”) which is sent to the mobile phone number that Principle selected in Step (7).*
- *Step 9: Enter the received OTP in the textbox.*
- *Step 10: Press “Submit”.*

保險業監管局  
Insurance Authority

To create payment for CPD reporting in Insurance Intermediaries Connect, please select company mobile number.

Mobile No.: [Dropdown Menu]

Next

保險業監管局  
Insurance Authority

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

One Time Password [Input Field] Re-send

Submit



- Step 11: Press “YES” to confirm generating e-Payment Link.

- 2.2.8 An email notification would be sent to the Individual Licensee(s)’ and Principal’s *registered address in IIC* after the Principal has uploaded the Excel Form to Generate Payment with the concerned Individual Licensee(s) being selected as the Payor. If the Payor has been selected as “Principal”, and an email would be sent to Principal, and concerned Individual Licensee(s).
- 2.2.9 The Payor (Individual Licensee(s) / Principal) may click “here” (for English page) in the email which would redirect to the login page of IIC and make E-Payment as described in below.

[Ind-Test]Message from Insurance Authority, Market Conduct (Enforcement): 2023-2024 CPD Non-Compliance Settlement Agreement (Pending Fine Payment) (IA Licensee No.: [redacted] 保險業監管局市場行為部(法規執行) ...

Dear [redacted]

Please click [here](#) to log in to the IIC to pay the fine as specified in the settlement agreement for [redacted] (IA Licensee No.: [redacted]) in respect of his/her CPD Non-Compliance for 2023-2024 assessment period within 30 days.

Please be reminded that payment of the fine is deemed to be [redacted] acceptance of the disciplinary action. Therefore, please ensure the said licensee sign and return the settlement agreement to you for uploading to IIC as soon as practicable.

Dear [redacted]

[redacted] has notified the Insurance Authority that you failed to comply with the CPD requirements for the 2023-2024 assessment period and you are willing to be disciplined by the imposition of a fine and any other disciplinary action. Details of the disciplinary action(s) are found in the settlement agreement [redacted] has agreed to pay the fine on your behalf. You are put on notice that the payment of the fine by [redacted] is deemed to be your acceptance of the disciplinary action.

If you have any queries, please contact [redacted]

Market Conduct (Enforcement)  
Insurance Authority

\*\*\*\*\*

This is a system generated email. Please do not reply.



## 2.3 E-Payment

- 2.3.1 The fine payment has to be paid before the uploading of the Section 84 Agreement to IIC.
- 2.3.2 Principal / Individual Licensee(s) can pay the fine via the “Payment - Outstanding Payment (Disciplinary Action)” or “CPD Non-Compliance Reporting (Submitted Records)” sections of IIC.
- 2.3.3 There are 4 online Payment methods available in IIC, namely, Visa, Mastercard, Alipay HK and Wechat Pay.
- 2.3.4 It is recommended to login in the IIC via your desktop computer / laptop / notebook if you want to make the payment by scanning the QR code as generated by Alipay HK and Wechat Pay via your mobile Apps.
- 2.3.5 The maximum fine payment limit for each case at IIC is capped at HKD15,000. The maximum payment is capped at HKD100,000 for each transaction.
- 2.3.6 An acknowledgement of Receipt of the fine payment will be issued by email to the Payor (Principal / Licensee) and c.c. the other concerned party after the payment has been made successfully. If there is any problem with the payment, please contact [cpd-dis@ia.org.hk](mailto:cpd-dis@ia.org.hk).
- 2.3.7 After making payment, the Payor may view their own payment records including the receipt in the “Payment/Receipt” column in the “Payment” – “Payment History (Disciplinary Action)”

The screenshot displays the 'Payment' section of the IIC system. It features two tabs: 'OUTSTANDING PAYMENTS (DISCIPLINARY ACTION)' and 'PAYMENT HISTORY (DISCIPLINARY ACTION)'. Below the tabs is a table with columns for Amount (HK\$), Payment Status, Payment Date (dd/mm/yyyy), Paid By, Payment Method, Transaction ID, Submitted Excel File for Generate Payment, Notices / Agreement, and Payment / Receipt. A single record is shown with an amount of \$4,200.00, status 'Paid (by Principal)', date '30/07/2024', and payment method 'MPCS VISA/MasterCard PC'. The 'Payment / Receipt' column contains a green button labeled 'Receipt', which is highlighted with a red rectangle.

Amount (HK\$)	Payment Status	Payment Date (dd/mm/yyyy)	Paid By	Payment Method	Transaction ID	Submitted Excel File for Generate Payment	Notices / Agreement	Payment / Receipt
\$4,200.00	Paid (by Principal)	30/07/2024		MPCS VISA/MasterCard PC				Receipt

- 2.3.8 No supporting documentation for payment is required to provide to the IA as the fine payment has been settled via IIC.



