

User Guide of the Insurance Intermediaries Connect for Individual Applicants to Submit an Individual Licence Application

***Applicable to Individual Insurance Agent, Technical
Representative (Agent) and Technical Representative
(Broker)***



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1. Introduction

To enhance regulatory efficiency, Insurance Authority (“IA”) has developed a new online portal, the Insurance Intermediaries Connect (“IIC”), which enables electronic submission of applications and other documents by licence applicants, licensees and their principals.

This user guide is to provide individual applicants, i.e. **individual insurance agent, technical representative (agent) and technical representative (broker)** (collectively, “**individual account owner**”) with information on how to submit an individual licence application through IIC.

For the set up of “supervisor account” and “administration account” by the principal, please refer to the “*User Guide of the IA Insurance Intermediaries Connect for Principals (Authorized Insurers, Licensed Insurance Agencies and Licensed Insurance Broker Companies)*”.

1.1 Users of the Insurance Intermediaries Connect

- Principals (after duly registered with IA) as defined in GL24
 - Authorized insurers
 - Licensed insurance agencies
 - Licensed insurance broker companies

- Individual applicants for the following licences (after duly registered with principals)
 - Individual insurance agents
 - Technical representatives (agent)
 - Technical representatives (broker)



2. Setting up an Individual Account

Individual account owner is required to set up an individual account before he/she can use the functions in IIC. Setting up an individual account involves several steps as follows:

2.1 Step 1 - Submission of Application Form for Individual Account

Individual account owners need to provide the following information to their principal in order to create individual accounts:

- a. **Full Name in English** – The name must be identical with their Hong Kong Identity (“HKID”) card;
- b. **Hong Kong Identity Card Number** – The HKID card number will be used during the account activation process;
- c. **Email Address** – The email address provided will be used for all future communication between the IA and the individual account owner, the individual account owner should provide a personal email address which is valid at all times (Note: **work e-mail is NOT recommended** as the individual account owner may not be able to access their work e-mail if they change job later). An account activation email will also be sent to this email address;
- d. **Hong Kong Mobile Number** – An one-time password (“OTP”) will be sent to this mobile number for verification purpose.

2.2 Step 2 – Creation of Individual Account

Individual Account Opening Record

- Principal should create the account for the individual account owner upon request and provide the one-off designated **account opening password (“AOP”)** to individual account owner after verification of his/ her identity.

2.3 Step 3 – Activation of Individual Account

- Once the principal has created the individual account, the individual account owner will receive an activation email and he/ she should activate the account with the provided activation link, which will be valid only for 90 days (Note: Due to the different e-mail setting, it is possible that the activate email may be moved to junk/spam folder, please



check the relevant folder if necessary). The principal can resend the activation email if the individual account owner is unable to receive the activation email.

- The individual account owner will be directed to the activation page once he/ she clicked the link from the activation e-mail. The following information is required to activate the account:
 - First 4 characters of the HKID Number;
 - Last 4 digits of the registered mobile number; and
 - AOP

During the activation process, the information inputted into the activation page should be consistent with the information provided to the principal during the account opening process in order to pass the authentication.

- After successful authentication, an OTP will be sent to the individual account owner's registered mobile number via SMS and he/ she is required to provide the OTP **within 5 minutes** in order to activate the individual owner account. If the account owner is unable to receive the OTP, he/ she can click the "Re-send" button to request a new OTP.
- The individual account owner can then enter the self-defined username and new password (please note the requirements below) to complete the account activation process.
 - The requirements for username:
 - Between 6-20 characters with no space.
 - The requirements for password:
 - Minimum password length: 10 characters;
 - Password cannot be the same as the user ID;
 - Password must be a combination of lowercase letter(s), uppercase letter(s), number(s) and special character(s) (Allowed special characters are “! @ # \$ _ ? - &”);
 - Password must be changed after 180 days;
 - Password can only be changed once per day;
 - Recent password shall not be reused
- The individual account owner may then return to the IIC login page and login with the newly created individual account username and password to access the IIC's functions.



2.4 Account Activation for Individual Licensees

[Applicable to **Individual Licensees who have not created IIC account** only]

- Account activation is only applicable for individual licensees who have not created IIC account. For those who have already created IIC accounts, please login with their username and password to access IIC's functions.
- Go to IIC login page and click the “**Activate Account (for individual licensees who has not created IIC account)**” button.

保險業監管局
Insurance Authority

繁 Eng

Login

Username

Password

Please enter the following:

we4a6 C

0:00 / 0:02

Captcha

I understand and agree to the NOTICE below.

LOGIN

Forgot Password | Forgot Username | Unlock Account |
Activate Account (for individual licensees who has not created IIC account)

- The following information is required to activate the account:
 - First 4 characters of the HKID Number;
 - Registered email address; and
 - Registered mobile number.

During the activation process, the information inputted into the activation page should be consistent with the information provided to the Insurance Authority (“IA”) in order to pass the authentication. If there is any update on mobile number and email address, licensee should amend the relevant information by “Change in Particulars” function in IIC (details please see Section 4 below), or notify the IA using the **Notification of Change in Particulars (Form N3)** (<https://ia.org.hk/en/infocenter/forms/intermediaries.html>).



- After successful authentication, an OTP will be sent to the individual licensee’s registered mobile number via SMS and he/ she is required to provide the OTP **within 5 minutes** in order to activate the individual owner account. If the account owner is unable to receive the OTP, he/ she can click the “Re-send” button to request a new OTP.

