

By Fax/By E-mail

Ref : A2-002/02-J67907

To : Dr Moses Cheng Mo Chi, Chairman, Insurance Authority
Mr Eddie Cheung, Deputy Secretary (Financial Services), FSTB
Mr Bhabani S. Rath, Chairman, The HK Confederation of Insurance Brokers
Mr Philip Mak, Chairman, Professional Insurance Brokers Association
Mr YK Chan, Insurance Industry Regulatory and Development Concern Group
Ms Lily Wong, President, The Life Underwriters Association of HK Ltd
Mr Colan Yiu, President, General Agents & Managers Association of HK
Mr Eric Yiu, Chairman, The HK General Insurance Agents Association Ltd
Ms Jaclyn Chu, President, HK Chamber of Insurance Intermediaries
Mr Carlson Tong, Chairman, Securities and Futures Commission
Mr Norman Chan, Chief Executive, Hong Kong Monetary Authority
Mr Joseph Tung, Executive Director, Travel Industry Council
Mr Au Ho Wah Brendan, Registrar of Travel Agents, Travel Agents Registry
Governing Committee, The Hong Kong Federation of Insurers
IARB Members and Co-opted Members
Authorized Representatives, Member Companies, The Hong Kong Federation of Insurers
Non-HKFI Insurers using HKFI's agent registration service

c.c. : Mr John Leung, JP, Commissioner of Insurance, Office of Commissioner of Insurance (OCI)

From : Alice Kong, General Manager – Compliance

Date : 23 June 2017

**Subject : Enhanced Vetting Requirements for Registration –
Renewal application of applicants using Mainland certificates in first registration –
Application for extension of registration if encountering difficulties in obtaining
verification result**
加強登記的審核要求—
首次登記時使用內地證書的申請人的續期登記申請—
針對獲取認證結果有困難的延期登記申請

As stated in the circular issued by the Insurance Agents Registration Board (IARB) on 13 April 2017 (Ref: A2-002/02-J66764), a registered person, whose registration is due to expire on or after 1 August 2017, is required to accompany his/her renewal application by a copy of his/her academic certificate obtained before his/her first registration together with a copy of the verification report/notarial certificate /direct confirmation (if applicable) as stipulated in the above-mentioned circular if he/she had used an academic certificate issued by a Mainland educational institution in his/her first registration with the IARB.

如保險代理登記委員會（委員會）於 2017 年 4 月 13 日發出（編號：A2-002/02-J66764）的通告所述，就所有於 2017 年 8 月 1 日或之後到期的續期登記申請，申請人如於首次登記時向委員會遞交由內地教育機構發出的學歷證書，則必須於續期登記申請時，同時遞交他於首次登記前已取得的學歷證書副本及上述通告內指定的認證報告／公證書／直接確認信副本（如適用）。

In view of the industry concerns about the impact of the new measure on existing registered persons arising from the uncertain time required for obtaining the verification result in respect of Mainland academic certificates under special circumstances (such as difficulty in obtaining proof of academic qualification due to loss of the relevant certificate and closure of the school concerned, etc.), the IARB may consider granting renewal applicants an extension of time for submission of their verification result upon written request. Renewal applicants who have difficulties in providing the IARB with their verification result before expiry of their registration should complete and return the following documents to the IARB:

因應業界關注新措施對現有登記人士在特別情況下（例如：因遺失相關學歷證書及所讀學校已停辦等原因而在獲取學歷證明時遇到困難），未能確定獲取內地學歷認證結果所需的時間而構成的影響，委員會在接

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獲續期登記申請人士書面申請後，可考慮批准延遲遞交有關認證結果。提交認證結果有困難的續期登記申請人士，應在登記到期前填妥以下文件並交回委員會處理：

- (1) **Registration Renewal Form together with the payment proof of renewal fee;**
登記續期申請表以及繳付續期費用的證明；
- (2) **A copy of the relevant Mainland academic certificate (unless the certificate is lost); and**
有關內地學歷證書副本(遺失證書除外)；及
- (3) **Application Form for Extension of Time for Submission of Verification Result in respect of Mainland Academic Certificate for Renewal of Registration (see attached) together with sufficient supporting documents (such as screenshots of messages delivered by the China Higher Education Student Information and Career Centre (CHESICC) showing the status of their applications lodged with the CHESICC, etc.).**
延期提交就續期登記所需內地學歷證書認證結果申請表(見附件)以及充分的證明文件(例如：由全國高等學校學生信息諮詢與就業指導中心發出的信息截圖，顯示申請人向該中心申請認證的狀況等)。

Before granting such extension, the IARB may require renewal applicants to provide any additional information as considered relevant to the verification of their Mainland certificates. Where verification result cannot be obtained by a renewal applicant despite every endeavor to attempt all the prescribed channels, the IARB will prudently review each case on its own merits taking into consideration all the pertinent facts and circumstances of the applicant.