## 2.4 E-Payment by Principal

### *E-Payment by use of “Outstanding Payment (Disciplinary Action)”*

2.4.1 Principal should take the following steps:

- *Step 1: Enter “Payment” section and Select “Outstanding payments (Disciplinary Action)”. Please check the fine amount for the Individual Licensee(s) is correct before payment.*

Application)

New or Change Appointment

Confirm Appointment (New or Change Appointment)

New or Change Appointment Records

**Payment**

Payment

OUTSTANDING PAYMENTS (DISCIPLINARY ACTION) PA

<input type="checkbox"/>	IA Case No.	CPD Assessment Period
<input type="checkbox"/>	C-DIS/24/ [redacted]	2023-2024
<input type="checkbox"/>	C-DIS/24/ [redacted]	2023-2024

- *Step 2:*
  - Select the Individual Licensee(s) you wish to pay the fine and press “Pay Selected”.
  - Press the “Pay All” button, you may pay the outstanding fines of all the Individual licensee(s) under “Outstanding Payments (Disciplinary Action)” all at once.
  - Press “Pay” button at “Payment / Receipt” to pay the fine for an individual licensee.



- Step 3: After “Pay”, “Pay Select” or “Pay All” has been pressed, the total fine amount for the selected or all outstanding cases will be displayed for confirmation. Press “Confirm” to proceed if confirm the amount is correct.

#### Payment

OUTSTANDING PAYMENTS (DISCIPLINARY ACTION)										PAYMENT HISTORY (DISCIPLINARY ACTION)	
										Pay All Outstanding Payments \$	
										Pay by Selected \$	
										Export	
<input checked="" type="checkbox"/>	IA Case No.	CPD Assessment Period	IA Licence No.	Name as shown on licence (English)	Name as shown on licence (Chinese)	No. of CPD hour(s) Required	No. of shortfall in CPD hour(s) as at 31 Jul	Fine Generated Date (dd/mm/yyyy)	Fine Amount (HK\$)		
<input checked="" type="checkbox"/>	C-DIS/24	2023-2024				15	8.5	23/07/2024	\$5,100.00		
<input checked="" type="checkbox"/>	C-DIS/24	2023-2024				15	7.5	22/07/2024	\$4,500.00		

Payment

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

Pay Selected \$ Pay All Outstanding Payments \$ Export

<input checked="" type="checkbox"/>	CPD Assessment Period	IA Licence No.	Name as shown on licence (English)	Name as shown on licence (Chinese)	No. of shortfall in CPD hour(s) as at 31 Jul	Fine Generated Date (dd/mm/yyyy)	Fine Amount	Payment Stage	Payment
<input checked="" type="checkbox"/>								Settlement	Pending
<input checked="" type="checkbox"/>								Settlement	Pending

The total fine of this Payment is



CONFIRM CANCEL

1 - 2 of 2 items









- Step 4: Select payment method (Visa, Mastercard, Alipay HK or Wechat Pay), and press “Continue”.

**mPay Payment Service**Pay safer with mPay 



Order Number	24072915114500004661
Merchant Name	Insurance Authority - 2
Total Amount	HKD 600.00

Choose the payment method


  


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

**CANCEL**

Pay safer with mPay 

Order Number	
Merchant Name	Insurance Authority - 2
Total Amount	HKD 14,798.00
Payment Method	MPGS VISA/MasterCard

**CONTINUE** 

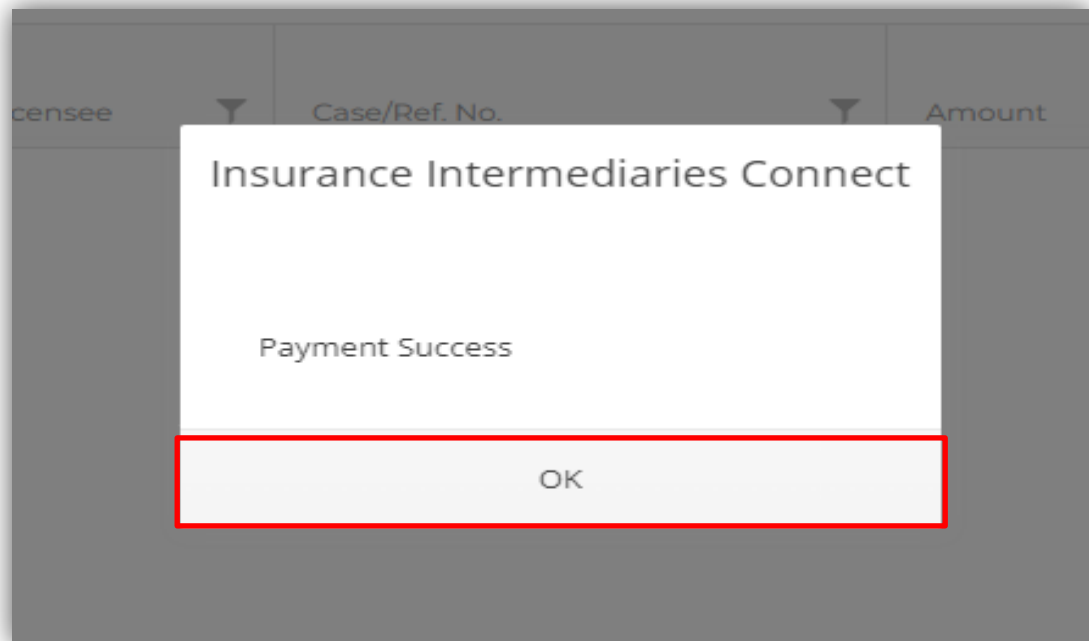
Please do not refresh/back or close the page during payment process  
Redirect to payment page within 10 seconds



