

User Guide of the Insurance Intermediaries Connect for Principals

– Licence Renewal Application

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



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

A2 User Guide of the Insurance Intermediaries Connect for Principals

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

1. Account Setting in Supervisor Account

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

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

Name	Department	Job Title	Email	Status	Detail
Chan Siu Man	Agency Admin	Manager	deemedlicensee2@chansiuman@gmail.com	Active	

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

Alternate Supervisor: NO

By assigning the user as an Alternate Supervisor, he / she could act as Supervisor when Supervisor is unavailable.

Approved Access Rights

- Assign tasks from one administration account to another administration account
- Application Assignment - Deemed Licensee Application
- Transfer Case Handler
- Licensee Account Management
- Create Individual Account
- Bulk Uploads for Account Creation
- Bulk Uploads for Application Creation
- Deemed Licensees' Bulk Upload
- Bulk Termination of Appointment
- Verify Licence Application
- Verify Bulk Deem Licensee Application
- Confirm Appointment (Licence Application)
(This access right should be assigned to a person who is authorized by your Board of Directors / Key Person in Intermediary Management / Responsible Officer to give such confirmation to the IA.)
- Termination of Appointment
(This access right should be assigned to a person who is authorized by your Board of Directors / Key Person in Intermediary Management / Responsible Officer to give such notification to the IA.)
- Search for Former Self-Regulatory Organization Past Registration Records
- Assign Renewal Application
- Verify Renewal Application
- Confirm Renewal Application
- Report

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2. Renewal Application Assignment by Principal

2.1. Assign Renewal Application

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

Insurance Intermediaries Connect

Login

Username

Password

Please enter the following:

0:00 / 0:03

Capcha

I understand and agree to the NOTICE below.

LOGIN

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

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

Insurance Intermediaries Connect

Welcome!

Information Board

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

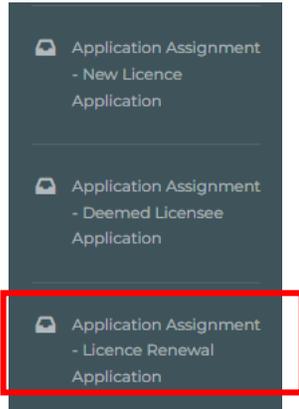
Inbox

Administration Account Management

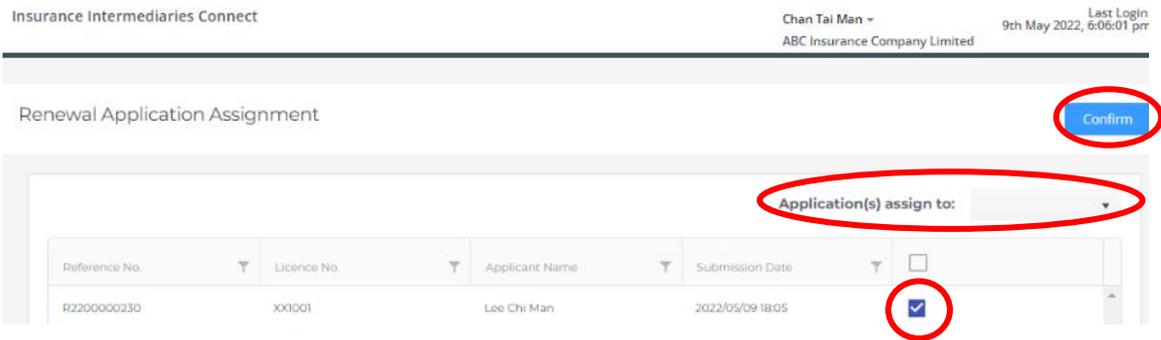
Individual Account Management (Applicant)



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

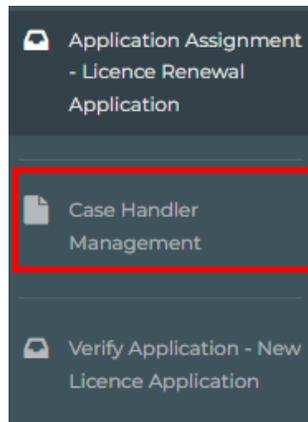


- Choose the application(s) and assign to designated case officer and click “Confirm”.