委員會於審核續期登記延期申請時，或需要申請人提供與內地學歷證書認證相關的額外資料。如申請人已盡力嘗試所有指定方法後仍未能獲取有關認證結果，委員會將因應每宗申請的相關事實及情況審慎考慮。

Please note that:

請注意：

- (a) **There will not be any refund of the renewal fee if the registration is ultimately revoked by the IARB.**
如委員會最終決定撤銷申請人的登記，所繳付的續期費用將不獲退回。
- (b) **Due to the increased workload following the enhanced vetting requirements for registration, a straightforward registration application may not be processed within three working days.**
因應加強登記的審核要求而引致的額外工作量，符合資格的登記申請或需多於三個工作天處理。

Should you have any queries, please contact the registration unit at 2520 1868.

如有查詢，請致電 2520 1868 與登記部聯絡。



Encl
附件

Reasons for Request for Extension

要求延期的原因

<input type="checkbox"/>	<p>A. Loss of academic certificate 遺失學歷證書 I need more time to contact the educational institution to obtain an academic proof and will endeavor to do so. 我需要更多時間聯絡教育機構以獲取學歷證明書，並會盡力辦理。 Please provide information in Part 1. 請提供第 1 部分的資料。</p>
<input type="checkbox"/>	<p>B. Loss of academic certificate and Closure of school 遺失學歷證書及學校停辦 I need more time to contact the relevant education bureau to obtain an academic proof and will endeavor to do so. 我需要更多時間聯絡有關教育局/教育廳以獲取學歷證明書，並會盡力辦理。 Please provide information in Part 1. 請提供第 1 部分的資料。</p>
<input type="checkbox"/>	<p>C. Loss of academic certificate and Closure of school and No academic proof issued by education bureau 遺失學歷證書及學校停辦及沒有教育局/教育廳簽發的學歷證明書 I have endeavored to obtain an academic proof from the relevant education bureau but in vain. 我已盡力向有關教育局/教育廳申請學歷證明書但未能成功。 Please provide information in Part 1. 請提供第 1 部分的資料。</p>
<input type="checkbox"/>	<p>D. Additional documents requested by CHESICC or CDGDC 學信網或學位網要求提交額外文件 I need more time to obtain the additional documents required by CHESICC or CDGDC and will endeavor to do so. 我需要更多時間獲取學信網或學位網所需的額外文件，並會盡力辦理。 Please provide information in Part 2.1. 請提供第 2.1 部分的資料。</p>
<input type="checkbox"/>	<p>E. Additional documents requested for notarization 公證所需額外文件 I need more time to obtain the additional documents required for notarization and will endeavor to do so. 我需要更多時間獲取公證所需的額外文件，並會盡力辦理。 Please provide information in Part 2.2. 請提供第 2.2 部分的資料。</p>
<input type="checkbox"/>	<p>F. Notarial certificate not yet confirmed by the MFA of PRC 公證書尚未獲中華人民共和國外交部確認 I need more time to apply to MFA for confirmation of the notarial certificate and will endeavor to do so. 我需要更多時間向外交部申請公證書的確認，並會盡力辦理。 Please provide information in Part 2.2. 請提供第 2.2 部分的資料。</p>
<input type="checkbox"/>	<p>G. Others (Please provide information in Parts 1 and 2 if applicable. 其他 (請提供第 1 及 2 部分的資料(如適用)。</p>

Part 1 - Application for Academic Proof

第 1 部分 - 學歷證明書申請

Please provide details of your application for academic proof.

請提供有關你的申請學歷證明書的詳情。

1.1	<p>Application to Educational Institution for Academic Proof 向教育機構申請學歷證明書 Have you approached the educational institution concerned to apply for academic proof? 你曾否向有關教育機構申請學歷證明書? <input type="checkbox"/> Yes 有 (Date of application 申請日期: ___/___/___ Status 狀況: _____) (Please attach relevant proof 請附上相關證明) <input type="checkbox"/> No 否 (Please state reason 請說明原因: _____) <input type="checkbox"/> Not applicable 不適用 (Please state reason 請說明原因: _____)</p>
1.2	<p>Application to Education Bureau for Academic Proof 向教育局/教育廳申請學歷證明書 Have you approached the education bureau concerned to apply for academic proof? 你曾否向有關教育局/教育廳申請學歷證明書? <input type="checkbox"/> Yes 有 (Name and address of the bureau 教育局/教育廳名稱及地址: _____) (Date of application 申請日期: ___/___/___ Status 狀況: _____) (Please attach relevant proof 請附上相關證明) <input type="checkbox"/> No 否 (Please state reason 請說明原因: _____)</p>