- *Step 5: Process payment.*

*There is a 5-minute time limit for inputting credit card (Visa/Mastercard) information, or the validity of the QR code generated for Alipay HK and Wechat Pay. If you failed to complete the payment process within 5 minutes, you will have to retry the payment steps 2-4 again later. There would be a 10-minute session break before a new payment could be raised to avoid any duplicated payment.*

- *Step 6: After the payment is made, a “Payment Success” message will pop up. Press “OK” to update the records on IIC.*



- 2.4.2 Principal may also make E-Payment at “CPD Non-Compliance Reporting (Submitted Records)” with the steps at Para. 2.4.1



## 2.5 E-Payment by Individual Licensee

2.5.1 If Individual Licensee is elected to pay the fine, he/she may pay at “Payment - Outstanding Payment (Disciplinary Action)” by adopting the following steps:

- *Step 1: Enter “Payment” section and Select “Outstanding payments (Disciplinary Action)”. Please check if the fine amount of the assessment period is correct before payment.*
- *Step 2: Licensee pressed “Pay” button at “Payment / Receipt” at the record.*
- *Step 3: Press “Confirm” to proceed if confirm the amount is correct.*

Payment

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

Pay All Outstanding Payments \$ Pay by Selected \$ Export

<input type="checkbox"/>	CPD Assessment Period	No. of CPD hour(s) Required	No. of shortfall in CPD hour(s) as at 31 Jul	Fine Payment Generated by	Fine Generated Date (dd/mm/yyyy)	Fine Amount (HK\$)	Payment Status	Notices / Agreement	Payment / Receipt
<input type="checkbox"/>	2023-2024	15	9.0		16/07/2024	\$5,400.00	Pending (by Licensee)		<input type="button" value="Pay"/>

1 - 1 of 1 items

- *Steps 4 to 6: Please refer to the above 2.4.1 to follow the Steps of 4 to 6.*

2.5.2 Individual Licensee may also made E-Payment at “CPD Non-Compliance Reporting (Submitted Records)” with the steps at Para. 2.5.1



## 2.6 Generate Settlement Agreement

2.6.1 After completion of the Excel Form, Principal may generate the Section 84 Settlement Agreement by taking the following steps:

- *Step 1: Select “(2)Generate Settlement Agreement” under “Upload Report / Settlement Agreement”.*
- *Step 2: Press “Select file to upload” and attach the completed Excel Form.*
- *Step 3: Press “Download Settlement Agreement”.*

The screenshot shows the 'Insurance Intermediaries Connect' portal. The sidebar on the left contains the following menu items: Termination of Responsible Officer ("RO"), Termination of Appointment, Bulk Termination of Appointment, CPD Reporting, CPD Non-Compliance Reporting, CPD Non-Compliance Reporting (Submitted Records), and Report. The main content area is titled 'CPD Non-Compliance Reporting'. It includes a section for 'Download Excel Form (s.84 Agreement\_CPD Non-Compliance Reporting)' with a dropdown menu. Below this, there is a section for 'Upload Excel Form for below functions (For assessment period from 2023-2024 and onwards):'. A note states: 'For settlement agreement in relation to the assessment period of 2022/2023 or before, please send it to us at [cpd-dis@ia.org.hk](mailto:cpd-dis@ia.org.hk)'. Step 1 is highlighted with a red box around the text '(2) Generate Settlement Agreement'. Step 2 is highlighted with a red box around the 'SELECT FILE TO UPLOAD' button and the file 's84 Agreement Generator CPD Non Co...' (12.20 KB). Step 3 is highlighted with a red box around the 'Download Settlement Agreement' button.