2.2. Reassign Renewal Application

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





Case Handler Management Cancel Confirm

Type of Application/Account to be reassigned Renewal Application

Original Case Handler Chan Tai Man

New Case Handler

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

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

3. Verification by Principal

3.1. Verify Renewal Application by Principal

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

Insurance Intermediaries Connect Eng

Login

Username

Password

Please enter the following:

▶ 0:00 / 0:03

Captcha

I understand and agree to the NOTICE below.

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

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

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

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

Inbox

Administration Account Management

Individual Account Management

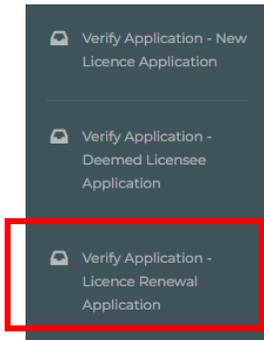
Welcome!

Information Board

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



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



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

Verify Renewal Application

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

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

- Case Officer may choose multiple cases and “Bulk verify” the cases without putting remarks/ticking the checkbox on each page of the application form. Alternatively, case officer can click the gearwheel icon for details and view each section of the application.



- Principals should put in place proper controls to ensure all the information provided in the application and any documents in connection with the application are COMPLETE, TRUE and CORRECT.
- Please refer to Step 3.2 for Bulk Verification to verify MORE THAN ONE applications OR refer to Step 3.3 for Verification of ONE particular application

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

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

Verify Renewal Application

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

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

- Click “YES” in the pop-up message.

Insurance Intermediaries Connect

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

- Click “OK” in the pop-up message.

Verify Renewal Application

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

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

Insurance Intermediaries Connect

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



3.3. Verification of ONE particular application

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

Verify Renewal Application

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

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

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

Please enter remarks if you have any comments on this section

Verified with no comments? [Next Section >](#)

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

Status: Pending verification by Principal(s)

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

Supporting documents

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

Character, Financial Status, Disciplinary Action & Investigation

SELECT FILES

test.pdf

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

Please enter remarks if you have any comments on this section

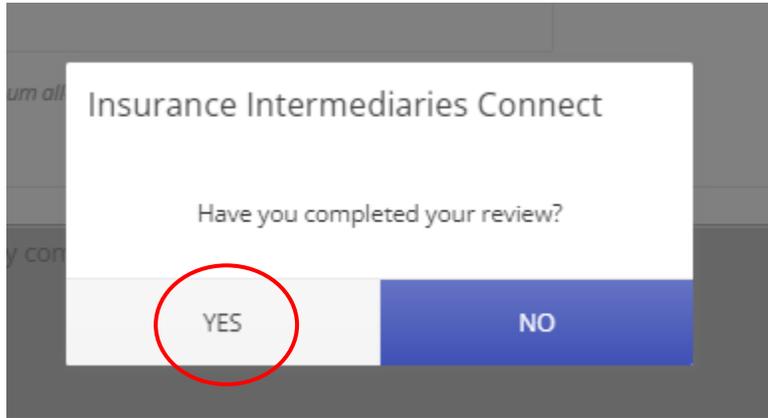
[< Previous](#) Verified with no comments? [Finish >](#)

Attachment

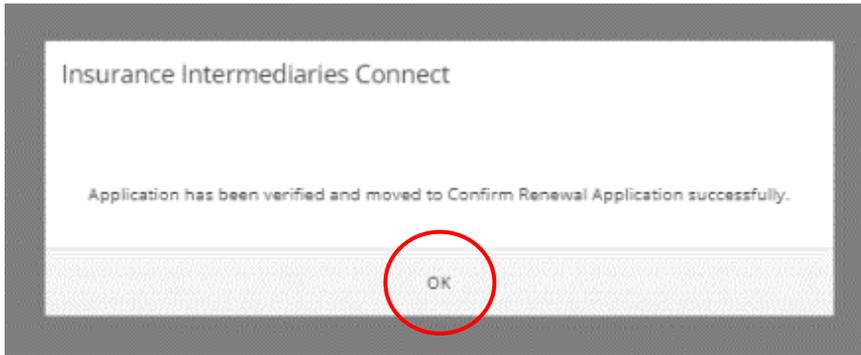
SectionIV - test.pdf



- Click “YES” in the pop-up message.



- Click “OK” in the pop-up message.