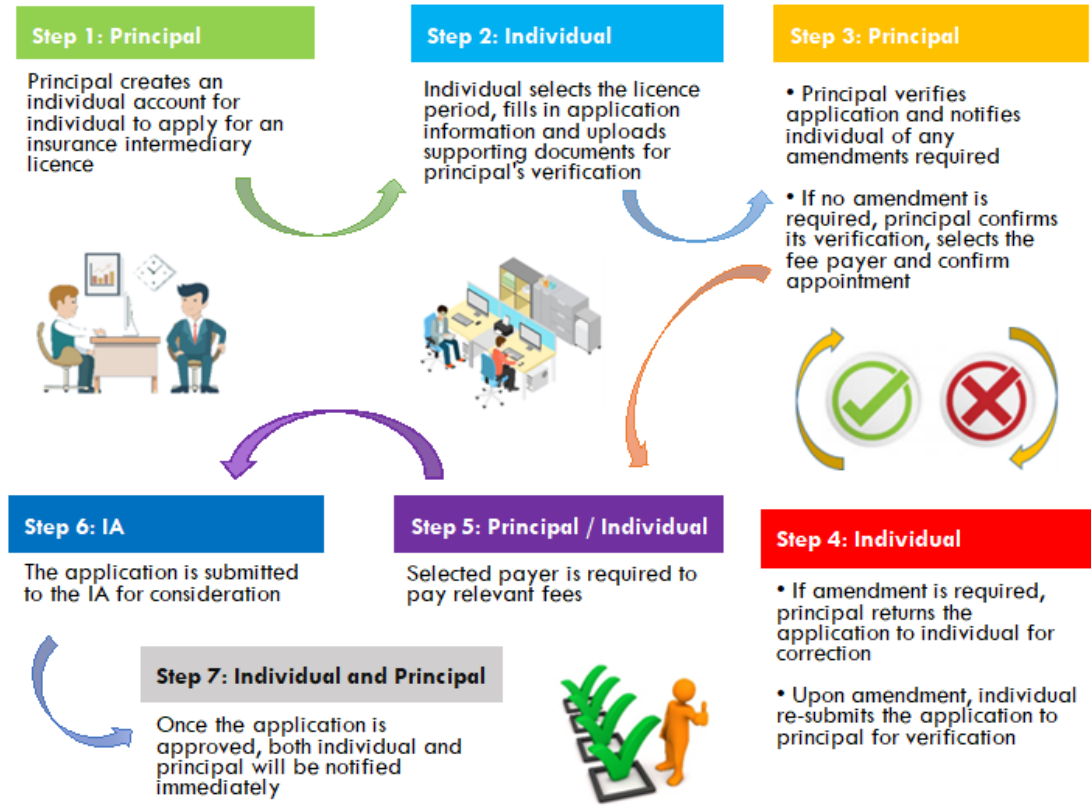
- The licensee can then enter the self-defined username and new password (please note the requirements below) to complete the account activation process.
 - The requirements for username:
 - Between 6-20 characters with no space.
 - The requirements for password:
 - Minimum password length: 10 characters;
 - Password cannot be the same as the user ID;
 - Password must be a combination of lowercase letter(s), uppercase letter(s), number(s) and special character(s) (Allowed special characters are “! @ # \$ _ ? - &”);
 - Password must be changed after 180 days;
 - Password can only be changed once per day;
 - Recent password shall not be reused.

- The licensee may then return to the IIC login page and login with the newly created individual account username and password to access the IIC’s functions.



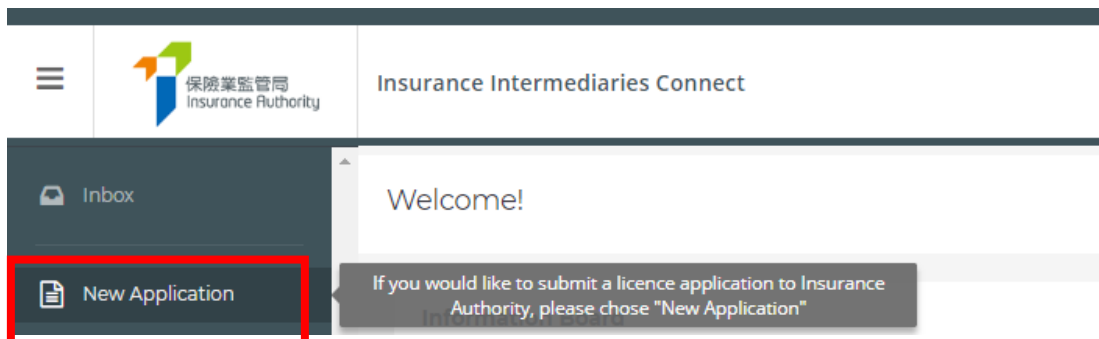
3. Process to submit an Application for Licence by Individual Applicant

Individual Licence Application Workflow



3.1 Licence Application by Individual Account Owner

- After logging into the IIC, individual account owner may click “**New Application**” to start the application process.





- The following information which have been provided during the individual account opening, will be prefilled in the online application form:
 - **Type of Licence for Applicant**
 - **Full Name in English**
 - **Date of Birth**
 - **Hong Kong Identity Card Number**
 - **Mobile Phone Number**
 - **Email Address**

The individual account owner is required to complete the information for the remaining sections.

- In respect to the section “**Licence Applied**”, individual account owner will need to indicate the duration of licence (1, 2 or 3 years) that he/ she is applying for.
- In respect to the section “**Insurance Intermediaries Qualifying Examination**” (“**IIQE**”), individual account owner will need to indicate the line(s) of business for his/ her licence applied which should meet the line(s) of business to be appointed by the principal. Corresponding fields for IIQE papers required will be shown automatically, individual account owner should select the results of the IIQE (pass, exempted, grandfathered). For the case of “pass” and “exempted”, the relevant IIQE examination results should be scanned and uploaded to the IIC as supporting document. The individual account owner should ensure the line(s) of business for his/ her licence applied match with the line(s) of business to be appointed. Individual account owner also needs to indicate whether he/ she is relying on IIQE – Remote Invigilation Mode Examination passing results. Please refer to Annex 1 of GL23 - Guideline on "Fit and Proper" Criteria for Licensed Insurance Intermediaries under the Insurance Ordinance (Cap. 41) (“GL23”) for more details.
- In respect to the section “**Education or Other Qualifications**”, if the individual account owner should select “Yes” for the appropriate qualification he/ she possessed.
 - HKDSE / HKCEE
 - International Baccalaureate Diploma
 - Diploma Yi Jin
 - Diploma or Degree obtained in Hong Kong or
 - Insurance Qualification acceptable by the IA

For other qualifications (e.g. associate degree, non-Hong Kong diploma/ degree, etc.), please select “Other Education Qualification”.

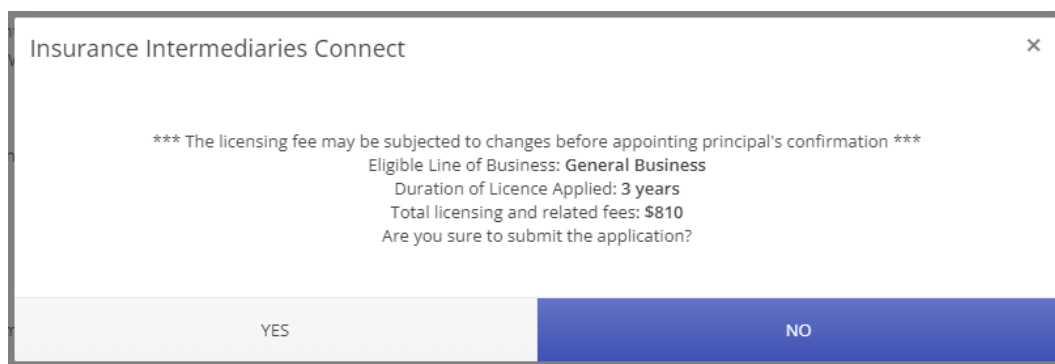
For the individual account owner who meets the prescribed conditions set out in paragraph 2 of Annex 2 of GL23, please select the choice of exemption in this section.