Insurance Intermediaries Connect

CPD Non-Compliance Reporting

Download Excel Form (s.84 Agreement\_CPD Non-Compliance Reporting)

Upload Excel Form for below functions (For assessment period from 2023-2024 and onwards):  
For settlement agreement in relation to the assessment period of 2022/2023 or before, please send it to us at [cpd-dis@ia.org.hk](mailto:cpd-dis@ia.org.hk)

(2) Generate Settlement Agreement 1

Upload Completed Excel Form

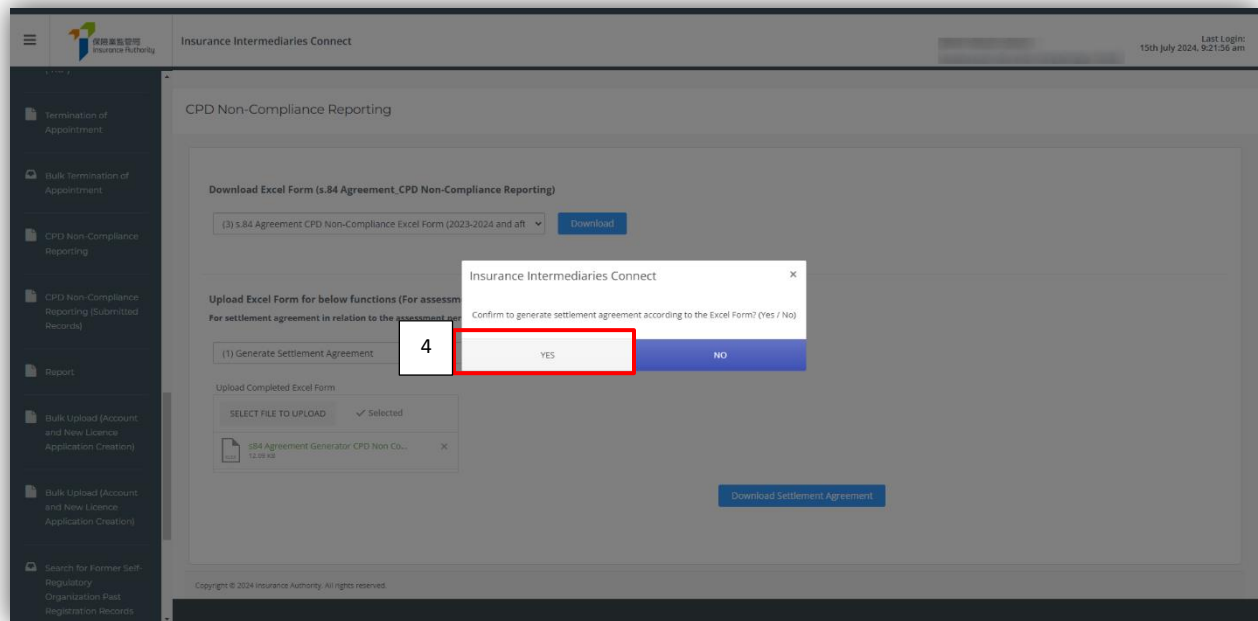
SELECT FILE TO UPLOAD ✓ Selected

s84 Agreement Generator CPD Non Co... 12.20 KB 2

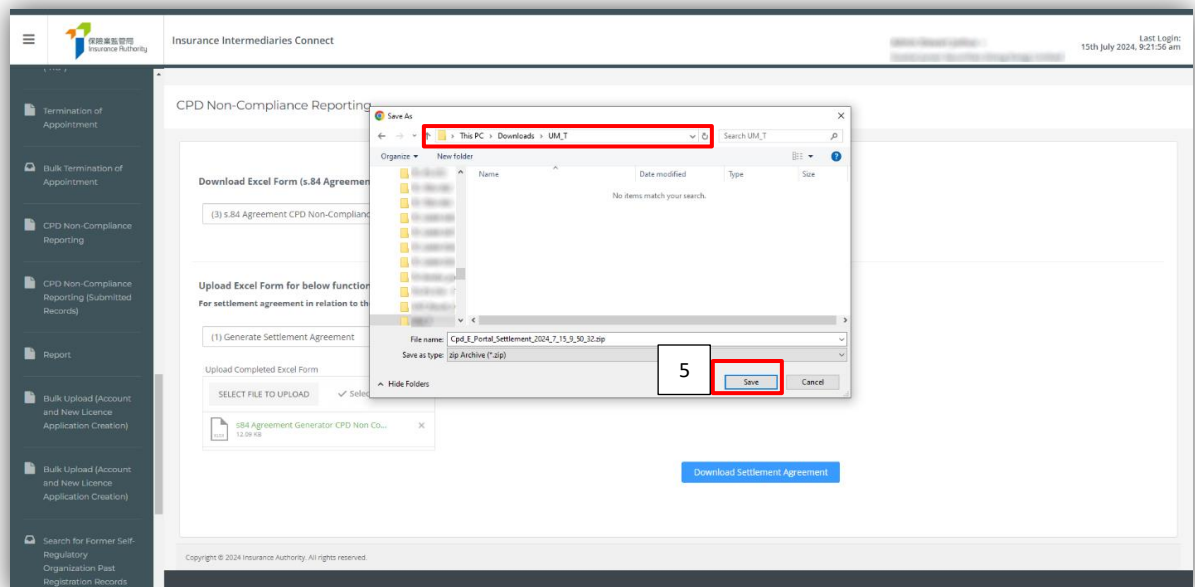
Download Settlement Agreement 3



*Step 4: Press “Yes” to confirm generating the Settlement Agreement.*

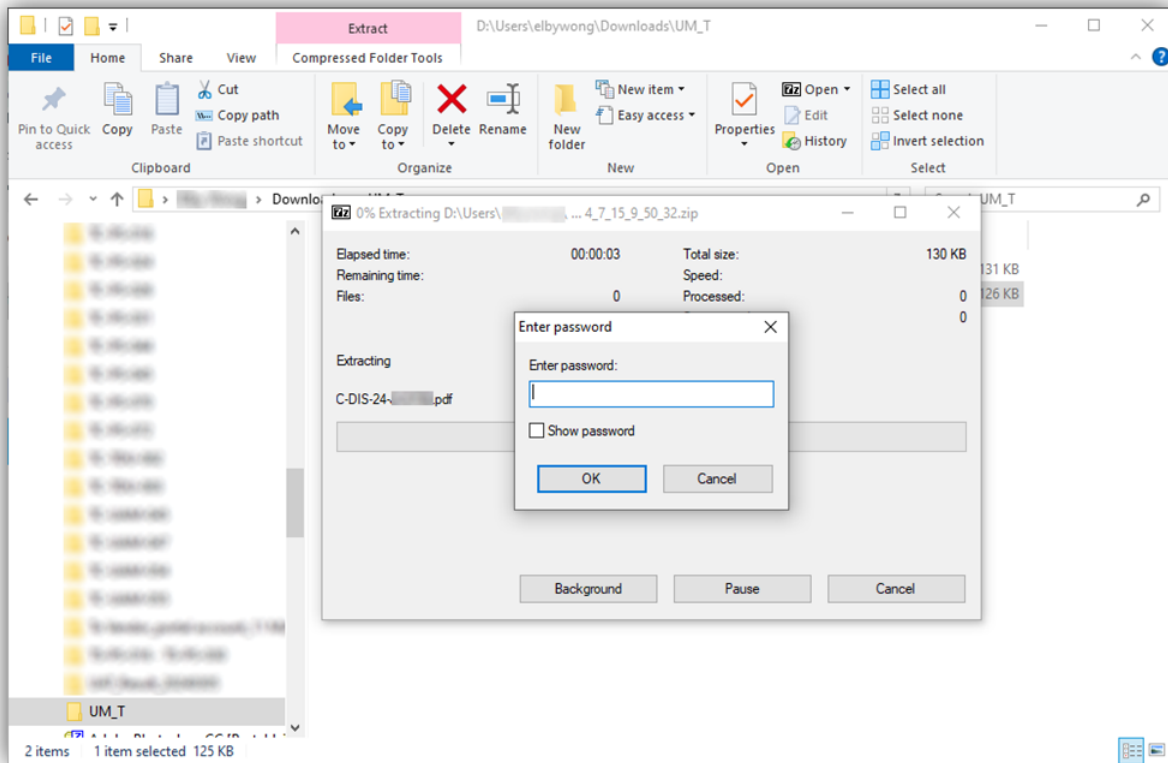


- *Step 5: A password protected zipped folder containing The Settlement Agreement(s) will be downloaded to the designated directory.*





- *Step 6: Enter password to unzip the folder for the Settlement Agreement(s) (please refer to Para. 1.2 "Set up password, mobile phone number and email address").*



2.6.2 The Section 84 Settlement Agreement for each concerned Individual Licensee(s) would be generated with a designated file name. The Principal should generate, print and provide the settlement agreement to the Individual Licensee(s) for signature **on the same date**.

- *The PDF file will be named in the following format: "C-DIS-[YY]-[Licence Number].pdf".*