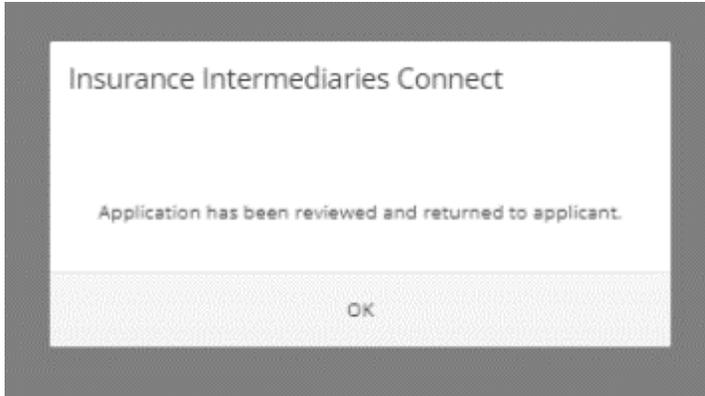


3.4. Return Renewal Application to applicant

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

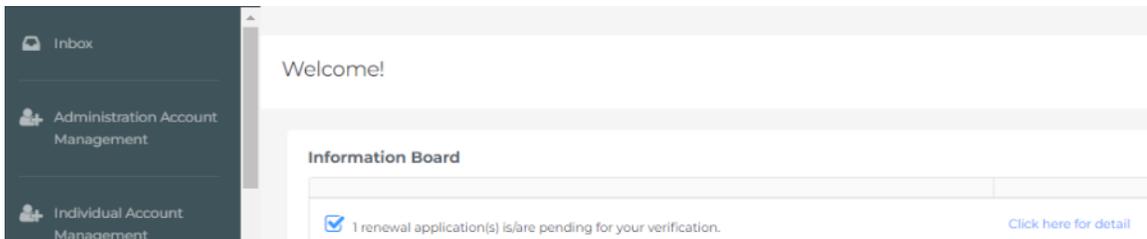
Please provide supplementary information.

< Previous Verified with no comments? Next Section >



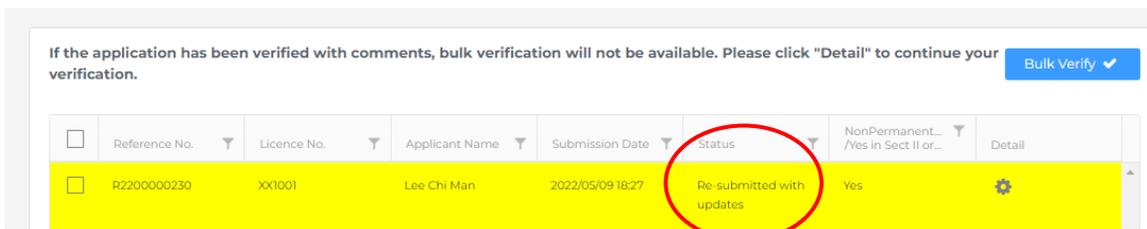
3.5. Verification of resubmitted Renewal Application

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



- Resubmitted applications will be indicated in Status column.

Verify Renewal Application





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

Verify Renewal Application

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

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

Verify Renewal Application

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

This page has been amended by applicant

Status: Pending verification by Principal(s)

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

IV. Character, Financial Status, Disciplinary Action & Investigation

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

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

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

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

- Please refer to Step 3.3 for verifying application.



4. Confirmation of appointment by Principal

4.1. Confirm Renewal Application by Principal

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

Insurance Intermediaries Connect

Eng

Login

Username

Password

Please enter the following:

0:00 / 0:03

Capcha

I understand and agree to the NOTICE below.

LOGIN

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

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

Welcome!

Information Board

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

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

Confirm Appointment
(New Licence and
Deemed Licensee
Application)

Confirm Appointment
(Licence Renewal
Application)



- The PAA shall review the appointment pending for confirmation by clicking the gearwheel icon. If the PAA is satisfied with the appointment information, he/she can proceed the appointment by selecting the subject appointment and clicking “*Add to Cart +*”.

Confirm Renewal Application

<input type="checkbox"/>	Reference No.	Licence No.	Applicant Name	Submission Date	Status	NonPermanent... /Yes in Sect II or...	Detail
<input checked="" type="checkbox"/>	R2200000230	XX1001	Lee Chi Man	2022/05/09 18:27	Re-submitted with updates	Yes	

- Click “Cart”. The number of applications added to cart is indicated next to “Cart”.