- In respect to the section “**Fitness and Propriety**”, if any of the answers were “**Yes**”, the individual account owner will be required to indicate whether he/ she has already provided the Insurance Authority with the details of the relevant case. If necessary, individual account owner will need to provide further information to supplement his/ her answers for IA’s consideration. For issues concerning criminal records, financial records and disciplinary actions, the individual account owner can provide the details in the text box in the IIC, or use the specified Supplemental Forms on the IA’s website (<https://www.ia.org.hk/en/infocenter/forms/intermediaries.html>) to provide the required information. The completed Supplemental Forms with supporting document(s), if any, should be uploaded to the folder “Other Documents” in the section “Supporting Documents”.
- In respect to the section “**Appointing Principal(s)**”, the name of the appointing principal is set by default and the individual account owner is required to select the line(s) of business from the drop-down menu. The line(s) of business should be consistent with the IIQE papers declared. For applicant such as individual insurance agent, he could add other appointing principals and the appointing line(s) of business after obtaining the principals’ consent.
- In respect to the section “**Supporting Documents**”, individual account owner will need to upload the relevant supporting documents as required. For other relevant supporting documents (e.g. Supplemental Forms for reporting criminal, financial or disciplinary record, etc.), the individual account owner will need to upload them to the folder namely “Other Documents”, which is able to **support a maximum of 10 files**, with **each file of a maximum size of 2 MB**. The IIC can support format such as JPG, JPEG, PNG and PDF.
- After the documents have been uploaded, individual account owner will be directed to the “**Declaration Page**”. By confirming all information is true and accurate, individual account owner may then click the button “**Submit to Principal**” for principal’s verification.



- Estimated application fee will be shown for reference. The application fee is subjected to changes before principal's confirmation (e.g. change of duration of licence, change of line of business of licence applied, change of applicant's eligibility to obtain discount on application fee). **Please note that if appointing principal selects applicant to be the payer, applicant is required to login the IIC and complete the payment after principal's verification and confirmation.**



For relevant fees table and Frequently Asked Questions, please refer to IA's website (https://www.ia.org.hk/en/supervision/reg_ins_intermediaries/licensing_and_related_fees.html).

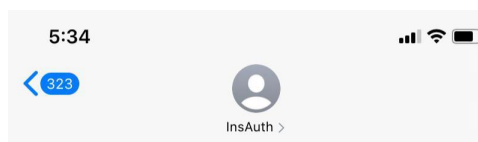
- After acknowledging the estimated application fee, an OTP will be sent to the individual account owner's registered mobile number via SMS and he/ she is required to provide the OTP **within 5 minutes**. If the account owner is unable to receive the OTP, he/ she can click the "Re-send" button to request a new OTP.



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.

To submit your application in Insurance Intermediaries Connect, please enter the OTP for verification.

One Time Password



Text Message
Today 5:34 PM

Insurance Intermediaries Connect
保險中介一站通: Your One-time
Password is 720475. This password
will expire in 5 minutes. 你的一次性
密碼是 720475。此密碼將會在 5 分
鐘後過期。



- The application status will be shown as “**Pending Verification by Principal(s)**” after the application is submitted to the principal for verification. Individual account owner may click “**Click here for detail**” to view the application and payment details (e.g. estimated application fee, selected payer and payment status). By selecting “**View History**”, the individual account owner could trace the status.

Welcome!

Type	Status	Detail	History
New Application	Pending verification by Principal(s)	Click here for detail	View history

Message	Create date	Create by
Licence application was submitted to [redacted] Insurance Company Limited for verification	2020/10/09 09:12	[redacted]

1 - 1 of 1 items

Application

Status : Pending verification by Principal(s)

Payment Details
Projected Licence Fee for this Application: \$810
Payer : Not Selected by Principal yet
Payment Status: Pending



3.2 Verification of Application by the Principal

- After the application has been submitted by the individual account owner, the principal will perform verification on the individual licence application before submitting it to the IA.
- If the principal considers the information is incorrect or inconsistent with their record, the principal will return the application to the individual account owner for amendment. Please refer to section 3.3 for more details.
- If no amendment is required, the principal can proceed with confirmation of appointment.

3.3 Amendment of Application by Individual Account Owner

- The individual account owner will receive a notification email instructing him/ her to amend the application through the IIC. He/ she can then click “[Click here for detail](#)”, and the application form will be opened.
- If any issues are being found, comments from the principal will be displayed in the “[Comments by Principal](#)” box in red. The individual account owner should amend the application as appropriate.
- If the page is verified without any issues, the “[Comments by Principal](#)” box will be displayed as “[This page has been reviewed by principal \(\[Time\] on \[Date\]\)](#)”. If necessary, the individual account owner can still amend the application even if the page has been verified without any issues by the supervisor/ administration account owner by clicking the “[Amend](#)” button. The principal will be notified for the change.

Application Formal Submission

Status: Verified by Principal

Application form - Individual Insurance Agent Licence

VIII. Appointing Principal(s)

Please provide the following information and relevant supporting document(s).

Name of Appointing Principal: Insurance Company
Primary principal

Line of Business: General & Long Term Business (excluding Linked Long Term Business)

< Previous Amend Submit to IA

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- After the individual account owner has amended the application, it should be re-submitted to the principal for re-verification with the input of OTP.
- Individual account owner may also check the status by clicking “*View History*”. Please refer to section 3.1 for more details.

3.4 Re-verification of Application and Confirmation of Appointment by the Principal

- If the application has been amended by the individual account owner, the principal will need to verify the individual licence application again.
- Once the application has been verified without further comments, the individual account owner will receive a notification email from the IA.
- The principal will also receive email notification in relation to complete the appointment confirmation process including select the responsible payer (Applicant or Principal) for the application.
- The individual account owner will be notified by email that the appointment(s) has/ have been confirmed by the appointing principal(s) and the information of who will be the payer of his/her application is (as selected by principal). The application status will be shown as “*Pending for Payment*”.
- The individual licence application will be submitted to the IA when relevant application fee is paid by the selected payer. Please refer to Section 10 for the detailed payment process.
- The IA will review the application and inform the principals and the individual account owner in due course on its decision or follow-up action. An e-mail notification will be sent to the individual account owner if the licence application is being approved by the IA.

3.5 Application Returned by the IA

- If the IA returns the application case to the applicant (e.g. due to incomplete application/ missing information/ further information or documents required), the individual account owner will receive a notification email. He/ she can then login to the IIC and remarks by the IA on the return will be displayed. Applicant can amend the application details/ upload supporting documents as appropriate. Applicant can also withdraw the



application by clicking “*Cancel Application*” if he/ she would not proceed with the application. Application fee paid is non-refundable. If the application is withdrawn, the applicant will need to pay again if he/ she then submits a fresh application.