- *[YY] means the year of CPD assessment period that the concerned licensee(s) ends at. For example, CPD Assessment Period of the year 2023-2024 and the licence number of concerned licensee is XX0000, then the file name would be "C-DIS-24-XX0000.pdf".*



## 2.7 Upload Settlement Agreement

- 2.7.1 Principal shall upload the signed settlement agreement to IIC at CPD Non-Compliance Reporting.
- 2.7.2 The Principal shall ensure and verify that the Individual Licensee has rectified the shortfall of CPD hours before completing the Excel Form. The Principal shall retain the rectification documents for IA's checking.
- 2.7.3 If the "Date of Section 84 Agreement" in the Excel Forms for performing functions of "Generate Payment Link" and "Generate Settlement Agreement" were not the same, the system would confirm it with the Principal when uploading the Settlement Agreement. When uploading the settlement agreement in IIC, the **Date of Section 84 Agreement should be filled in the date when the Settlement Agreement was generated, and signed by the Individual Licensee(s) (which should be on the same date).**
- 2.7.4 Below are the views and steps for Principal to upload settlement Agreement (for up to 20 licensee(s)) each time.
  - *Step 1: Select "(3) Upload Signed Settlement Agreement" at "Upload Excel Form for below functions".*
  - *Step 2: Press "Select file to upload".*