- Click “*Confirm*”.

Confirm Renewal Application

Reference No.	Licence No.	Applicant Name	Submission Date	Status	NonPermanent... /Yes in Sect II or IV	Detail
R2200000230	XX1001	Lee CHI Man	2022/05/09 18:27	Re-submitted with updates	Yes	



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

Declaration by Appointing Principal

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

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

Name of Contact Person

Position of Contact Person

Email of Contact Person

Phone No of Contact Person

Confirm

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

 保險業監管局
Insurance Authority

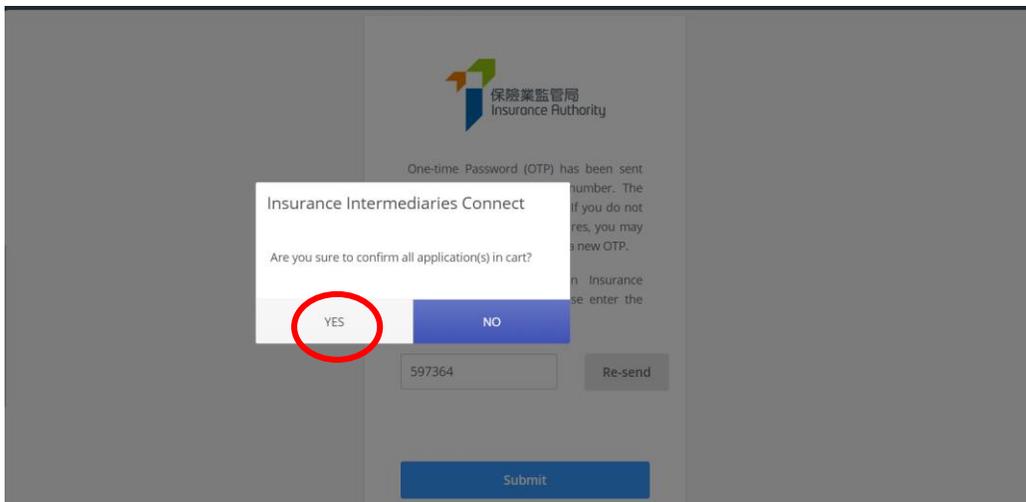
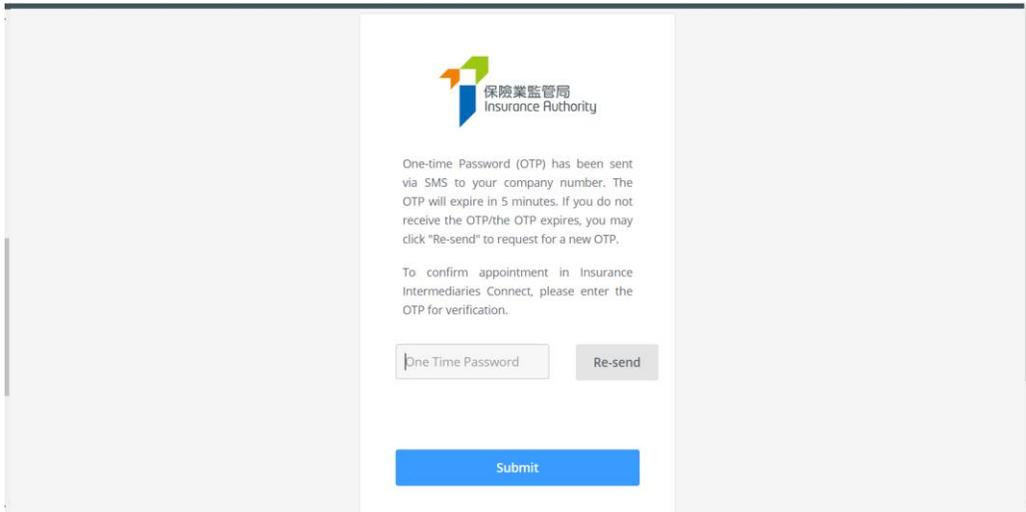
Please select a designated mobile number to confirm appointment.