- After the individual account owner has amended the application, it should be re-submitted to the principal(s) for re-verification. Applicant does not need to pay the application fee again when he/ she resubmit the application.
- Individual account owner can then follow the steps according to section 3.2 to 3.4 and resubmits the application.
- Individual account owner may also check the status by clicking “*View History*”. Please refer to section 3.1 for more details.

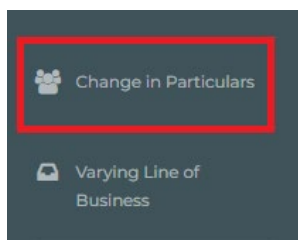
3.6 Application Deletion

- If an application in the IIC has not been updated for 90 days, the application will be expired and will be deleted automatically from the IIC. A reminder will be sent to both applicant and principal 1 month before the expiry date. Application fee paid is non-refundable. If the application is terminated, the applicant will need to pay again if he/ she then submits a fresh application.



4. Change in Particulars

- After logging into the IIC, licensee may click “**Change in Particulars**” to start the change of particulars process.



- Please choose the particular(s) to be changed by checking the box(es) and filling in the new particular(s) and relevant effective date.

Particulars to be changed	Current Particulars	New Particulars	Effective Date
<input type="checkbox"/> Surname	██████████	<input type="text"/>	DD/MM/YYYY <input type="button" value="Calendar"/>
<input type="checkbox"/> First / Other Names		<input type="text"/>	
<input type="checkbox"/> Full Name in Chinese		<input type="text"/>	
<input type="checkbox"/> Chinese Commercial Code		<input type="text"/>	
Note: Please upload a copy of your new HKID card or deed poll in support of the change.			
<input type="checkbox"/> Daytime Contact No.		<input type="text"/>	DD/MM/YYYY <input type="button" value="Calendar"/>
<input type="checkbox"/> Mobile Phone No.		<input type="text"/>	DD/MM/YYYY <input type="button" value="Calendar"/>
<input type="checkbox"/> Email Address		<input type="text"/>	DD/MM/YYYY <input type="button" value="Calendar"/>

- For change of name, please also upload the new identification document (e.g. HKID) and the deed poll/ change of name deed as the supporting documents.



Surname [REDACTED]

First / Other Names

Full Name in Chinese

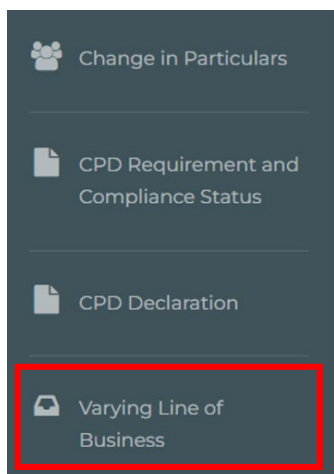
Chinese Commercial Code

- By confirming all information is true and accurate, licensee may then click the button “**Submit**” for the IA’s handling.
- An OTP will be sent to the licensee’s registered mobile number via SMS and he/ she is required to provide the OTP **within 5 minutes**. If the account owner is unable to receive the OTP, he/ she can click the “Re-send” button to request a new OTP.
- The relevant record will be updated 1 day later if supporting document is not required and the submission is made before 12 noon.
- Please note that “**Change in Particulars**” function will be disabled when there is another notification submitted to the IA and such change is still being processed by the IA.

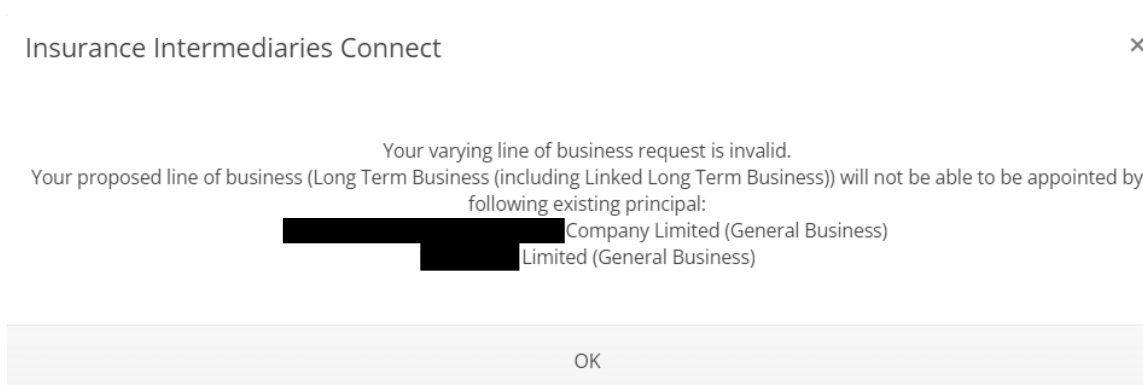


5. Varying Line of Business

- After logging into the IIC, licensee may click “**Varying Line of Business**” to start the Varying Line(s) of Business (“VLoB”) process.



- The licensee may vary his/ her Line(s) of Business (“LoB”) that he/she may carry on, either to add new LoB or remove existing LoB. - For addition of LoB, fee will be required. And if the addition of LOB is associated with a new or change in appointment, the relevant principal may choose to pay on behalf of the licensee or let the licensee to pay himself. For removing existing LoB, fee is not required and if the LoB is being appointed by the existing appointing principal(s), that LoB cannot be removed.



- The personal information, i.e. Licence No., Name, LoB currently specified in the licensee’s licence, of the licensee will be displayed.
- Then the licensee may select the proposed LoB from the pulldown list:



II. Proposed Variation of Line of Business

Please provide details of the proposed variation to the Line of Business specified in the Applicant's licence as a Licensed Insurance Intermediary.

Line(s) of Business currently specified in Applicant's licence

Line(s) of Business proposed to be specified in the Applicant's licence

- The licensee needs to click the button **“Add”** to provide the details of the relevant IIQE paper:

III. Insurance Intermediaries Qualifying Examinations

Please provide supporting documents of the insurance intermediaries qualifying examination(s) taken by the Applicant in respect of the proposed Line(s) of Business stated in Section II above the Applicant intends to carry on as a Licensed Insurance Intermediary.