Insurance Intermediaries Connect

CPD Non-Compliance Reporting

Download CPD Non-Compliance Form

Upload Report / Settlement Agreement

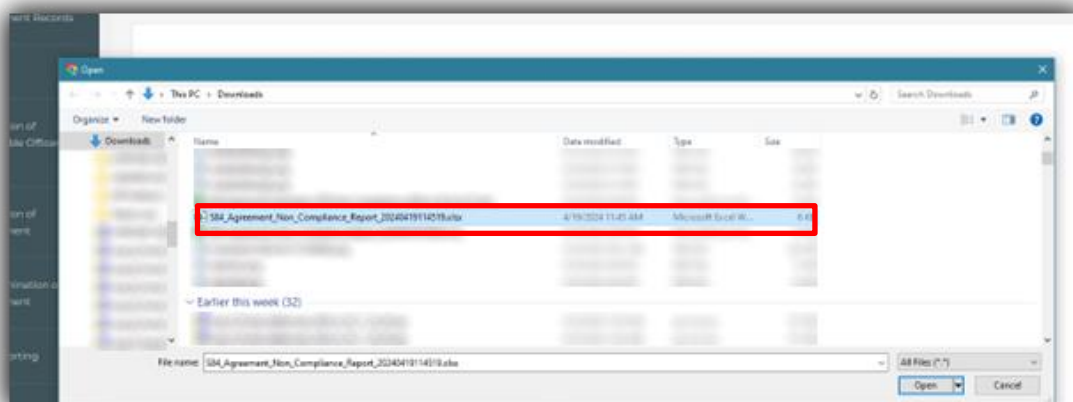
(3) Upload Settlement Agreement 1

CPD Non-Compliance Report

SELECT FILE TO UPLOAD 2

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- Step 3: Select the completed s.84 CPD Non-Compliance Excel Form of 2023-2024 (and onwards) for the concerned individual Licensee(s)







- *Step 4: After uploading the Excel Form, press confirm after having verified the information shown in the message box.*

(s.84 Agreement\_CPD Non-Compliance Reporting)

Insurance Intermediaries Connect

Please check and confirm again the following:  
(1) The Assessment Period (2023-2024) is correct;  
(2) The Date(s) of Agreement is/are correct:

(1) - Row 7 (License no. [redacted]) (Date of Agreement:30/07/2024)

Confirm to proceed? (Yes / No)

CONFIRM CANCEL

4

Selected

PD Non-Compliance E...

- *Step 5: After confirmation, an attachment box for each Individual Licensee will be popped up for uploading the Settlement Agreement. Press “Select file to upload” to open a file dialog.*
- *Step 6: Select a PDF file for uploading. The PDF file must be named in the following format: “C-DIS-[YY]-[Licence Number].pdf” which is the same file name when the settlement agreement is generated at Para. 2.6.2.*
- *Step 7: Press “Upload” to upload the signed Section 84 Agreement*



## CPD Non-Compliance Reporting

Download Excel Form (s.84 Agreement\_CPD Non-Compliance Reporting)

Upload Excel Form for below functions (For assessment period from 2023-2024 and onwards):

For settlement agreement in relation to the assessment period of 2022/2023 or before, please send it to us at [cpd-dis@ia.org.hk](mailto:cpd-dis@ia.org.hk)

(3) Upload Signed Settlement Agreement

Upload Completed Excel Form

SELECT FILE TO UPLOAD ✓ Selected

s84 Agreement CPD Non-Compliance ...  
13.75 KB

Licence Number

Name

s.84 Agreement Date

Settlement Agreement

30/07/2024

SELECT FILE TO UPLOAD ✓ Selected

C-DIS-24-...pdf  
132.47 KB

Upload

- Step 8: Press “Yes” to confirm that you have uploaded the signed Section 84 Agreement

Insurance Intermediaries Connect

Please confirm that you have checked the supporting rectification documents of the outstanding CPD hours with the licensee(s) before uploading the signed Section 84 Agreement.

8

YES

NO

- Step 9: Select a mobile phone number to receive OTP.
- Step 10: Press “Next” to receive OTP.



保險業監管局  
Insurance Authority

To create payment for CPD reporting in Insurance Intermediaries Connect, please select company mobile number.

Mobile No.: [Dropdown Menu] 9

保險業監管局  
Insurance Authority

To create payment for CPD reporting in Insurance Intermediaries Connect, please select company mobile number.