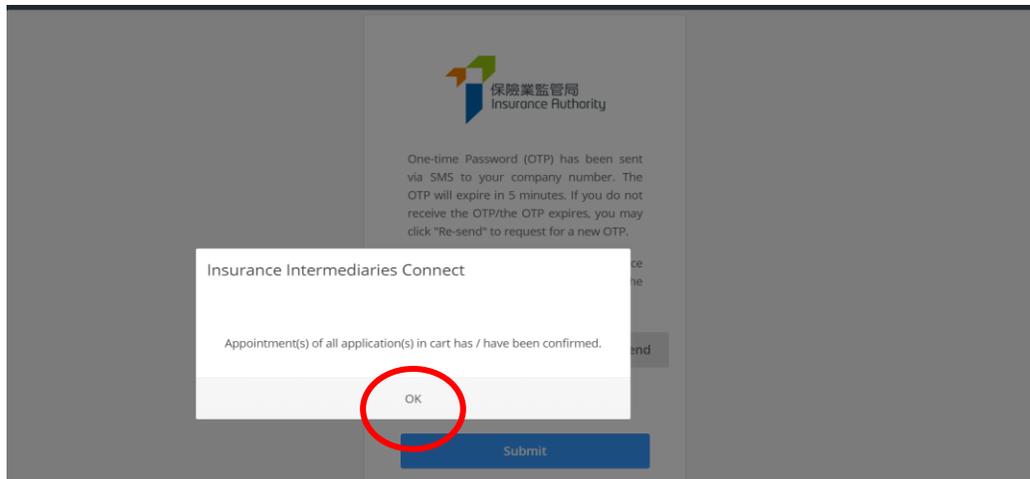
Mobile No.:

Submit



- A SMS message containing an OTP will be sent to the Designated Mobile Number. Please refer to section 2.5 of the User Guide of the Insurance Intermediaries Connect for Principals for setting up designated mobile number.
- Input the OTP received. Click “Submit”. Once the OTP is inputted into the system, the renewal application will be formally submitted to the IA.





5. Status Report

There are two status reports to facilitate appointing principals to manage and monitor the progress the licence renewal:

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



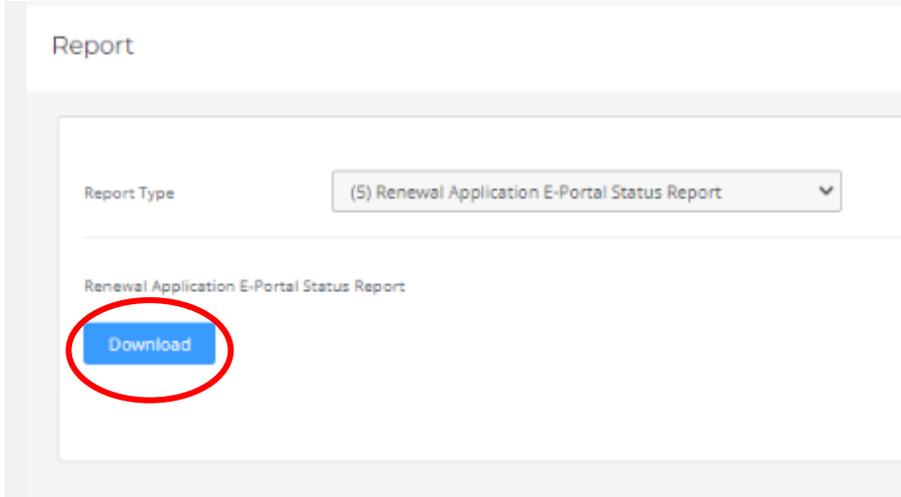
5.1. Download Status Report

- Select “Report” in the left vertical menu.

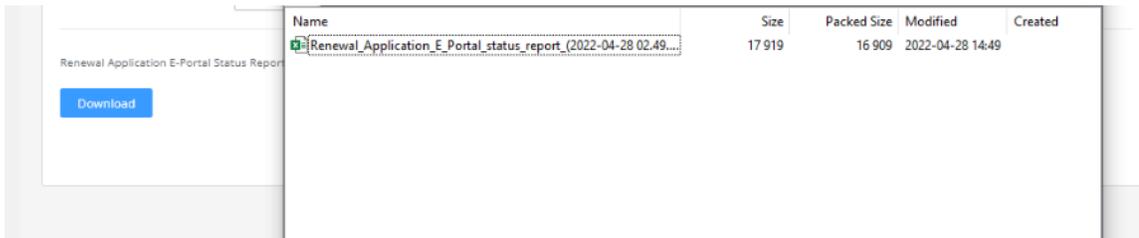


- Click the dropdown list and select the report to be downloaded (e.g: (5) Renewal Application E-portal Status Report).