IIQE

- In respect to the section **“Insurance Intermediaries Qualifying Examination” (“IIQE”)**, licensee needs to select the result of the IIQE (pass, exempted, grandfathered) which should meet the proposed LoB selected previously. For the case of “pass” and “exempted”, the relevant IIQE examination results should be scanned and uploaded to the IIC as supporting document. The licensee may add additional IIQE paper if needed.
- In respect to the section **“Character, Financial Status, Disciplinary Action & Investigation”**, if any of the answers were **“Yes”**, the licensee will be required to indicate whether he/ she has already provided the IA with the details of the relevant case. If necessary, licensee will need to provide further information to supplement his/ her answers for IA’s consideration. For issues concerning criminal records, financial records and disciplinary actions, the licensee can provide the details in the text box in the IIC, or use the specified Supplemental Form(s) on the IA’s website (<https://www.ia.org.hk/en/infocenter/forms/intermediaries.html>) to provide the required information. The completed Supplemental Form(s) with supporting document(s), if any, should be uploaded to the IIC.

(If the answer to any one or more of the above 14 questions is/ are “Yes”, please tick the appropriate box below.)

- I have already provided the Insurance Authority with the details of the relevant case/ matter and the Insurance Authority can rely on the information and documents that I have previously provided in considering this application.
- I have not provided the Insurance Authority with details of the relevant case/ matter. In order for the Insurance Authority to consider this application, I complete and enclose the relevant supplemental form and/ or provide details of the relevant case/ matter on a separate sheet, including date of the relevant event, name of regulatory/ criminal investigatory/ professional body (if applicable), description of the case/ matter, my role/ involvement in the case/ matter, and outcome and current status of the case/ matter.

Upload Supporting Document

- By confirming understand and agree to the declaration, licensee may then click the button **“Submit”** for the IA’s handling.
- A message box will be prompted to show the fee involved for the variation. No fee is required for removing existing LoB.



Insurance Intermediaries Connect ×

Current line(s) of business: Long Term Business (excluding Linked Long Term Business)
Proposed line(s) of business: General & Long Term Business (excluding Linked Long Term Business)
Application Fee: \$810
Are you sure to submit this application?

CONFIRM CANCEL

Insurance Intermediaries Connect ×

Current line(s) of business: General & Long Term Business (excluding Linked Long Term Business)
Proposed line(s) of business: Long Term Business (excluding Linked Long Term Business)
Application Fee: No application fee is required
Are you sure to submit this application?

CONFIRM CANCEL

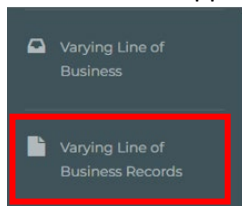
- An OTP will be sent to the licensee’s registered mobile number via SMS and he/ she is required to provide the OTP **within 5 minutes**. If the licensee is unable to receive the OTP, he/ she can click the “**Re-send**” button to request a new OTP.
- A message box will be prompted to remind the licensee to settle the payment. (for cases associated with new or change in payment, only if licensee is being chosen as the payer.

Insurance Intermediaries Connect

The Application for Approval of Variation of Line(s) of Business is created, please settle the payment in order to submit the case to IA.

OK

- **For payment of fees involved, please refer to Section 10. “Payment” for details.**
- The licensee may click the “**Varying Line of Business Records**” to view the status and download the application in PDF format:

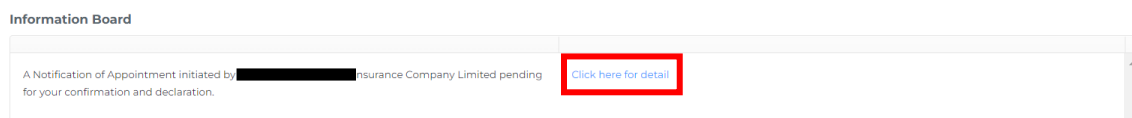


- Please note that “**Varying Line of Business**” function will be disabled when there is another application submitted to the IA and such application is still being processed by the IA.



6. New or Change Appointment

- New or Change appointment process is initiated by **appointing principal**.
- If a licensee is involved in a New or Change Appointment initiated by appointing principal, after the appointing principal has created the New or Change Appointment, the licensee will receive an email notifying him/ her to login to the IIC for confirmation.
- After logging into the IIC, licensee may click “**Click here for detail**” to view the notification.



- If the appointing principal has selected the Form Type “New or Change Appointment (Form N2) + Varying Line(s) of Business (Form A6)” when initiating the notification, then an additional section “Proposed Variation of LoB” will be displayed. The information and attachment(s), if any, that the appointing has inputted and uploaded will be displayed. The licensee may amend/ supplement as appropriate.

- In respect to the section “**Insurance Intermediaries Qualifying Examination**” (“**IIQE**”), licensee needs to select the result of the IIQE (pass, exempted, grandfathered) which should meet the proposed LoB selected previously. For the case of “pass” and “exempted”, the relevant IIQE examination results should be scanned and uploaded to the IIC as supporting document in case the appointing principal has leave this for the licensee to complete. The licensee may add additional IIQE paper if needed.
- In respect to the section “**Character, Financial Status, Disciplinary Action & Investigation**”, if any of the answers were “**Yes**”, the licensee will be required to indicate whether he/ she has already provided the IA with the details of the relevant case. If



necessary, licensee will need to provide further information to supplement his/ her answers for IA's consideration. For issues concerning criminal records, financial records and disciplinary actions, the licensee can provide the details in the text box in the IIC, or use the specified Supplemental Form(s) on the IA's website (<https://www.ia.org.hk/en/infocenter/forms/intermediaries.html>) to provide the required information. The completed Supplemental Form(s) with supporting document(s), if any, should be uploaded to the IIC.

(If the answer to any one or more of the above 14 questions is/ are "Yes", please tick the appropriate box below.)

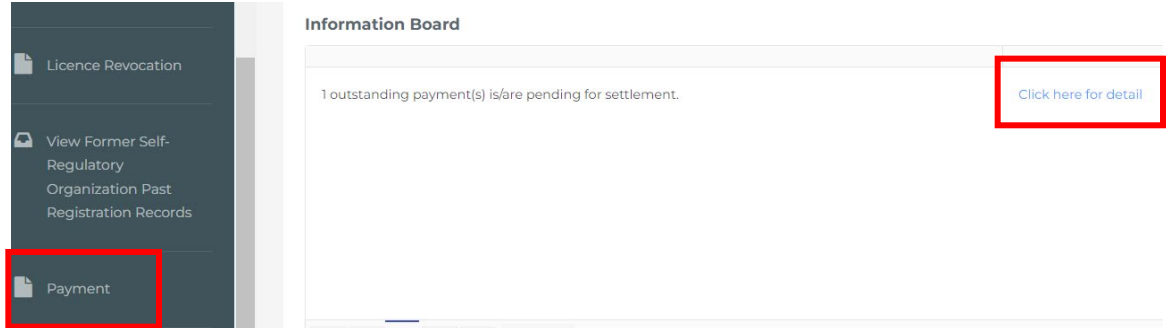
- I have already provided the Insurance Authority with the details of the relevant case/ matter and the Insurance Authority can rely on the information and documents that I have previously provided in considering this application.
- I have not provided the Insurance Authority with details of the relevant case/ matter. In order for the Insurance Authority to consider this application, I complete and enclose the relevant supplemental form and/ or provide details of the relevant case/ matter on a separate sheet, including date of the relevant event, name of regulatory/ criminal investigatory/ professional body (if applicable), description of the case/ matter, my role/ involvement in the case/ matter, and outcome and current status of the case/ matter.