Mobile No.: [Dropdown Menu]

Next

 10

- Step 11: Input the received OTP.
- Step 12: Press “Submit” to submit the OTP.
- Step 13: Press “Yes” to confirm submit.

保險業監管局  
Insurance Authority

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

11 One Time Password Re-send

12 Submit

保險業監管局  
Insurance Authority

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

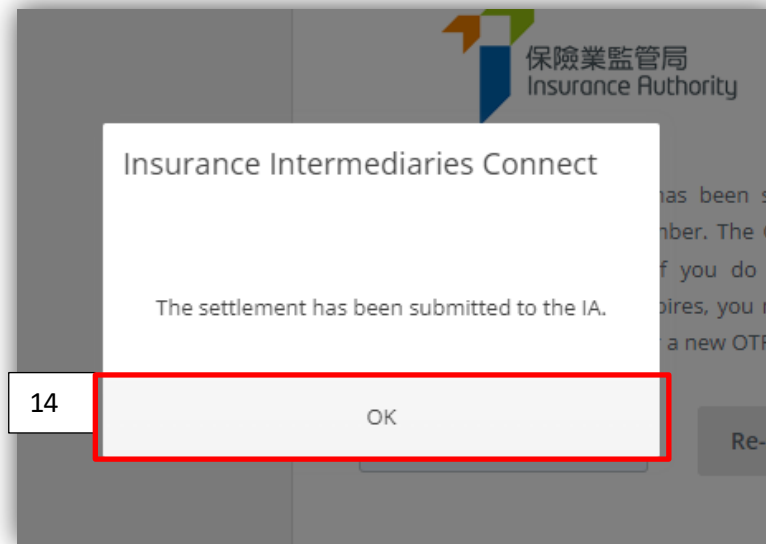
Insurance Intermediaries Connect

Confirm to submit?

13 YES NO Re-send

Submit

- Step 14: The OTP is submitted successfully, press “OK” to complete the action.



- Step 15: An email notification would be sent to the Principal and concerned Individual Licensee after the Section 84 Agreement has been uploaded to IIC.

### 3. CPD Non-Compliance Reporting (Submitted Records)

#### 3.1 Principal's view of Submitted Records

3.1.1 Principal may view and download CPD non-compliance records by taking the following steps:

- Step 1 : Enter "CPD Non-Compliance Reporting (Submitted Records)".

Insurance Intermediaries Connect

CPD Non-Compliance Reporting (Submitted Records)

CPD Assessment Period: 2023-2024

Play Selected Export

	CPD Assessment Period	IA Case No.	IA Licence No.	Name as shown on licence (English)	Name as shown on licence (Chinese)	Licence Status as at the Date of Section 84 Agreement	No. of CPD hour(s) Required	No. of shortfall in CPD hour(s) as at 31 Jul	Has the shortfall been rectified (Yes/No)
<input type="checkbox"/>	2023-2024	C-D15/24				Active	15	11.0	Yes
<input type="checkbox"/>	2023-2024	C-D15/24				Active	15	11.0	Yes
<input type="checkbox"/>	2023-2024	C-D15/24				Revoked	15	6.0	Yes
<input type="checkbox"/>	2023-2024	C-D15/24				Revoked	15	8.5	Yes
<input type="checkbox"/>	2023-2024	C-D15/24				Revoked	15	9.0	Yes
<input type="checkbox"/>	2023-2024	C-D15/24				Revoked	15	7.0	Yes

20 Items per page

1 - 7 of 7 items

- Step 2: View and download the submitted Excel Form and uploaded documents



(PDF) (e.g. the settlement agreement, receipt) by pressing the icons.

CPD Non-Compliance Reporting (Submitted Records)

CPD Assessment Period		2023-2024		Pay Selected \$		Export		
Section 84 Agreement (dd/mm/yyyy)	Section 84 Agreement Submission Date (dd/mm/yyyy)	Section 84 Agreement Submitted by	Suspension/Prohibition for CPD non-compliance	Suspension/Prohibition Start Date for CPD non-compliance (dd/mm/yyyy)	Suspension/Prohibition End Date for CPD non-compliance (dd/mm/yyyy)	Submitted Excel File for Upload Agreement	Notices / Agreement	Payment / Receipt
09/08/2024					2			<a href="#">Show Receipt</a>
10/07/2024	09/08/2024		Suspension	30/07/2024	28/10/2024			<a href="#">Show Receipt</a>
10/07/2024	09/08/2024							<a href="#">Show Receipt</a>
12/07/2024								<a href="#">Show Receipt</a>
12/07/2024								<a href="#">Show Receipt</a>
12/07/2024								<a href="#">Show Receipt</a>

