**Written Notice to the Insurance Authority** **(“Authority”) under section 15A(2) of the Insurance Ordinance (Cap. 41) (“Ordinance”) by an auditor appointed under section 15(1) of the Ordinance**

Written notice is hereby given to the Authority that I/we, Click or tap here to enter text. (name of the auditor) Click or tap here to enter text. (name of the auditor in Chinese (if any)), am / are / was / were an auditor appointed by Click or tap here to enter text. (name of authorized insurer) under section 15(1) of the Ordinance, and (please select one of the below) —

[ ]  [[1]](#footnote-1) I/we resign / resigned as the auditor of the insurer on Click or tap to enter a date. and the effective date of the resignation is / was Click or tap to enter a date.;

[ ]  [[2]](#footnote-2) I/we have been appointed as an auditor of the insurer for a fixed term and I/we decide / decided not to seek reappointment on Click or tap to enter a date. with the fixed term appointment ending /ended on Click or tap to enter a date.;

[ ]  [[3]](#footnote-3) I/we decide / decided to add a qualification or adverse statement to the auditor’s report annexed to the accounts and statements of the insurer required to be submitted under a requirement prescribed by virtue of section 17 of the Ordinance. The details are as follows —

|  |
| --- |
| Click or tap here to enter text. |

Any additional information that I/we consider to be relevant or material to this notification.

|  |
| --- |
| Click or tap here to enter text. |

Signature: \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_

Name: Click or tap here to enter text.

Position: Click or tap here to enter text.

Email: Click or tap here to enter text.

Phone: Click or tap here to enter text.

Date: Click or tap to enter a date.

**Contact person (if different from the above):**

Name: Click or tap here to enter text.

Position: Click or tap here to enter text.

Email: Click or tap here to enter text.

Phone: Click or tap here to enter text.

**Instructions:**

This form is applicable to an auditor appointed by an authorized insurer under section 15(1) of the Ordinance for the purpose of giving written notice to the Authority on circumstances described in section 15A(2) of the Ordinance. Authorized insurers are required to submit a separate form, i.e. Form IC-P07, the Authority for the purpose of complying with the notification requirement under section 15A(1) of the Ordinance.

**Insurance Authority (“Authority”)**

**Personal Information Collection Statement (“PICS”)**

This PICS is made by the Authority 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 Authority in relation to your personal data (as defined in the PDPO), the purposes for which the Authority may collect and use your personal data and the persons to whom your personal data may be transferred.

**Purpose of Collection**

Your personal data provided in (and in support of or in relation to) the written notice by you or any other persons may be used and held by the Authority for one or more of the following purposes:

1. 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, circulars or other regulatory instruments made or promulgated pursuant to the powers vested in the Authority as in force at the relevant time and to carry out its functions as a regulator of the insurance industry, including:
2. to process any application made to or received by the Authority under the Ordinance;
3. to assess your fitness and propriety in relation to any application or approval under the Ordinance;
4. to consider any application under the Ordinance where you may otherwise have a connection;
5. to investigate complaints and handle enquiries;
6. to conduct legal proceedings, inspection, investigation and/or other enforcement/disciplinary actions;
7. to co-operate with and assist other regulatory body and/or law enforcement body of Hong Kong or of any place outside Hong Kong, whenever appropriate, to the extent permitted by the laws of Hong Kong;

1. for any statistical and research purposes; and/or
2. any other purposes as permitted by the laws of Hong Kong.

You are obliged to supply the requested personal data where a specified requirement has been imposed upon you under the laws and regulations (including the Ordinance) or in response to any request from the Authority in exercising its powers or carrying out its functions. Failure to provide the requested personal data may result in the Authority being unable to exercise its powers or carrying out its functions under the Ordinance and/or other relevant laws and may affect the Authority’s assessment of your fitness and propriety under the Ordinance.

**Transfer/Matching of Personal Data**

In performing the Authority’s functions under the relevant laws and regulations, your personal data held by the Authority may, for the aforesaid purposes, be disclosed or transferred to any third parties, including financial regulators in Hong Kong (e.g. the Accounting and Financial Reporting Council), the relevant industry bodies, the relevant professional bodies (e.g. the Hong Kong Institute of Certified Public Accountants), law enforcement agencies, the relevant courts, tribunals and committees and/or other local and/or overseas regulatory/government/judicial bodies as permitted or required under the laws of Hong Kong, pursuant to any regulatory/supervisory/investigatory assistance arrangements between the Authority and such regulators/bodies (within or outside Hong Kong), or persons engaged by the Authority to assist it in the performance of its functions.

Personal data may be used by the Authority and/or disclosed or transferred by the Authority to the above parties for the purposes of comparing, verifying and/or carrying out a matching procedure[[4]](#footnote-4) of those data.

**Access to Data**

Under the PDPO, you have the right to request access to, and to request the correction of, your personal data held by the Authority. If you wish to request access to or correction of your personal data held by the Authority, you may do so by filling in a “[Data Access Request Form](http://www.pcpd.org.hk/english/resources_centre/publications/forms/files/Dforme.pdf)”[[5]](#footnote-5) and sending it by post to the Data Privacy Officer of the Authority at 19/F, 41 Heung Yip Road, Wong Chuk Hang, Hong Kong. The Authority 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 Authority, or requests for access to personal data or correction of personal data should be addressed in writing to the Data Privacy Officer of the Authority at the above address.

A copy of the Authority’s Privacy Policy is made available at the Authority’s website: [www.ia.org.hk](http://www.ia.org.hk)

1. The situation described in section 15A(2)(a) of the Ordinance. [↑](#footnote-ref-1)
2. The situation described in section 15A(2)(b) of the Ordinance. [↑](#footnote-ref-2)
3. The situation described in section 15A(2)(c) of the Ordinance. [↑](#footnote-ref-3)
4. “matching procedure” is defined in section 2 of the PDPO. [↑](#footnote-ref-4)
5. A copy of the Data Access Request Form is available at: <http://www.pcpd.org.hk/english/resources_centre/publications/forms/files/Dforme.pdf> [↑](#footnote-ref-5)