Upload Supporting Document

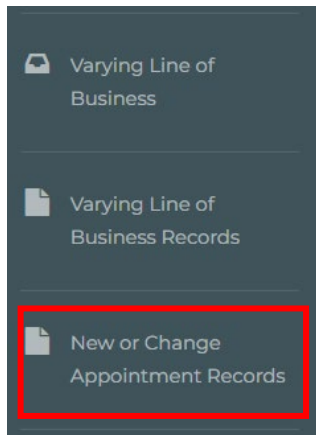
- By confirming that the inputted information is correct, licensee may then click the button **"Confirm"** to confirm the New or Change appointment notification.
- An OTP will be sent to the licensee's registered mobile number via SMS and he/ she is required to provide the OTP **within 5 minutes**. If the licensee is unable to receive the OTP, he/ she can click the **"Re-send"** button to request a new OTP.
- After the licensee having confirmed and submitted the notification, a message box will be prompted to ask if he/ she would like to change his/ her business address, if **"YES"** is clicked, the system will redirect to the page **"Change in Particulars"**, otherwise, the system will redirect to page **"Inbox"**. For the detailed procedural guide of the function **"Change in Particulars"**, please refer to Section 4 above.



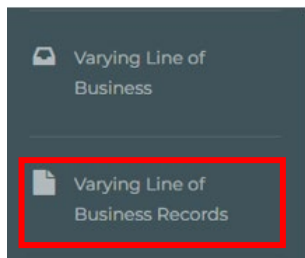
- If the licensee is required to pay fee (only if principal indicated the licensee to be the payer for the change or new appointment notification) after the confirmation of the notification, a new reminder message will be displayed in the Information Board. The licensee may click “[Click here for detail](#)” or “**Payment**” at the menu bar to check outstanding payment record(s), settle the payment and view payment history.



- For payment of fees involved, please refer to Section 10. “Payment” for details.
- The licensee may click the “[New or Change Appointment Records](#)” to view the status and download the notification in PDF format:



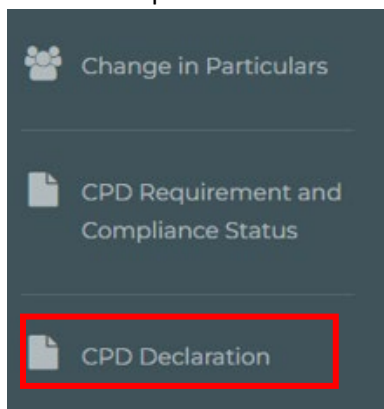
- If the notification’s Form Type is “New or Change Appointment (Form N2) + Varying Line(s) of Business (Form A6)”, the licensee may click the “[Varying Line of Business Records](#)” to view the status and download the application in PDF format:





7. CPD Declaration

- After logging into the IIC, licensee may click “**CPD Declaration**” to start the CPD Declaration process.



- The relevant information, i.e. Name in English, Name in Chinese, Licence Number, Mobile Number, Email Address and Appointing Principal(s), and the Number of CPD hours Required, of the licensee will be displayed.

For licensee who has fulfilled the CPD requirements on or before 31 July

- The licensee should:
 - Select “**Yes**” in Part C;

C. CPD HOURS REQUIRED DURING THE CPD ASSESSMENT PERIOD	
	Number of CPD hours Required
Total ¹	15
Ethics or Regulations hours (compulsory)	3

Have you fulfilled the CPD requirements stipulated in Part C above on or before the end of the Assessment Period (i.e. 31 Jul)?

(Please select an appropriate answer. If your answer is 'no', please indicate the shortfall of CPD hours and fill in Part D)

Yes

No



- Complete the “Declaration” in Part E; and

E. DECLARATION:

I hereby declare and confirm that:

1. All the information provided in this CPD Declaration is **COMPLETE, TRUE AND CORRECT**.
2. I understand the information provided in this CPD Declaration will be used by the Insurance Authority (“IA”) in its continued assessment of my fitness and propriety as a licensed insurance intermediary.
3. I understand the information in this CPD Declaration will be referred to and considered by the IA when considering any insurance intermediary licence application or renewal thereof in respect of me under the Insurance Ordinance (Cap. 41).
4. I have read, understood and complied with the CPD requirements specified in [GL24](#).
5. I understand that only Qualified CPD Activities as defined in [GL24](#) attended by me during the CPD Assessment Period count towards the CPD hours required in Part C above.
6. I have read, understood and agree to the attached Personal Information Collection Statement (“PICS”).
7. I give consent to all the principals who have (or had) appointed me to act as its licensed insurance intermediary and all providers of Qualified CPD Activities as defined in [GL24](#) to disclose, transfer and/or release to the IA any personal data belonging to me, including but not limited to, details of the course(s) I attended to earn CPD hour(s).
8. I understand the IA may take disciplinary actions against me if I have failed to comply with any CPD requirements as specified by the IA and/or I have made any false declaration in this CPD Declaration.
9. I understand I am required to retain sufficient documentary evidence in support of my attendance or completion of all the CPD hours stated on this CPD Declaration for a minimum of 3 years after the end of the CPD Assessment Period and to produce such documentary evidence to my appointing principal who is responsible for reporting my CPD compliance or to the IA upon request.

I understand and agree to the declaration above.

- Submit the declaration by clicking the button “**Submit**” in the last page.

4 / 4 Completed

< Previous Submit >

Note: Every year, the IA will release this CPD reporting function in IIC before the end of assessment period, i.e. 31 July, in due course for licensees who have fulfilled the CPD requirement within the assessment period to report his/her CPD status. Hence, if the licensee has fulfilled the required number of CPD hours within the assessment period, he/she can report his/ her compliance status through IIC starting at anytime when this function is available, including before 31 July, up until 30 September.



For licensee who has **NOT** fulfilled the CPD requirements on or before 31 July

- If the licensee has **not** fulfilled the required number of CPD hours as shown in Part C of the CPD Declaration on or before 31 July, he/ she cannot report his/ her CPD compliance status before 31 July, he/ she may only report from 1 August up until 30 September.
- The licensee should:
 - Select “**No**” in Part C; and

C. CPD HOURS REQUIRED DURING THE CPD ASSESSMENT PERIOD

	Number of CPD hours Required
Total ¹	15
Ethics or Regulations hours (compulsory)	3

Have you fulfilled the CPD requirements stipulated in Part C above on or before the end of the Assessment Period (i.e. 31 Jul)? Yes

(Please select an appropriate answer. If your answer is 'no', please indicate the shortfall of CPD hours and fill in Part D) No

- Fill in the “**Total Shortfall**” hour(s) and tick whether all CPD shortfall has been made good:

Total Shortfall²:
No

Have you made good all CPD shortfall?