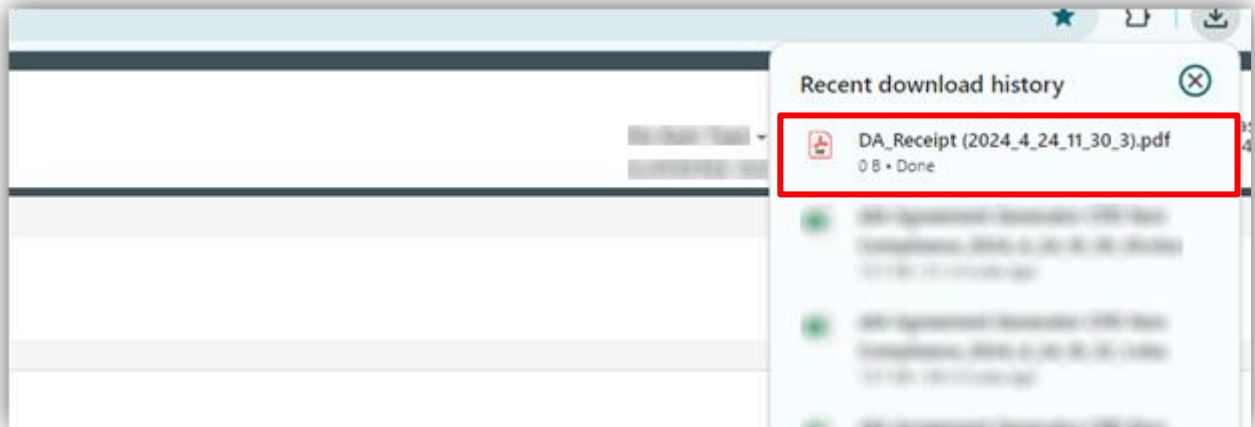
- Step 3: Download the payment receipt of fine (PDF file format) by pressing the "Show Receipt".

CPD Non-Compliance Reporting (Submitted Records)

CPD Assessment Period		2023-2024		Pay Selected \$		Export		
Section 84 Agreement (dd/mm/yyyy)	Section 84 Agreement Submission Date (dd/mm/yyyy)	Section 84 Agreement Submitted by	Suspension/Prohibition for CPD non-compliance	Suspension/Prohibition Start Date for CPD non-compliance (dd/mm/yyyy)	Suspension/Prohibition End Date for CPD non-compliance (dd/mm/yyyy)	Submitted Excel File for Upload Agreement	Notices / Agreement	Payment / Receipt
09/08/2024								Show Receipt
10/07/2024	09/08/2024		Suspension	30/07/2024	28/10/2024			Show Receipt
10/07/2024	09/08/2024							Show Receipt
12/07/2024								Show Receipt
12/07/2024								Show Receipt
12/07/2024								Show Receipt



- The receipt is then downloaded to your device.



- Step 4: There is a download function for all the data in the CPD Non-Compliance Reporting (Submitted Record).
  - Press “Export” to export the selected record(s) to an Excel file. An Excel file is downloaded to your device; By pressing “Export” without selecting any records, a full report will be generated.

Insurance Intermediaries Connect

CPD Non-Compliance Reporting (Submitted Records)

CPD Assessment Period: 2023-2024

Play Selected 5 Export

<input type="checkbox"/>	CPD Assessment Period	IA Case No.	IA Licence No.	Name as shown on licence (English)	Name as shown on licence (Chinese)	Licence Status as at the Date of Section 8A Agreement	No. of CPD hour(s) Required	No. of shortfall in CPD hour(s) as at 31 Jul	Has the shortfall been rectified (Yes/No)
<input type="checkbox"/>	2023-2024	C-D15/24	10000000000000000000	10000000000000000000	10000000000000000000	Active	15	10	Yes
<input type="checkbox"/>	2023-2024	C-D15/24	10000000000000000000	10000000000000000000	10000000000000000000	Active	15	10	Yes
<input type="checkbox"/>	2023-2024	C-D15/24	10000000000000000000	10000000000000000000	10000000000000000000	Revoked	15	60	Yes
<input type="checkbox"/>	2023-2024	C-D15/24	10000000000000000000	10000000000000000000	10000000000000000000	Revoked	15	85	Yes
<input type="checkbox"/>	2023-2024	C-D15/24	10000000000000000000	10000000000000000000	10000000000000000000	Revoked	15	90	Yes
<input type="checkbox"/>	2023-2024	C-D15/24	10000000000000000000	10000000000000000000	10000000000000000000	Revoked	15	70	Yes


1 - 7 of 7 items



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 S84\_Agreement\_Non\_Compliance\_Report\_20240426161221.xlsx  
5.8 KB • Done

st Lo  
49:21

Pay All Selected\$

Export

o. of shortfall CPD hour(s) at 31 Jul	Fine Amount	Payment Stat
S	\$7,500.00	Paid (By Princ