Part 2 - Authentication Procedures
第 2 部分 - 認證程序

Please provide details of the steps taken for authenticating the academic certificate.
 請提供你曾就有關學歷認證所採取的步驟的詳情：

Authentication Method 認證方法		Status 狀況
<p>2.1</p> <p><input type="checkbox"/> Application for verification report issued by CHESICC or CDGDC 向學信網或學位網申請認證報告</p> <p>Date of application 申請日期：____/____/____ Reference No.參考編號：_____</p> <p>Institution 機構： <input type="checkbox"/> CHESICC 學信網 <input type="checkbox"/> CDGDC 學位網</p> <p>Mode of application 申請方式： <input type="checkbox"/> Online submission 網上申請 <input type="checkbox"/> Paper submission 現場辦理</p> <p>For application made via paper submission 於現場辦理的申請： Name and address of the office 辦事處名稱及地址：_____</p> <p>Telephone no.電話號碼：_____ Contact person 聯絡人：_____</p> <p>Additional documents required by CHESICC/ CDGDC 學信網/學位網所需的額外文件：_____</p>	<p><input type="checkbox"/> Application lodged but verification result not yet available (please attach relevant proof) 已遞交申請但未獲認證結果（請附上相關證明）</p> <p><input type="checkbox"/> Rejected (please state reasons and attach relevant proof) 申請被拒（請說明原因及附上相關證明）</p>	
<p>2.2</p> <p><input type="checkbox"/> Application for a notarial certificate issued by an admitted notarial institution in PRC 向認可的內地公證處申請公證書</p> <p>Date of application 申請日期：____/____/____ Reference No.參考編號：_____</p> <p>Information about the notarial institution 公證處資料： Name of Institution 公證處名稱：_____</p> <p>Name of Notary 公證員姓名：_____</p> <p>Address 地址：_____</p> <p>Telephone no.電話號碼：_____</p> <p>Email 電郵地址：_____ Website 網址：_____</p> <p>Additional documents required by notarial institution 公證處所需的額外文件：_____</p>	<p><input type="checkbox"/> Application lodged but notarial certificate not yet available (please attach relevant proof) 已遞交申請但未獲公證書（請附上相關證明）</p> <p><input type="checkbox"/> Rejected (please state reasons and attach relevant proof) 申請被拒（請說明原因及附上相關證明）</p> <p><input type="checkbox"/> Pending confirmation by MFA (please attach a copy of notarial certificate or other relevant proof) 等待外交部確認（請附上公證書副本或其他相關證明）</p>	

Part 3 - Additional Information
第 3 部分 - 額外資料

Please provide any additional information relevant to your application for extension and attach relevant proof.
 請提供任何與你延期申請相關的額外資料，並附上相關證明。

Part 4 - Acceptance, Declaration and Authorization by Applicant
第 4 部分 - 申請人承諾、聲明及授權

- I understand that any personal data concerning myself provided or disclosed by me to the IARB may be used and retained by the IARB for the purposes of administering the Code of Practice for the Administration of Insurance Agents (Code), including registration, monitoring, inspection, investigation and maintaining the register kept under the Code.
本人明白本人提供予委員會之所有個人資料，委員會均可取用及保留作執行保險代理管理守則《守則》之用，包括登記、監察、檢查、調查或更新根據《守則》所保存的有關登記冊。
- I hereby authorize the IARB to conduct reference check with the relevant parties against the information and documents provided by me.
本人授權委員會向相關人士核實本人所提交的資料及文件。
- I hereby authorize the IARB to disclose and transfer my personal data contained in this Form and any documents provided by me in this connection to the Insurance Authority.
本人授權委員會向保險業監管局披露及移轉此申請表格內所載有關本人之個人資料，及本人就此申請而提交的任何文件。
- I understand that I have the right to obtain access, at a fee, to and request correction of any personal data held by the IARB and that such requests should be made to the Secretary of the IARB at its registered office.
本人明白本人有權在支付費用下查閱及要求修改委員會持有有關本人之個人資料，而有關申請應呈遞委員會之註冊地址委員會秘書收。
- I hereby declare that all the information provided in this Form is **TRUE**.
本人聲明此申請表格內的所有資料均屬真實無訛。

Signature 簽署

(Name 姓名：)

Date 日期**Part 5 - Declaration by Appointing Principal**
第 5 部分 - 委任公司聲明

- We hereby consent to the applicant lodging this application for extension with the IARB.
本公司同意申請人向委員會提出此延期申請。
- We hereby confirm, to the best of our knowledge, that all the information provided in this Form is reasonable.
就本公司所知及所信，本公司確認此申請表格內的所有資料均屬合理。

Signature of Authorized Representative

授權代表人簽署

(Name and Post 姓名及職位：)

Date 日期

Appointing Principal's Company Chop 委任公司蓋章

(Company Name 公司名稱：)