Yes No



If all CPD shortfall has been made good:

- Please select “*Yes*” and fill in the last made good date and upload the supporting document for the CPD hour(s) earned:

Have you made good all CPD shortfall?

Yes

No

The last made good date:



Please upload the supporting document for the CPD hours you have earned.

(Note: only limited to one PDF or PNG or JPG or JPEG file with a file size not exceeding 2MB)

SELECT FILE

If all CPD shortfall has NOT been made good:

- Please select “*No*” and fill in the “*Updated Shortfall hour(s)*”, upload the supporting document for the CPD hour(s) earned, and complete Part D to provide explanation and action to take:

Have you made good all CPD shortfall?

Yes

No

Updated shortfall hour(s):

Please upload the supporting document for the CPD hours you have earned.

(Note: only limited to one PDF or PNG or JPG or JPEG file with a file size not exceeding 2MB)

SELECT FILE



D. SHORTFALL OF CPD HOURS (IF ANY)

If you were unable to earn all the required number of CPD hours (including the CPD hours required on "Ethics or Regulations" (if any)) during the CPD Assessment Period, please explain why you were unable to do so and what action(s) you propose to take in order to become CPD-compliant.

Note: If licensee has not fulfilled the required number of CPD hours within the assessment period, he/ she can only report the compliance status to the IA after the end of assessment period and by the end of reporting period, i.e. between 1 August and 30 September.

- If the licensee subsequently earns part of (or all) shortfall CPD hour(s) and wants to update the shortfall information, he/ she may go to page 2 of CPD Declaration and click "**Update Shortfall**":

Total Shortfall²:

5

Have you made good all CPD shortfall?

Yes

No

Updated shortfall hour(s):

5

Please upload the supporting document for the CPD hours you have earned.

(Note: only limited to one PDF or PNG or JPG or JPEG file with a file size not exceeding 2MB)

 ████████ CPD_5H (1).pdf

Update Shortfall



- In the pop-up window, tick whether all CPD shortfall has been made good and click **“SUBMIT”** to proceed;

Update and Submit Additional Documents

Have you made good all CPD shortfall?

Yes No

[SUBMIT](#) [CANCEL](#)

- If **“Yes”** is selected, please fill in the last made good date and upload the supporting document for the CPD hour(s) earned, click **“SUBMIT”** to proceed;

Update and Submit Additional Documents

Have you made good all CPD shortfall?

Yes No

The last made good date:

Please upload the supporting document(s) for the CPD hour(s) shortfall you have newly made good.
(Note: only limited to one PDF or PNG or JPG or JPEG file with a file size not exceeding 2MB)

[SUBMIT](#) [CANCEL](#)



- If “**No**” is selected, please fill in the “**Updated Shortfall hour(s)**”, upload the supporting document for the CPD hour(s) earned, and click “**SUBMIT**” to proceed;

Update and Submit Additional Documents

Have you made good all CPD shortfall?

Yes

No

Updated shortfall hour(s):

Please upload the supporting document(s) for the CPD hour(s) shortfall you have newly made good.

(Note: only limited to one PDF or PNG or JPG or JPEG file with a file size not exceeding 2MB)

[SUBMIT](#) [CANCEL](#)

- The licensee may use “**Update Shortfall**” until he/ she has made good all CPD shortfall or up until 30 September;



- Complete the “Declaration” in Part E;

E. DECLARATION:

I hereby declare and confirm that:

1. All the information provided in this CPD Declaration is **COMPLETE, TRUE AND CORRECT**.
2. I understand the information provided in this CPD Declaration will be used by the Insurance Authority (“IA”) in its continued assessment of my fitness and properness as a licensed insurance intermediary.
3. I understand the information in this CPD Declaration will be referred to and considered by the IA when considering any insurance intermediary licence application or renewal thereof in respect of me under the Insurance Ordinance (Cap. 41).
4. I have read, understood and complied with the CPD requirements specified in [GL24](#).
5. I understand that only Qualified CPD Activities as defined in [GL24](#) attended by me during the CPD Assessment Period count towards the CPD hours required in Part C above.
6. I have read, understood and agree to the attached Personal Information Collection Statement (“PICS”).
7. I give consent to all the principals who have (or had) appointed me to act as its licensed insurance intermediary and all providers of Qualified CPD Activities as defined in [GL24](#) to disclose, transfer and/or release to the IA any personal data belonging to me, including but not limited to, details of the course(s) I attended to earn CPD hour(s).
8. I understand the IA may take disciplinary actions against me if I have failed to comply with any CPD requirements as specified by the IA and/or I have made any false declaration in this CPD Declaration.
9. I understand I am required to retain sufficient documentary evidence in support of my attendance or completion of all the CPD hours stated on this CPD Declaration for a minimum of 3 years after the end of the CPD Assessment Period and to produce such documentary evidence to my appointing principal who is responsible for reporting my CPD compliance or to the IA upon request.

I understand and agree to the declaration above.

- The licensee may click the button “**Submit**” in the last page to submit the declaration.

The screenshot shows a progress bar at the top with the text "4 / 4 Completed". Below the bar are two buttons: a grey "Previous" button on the left and a blue "Submit" button on the right. The "Submit" button is highlighted with a red rectangular box.

- An OTP will be sent to the licensee’s registered mobile number via SMS and he/ she is required to provide the OTP **within 5 minutes**. If the licensee is unable to receive the OTP, he/ she can click the “**Re-send**” button to request a new OTP.
- The “Status” at the front page of CPD Declaration will change from “New” to “Submitted on [Date of submission]”, indicating a successful submission.



- Please note that individual licensees who do not have any appointing principal as at 31 July (and whose licences are thereby automatically suspended) must report their CPD Declarations directly to the IA. They must do this via [IIC](#) (using their IIC accounts) or by emailing their duly completed [CPD Declaration Forms](#) to cpdreporting@ia.org.hk. They should add their Licence Numbers in the subject of the email, e.g. “CPD Reporting for 2022/2023 (Licence no.: AA9999)”.
- The licensee may click the “**CPD Requirement and Compliance Status**” option from the vertical menu on the left and will be able to view the number of CPD hours he/ she is required to earn and his/ her reported compliance status:



Withdrawal of CPD declaration

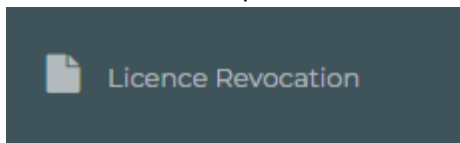
- If the licensee found that he/ she had submitted CPD declaration with incorrect information, he/ she may withdraw the declaration by clicking the “**Withdraw this Declaration**” in the last page. The licensee must provide the reason of withdrawal.