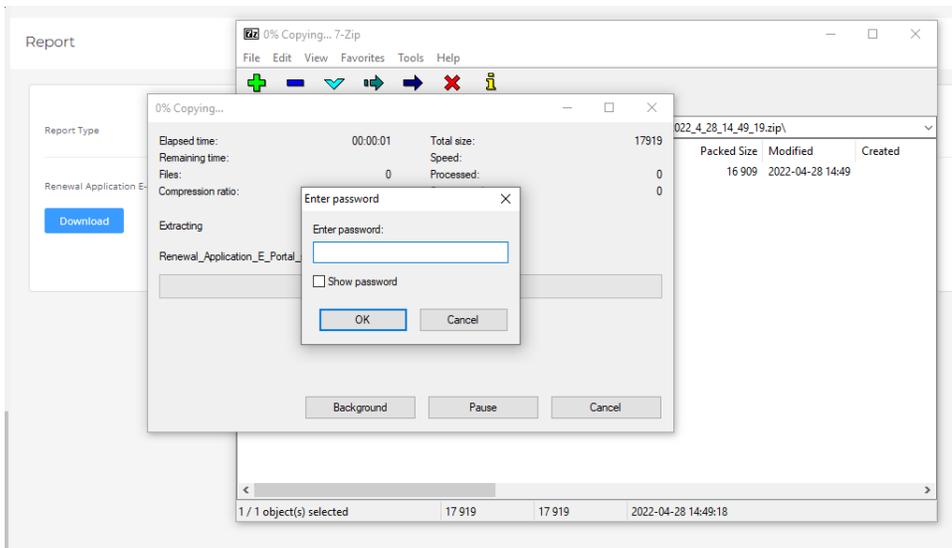
- Click “Download” to download the report and then click “Save” to save the zip file.



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



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





- The report (extracted) is as below:

Renewal_Application_E-Portal_status_report_(2022-04-28 02:49:18).xlsx												
File Home Insert Page Layout Formulas Data Review View Developer Help ParaDM												
C38												
AXA China Region Insurance Company (Bermuda) Limited												
Renewal Application E-Portal Status Report as at 28/04/2022												
	Full English Name	Full Chinese Name	Partial HKID No.	IA License No.	Licence Type	Case Handler	Date of Application Submitted to IA	Licence Application Number	Application Status	Review Status	Application Last Update Date	Appointing Principal who
4	Cheung Chi Keung IH1000	張志強 IH1000	A001	IH1000	Individual Insurance Agent	UAT 3 Test	2022-04-14	R2200000132	Filing	Returned by IA	2022-04-14	AXA China Region Insuran
5	Cheung Chi Keung IH1001	張志強 IH1001	A002	IH1001	Individual Insurance Agent	UAT 3 Test	2022-04-22	R2200000145	Submitted to IA		2022-04-22	AXA China Region Insuran
6	Cheung Chi Keung IH1002	張志強 IH1002	A003	IH1002	Individual Insurance Agent	UAT 3 Test	2022-04-14	R2200000124	Submitted to IA		2022-04-14	AXA China Region Insuran
7	Cheung Chi Keung IH1003	張志強 IH1003	A004	IH1003	Individual Insurance Agent	UAT 3 Test	2022-04-12	R2200000104	Submitted to Principal		2022-04-12	AXA China Region Insuran
8	Cheung Chi Keung IH1004	張志強 IH1004	A005	IH1004	Individual Insurance Agent	UAT 3 Test	2022-04-08	R2200000069	Approved		2022-04-13	AXA China Region Insuran
9	Cheung Chi Keung IH1005	張志強 IH1005	A006	IH1005	Individual Insurance Agent	UAT 3 Test	2022-04-12	R2200000100	Filing	Returned by Principal	2022-04-14	AXA China Region Insuran
10	Cheung Chi Keung IH1006	張志強 IH1006	A007	IH1006	Individual Insurance Agent	UAT 3 Test	2022-04-08	R2200000061	Submitted to IA		2022-04-08	AXA China Region Insuran
11	Cheung Chi Keung IH1007	張志強 IH1007	A008	IH1007	Individual Insurance Agent	UAT 3 Test	2022-04-12	R2200000108	Approved		2022-04-14	AXA China Region Insuran
12	Cheung Chi Keung IH1008	張志強 IH1008	A009	IH1008	Individual Insurance Agent	UAT 3 Test	2022-04-08	R2200000059	Filing		2022-04-08	AXA China Region Insuran
13	Cheung Chi Keung IH1009	張志強 IH1009	A010	IH1009	Individual Insurance Agent	UAT 3 Test	2022-04-08	R2200000065	Withdrawn		2022-04-13	AXA China Region Insuran

5.2. Check the Renewal Application Status

5.2.1. Renewal Application E-portal Status

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

Status Report (5)

ABC Insurance Company Limited												
Renewal Application E-Portal Status Report as at 10/05/2022												
Full English Name	Full Chinese Name	Partial HKID No.	IA License No.	Licence Type	Case Handler	Date of Application Submitted to IA	Licence Application Number	Application Status	Review Status	Application Last Update Date	Appointing Principal who Handles the Application	Line of Business Licensee May Carry On (1)
LEE CHI MAN	李志文	B012	XX1001	Individual Insurance Agent	Chan Tai Man	2022-05-03	R2200000011	Submitted to IA	Returned by IA	2022-05-05	ABC Insurance Company Limited	ABC Insurance Company Limited
LEE CHI MAN 2	李志文 2	B012	XX1002	Individual Insurance Agent	Chan Tai Man	2022-04-27	R2200000011	Submitted to IA		2022-04-27	ABC Insurance Company Limited	ABC Insurance Company Limited
LEE CHI MAN 3	李志文 3	B014	XX1003	Individual Insurance Agent	Chan Tai Man	2022-04-27	R2200000011	Submitted to Principal		2022-04-27	ABC Insurance Company Limited	ABC Insurance Company Limited
LEE CHI MAN 4	李志文 4	B014	XX1004	Individual Insurance Agent	Chan Tai Man	2022-04-06	R2200000011	Approved		2022-04-09	ABC Insurance Company Limited	ABC Insurance Company Limited
LEE CHI MAN 5	李志文 5	C015	XX1005	Individual Insurance Agent	Chan Tai Man	2022-04-06	R2200000011	Filing	Returned by Principal	2022-04-09	ABC Insurance Company Limited	ABC Insurance Company Limited
LEE CHI MAN 6	李志文 5	C015	XX1005	Individual Insurance Agent	Chan Tai Man	2022-05-03	R2200000011	Submitted to IA		2022-05-05	ABC Insurance Company Limited	ABC Insurance Company Limited
								Approved				G
								Filing				L(I)
								Withdrawn				G
												L(X)
												G+L(X)



5.2.2. Licensee’s Renewal application status

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

Status Report (6)

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

ABC Insurance Company Limited												
Outstanding Report of Licences to be Expired in coming 6 months as at 10/05/2022												
Full English Name	Full Chinese Name	Partial HKID No.	Licence No.	Licence Type	Licence Expiry Date	No. of Days to be Expired	Renewal Application Function Available	E-Portal Account Activated	Date of Renewal Application Submitted to IA	Application Number	Application Status	Review Status
LEE CHI MAN	李志文	B012	XX1001	Individual Insurance Agent	2022-09-21	134	Y	Y	2022-05-03	R2200000187	Approved	
LEE CHI MAN 2	李志文 2	B012	XX1002	Individual Insurance Agent	2022-06-27	48	Y	Y	2022-04-27	R2200000166	Submitted to IA	
LEE CHI MAN 3	李志文 3	B014	XX1003	Individual Insurance Agent	2022-08-06	88	Y	Y	2022-04-27	R2200000167	Submitted to Principal	
LEE CHI MAN 4	李志文 4	B014	XX1004	Individual Insurance Agent	2022-08-02	84	Y	Y	2022-04-06	R2200000039	Approved	
LEE CHI MAN 5	李志文 5	C015	XX1005	Individual Insurance Agent	2022-07-03	54	Y	Y	2022-04-06	R2200000040	Filing	Returned by Principal
LEE CHI MAN 6	李志文6	C016	XX1006	Individual Insurance Agent	2022-10-17	160	N	N	2022-05-03	R2200000041	Withdrawn	

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