8. Request for Licence Revocation

Individual licensees may request the IA at IIC to revoke his/her insurance intermediary licence under Section 64ZQ of the Insurance Ordinance.

- After logging into the IIC, licensee may click “*Licence Revocation*” to start request for licence revocation process.



- Name, HKID Number and Licence Number of the licensee are prefilled.
- Licensee is required to provide the reason for the licence revocation.
- By confirming the request, licensee may then click the button “*Submit*” for the IA’s handling.

Status: New

Request for Licence Revocation by Licensed Insurance Intermediary

Please complete all items in **BLOCK LETTERS**.

Name of Licensed Insurance Intermediary

HKID no. (Prefix and first 4 digits only)

Licence no.

Reason(s) for the revocation

I (with personal particulars as stipulated above) hereby request the Insurance Authority to revoke my insurance intermediary licence under section 64ZQ of the Insurance Ordinance (Cap. 41) with immediate effect.

Submit ✓



- An OTP will be sent to the licensee’s registered mobile number via SMS and he/she is required to provide the OTP **within 5 minutes**. If the licensee is unable to receive the OTP, he/she can click the “Re-send” button to request a new OTP.

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.

To submit your application in Insurance Intermediaries Connect, please enter the OTP for verification.

One Time Password Re-send

- The request status will be shown as “**Submitted on [Date]**” after the request is submitted to the IA.

Status: Submitted on 18-Mar-2024

New

Request for Licence Revocation by Licensed Insurance Intermediary

- An e-mail notification will be sent to the individual account owner if the licence is revoked or the request is returned by the IA.
- If the request is returned by the IA, the Licensee could view the comment by the IA at IIC “**Licence Revocation**” page and may resubmit a fresh request referring to the steps above.

Status: Submitted on 26-Mar-2024 (Returned)

New

Return reason:

Request for Licence Revocation by Licensed Insurance Intermediary



- Please note that “*Licence Revocation*” function will be disabled when:-
 - Licensee has active appointment(s) with authorized insurer(s) / insurance agency / insurance broker company(ies);
 - Licensee has submitted another request which is being processed by the IA;
 - Licensee has submitted Licence Renewal Application / Notification of Appointment/ Varying Line(s) of Business Application / Notification of Change in Particulars which is being processed.



9. View Former Self-Regulatory Organization Past Registration Records

The individual account owner can use this function to review his / her past registration records of insurance intermediaries if he / she had been registered with any of the three self-regulatory organizations ("SROs") prior to 23 September 2019, of which the information has been transferred from the SROs to the Insurance Authority ("IA"). For licence records of insurance intermediaries on or after 23 September 2019, please refer to the Register of Licensed Insurance Intermediaries (<https://iir.ia.org.hk>).

The screenshot shows a web application interface with a dark sidebar on the left and a main content area. The sidebar contains four menu items: 'Inbox', 'New Application', 'View Former Self-Regulatory Organization Past Registration Records' (highlighted with a red box), and 'User Profile'. The main content area is titled 'View Self-Regulatory Organization Registration Records' and contains two sections: 'Particulars of Licensed Insurance Intermediary' and 'Registration Details'. The 'Particulars of Licensed Insurance Intermediary' section has three input fields: 'SRO Last Registration No.', 'SRO Name', and 'SRO Registrant Name'. The 'Registration Details' section has a table with six columns: 'SRO Name', 'Registration Type', 'Appointing Principal(s)', 'Line of Business', 'Start Date', and 'End Date'.

Particulars of Licensed Insurance Intermediary:		
SRO Last Registration No.	SRO Name	SRO Registrant Name

Registration Details					
SRO Name	Registration Type	Appointing Principal(s)	Line of Business	Start Date	End Date

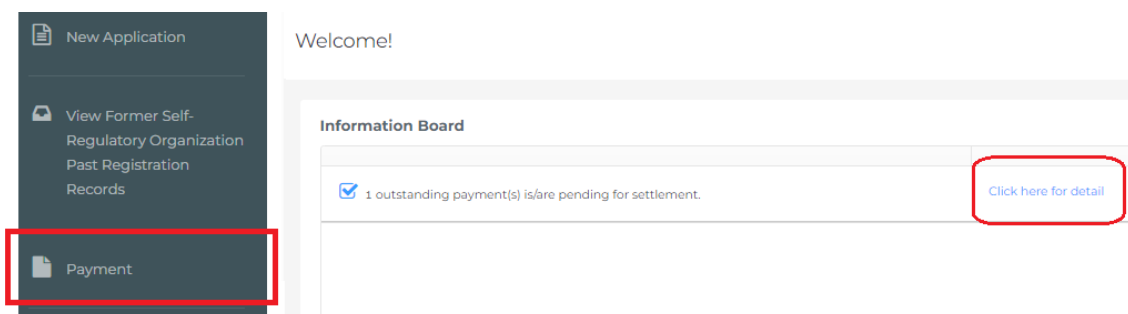


10. Payment

From 23 September 2024 onwards, fees for licence applications and related notifications submitted electronically through IIC will be collected through IIC at the time that the application or notification is submitted. For details, please refer to the fees table and Frequently Asked Questions, available at the IA's website (https://www.ia.org.hk/en/supervision/reg_ins_intermediaries/licensing_and_related_fees.html).

10.1 Outstanding Payment Records

- When there is outstanding payment pending individual account owner's settlement, reminder message will be displayed in the Information Board. The individual account owner may click "[Click here for details](#)" or "**Payment**" at the menu bar to check outstanding payment record(s) and payment history.



- When there is an application or a notification which relevant licensing fee was selected to be paid by the individual account owner, relevant payment entry will be added to the list of "Outstanding Payments (Licence)".
- Relevant details in relation to the payment will be shown, e.g. application type, reference number, fee amount, etc..



- Individual account owner may settle the payment by clicking “**Pay**” next to the payment record. If there are more than one payment pending settlement, individual account owner may settle the payments in batch by clicking “**Pay Selected**” or “**Pay All Outstanding Payments**”.

Payment

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

All paid fee will NOT be refunded, even if the application is not approved.

Pay Selected \$ Pay All Outstanding Payments \$

<input type="checkbox"/>	Application Type	Case/Ref. No.	Amount	Status	Payment Details	Create Date	Payment
<input type="checkbox"/>	New Application	A240008494	\$810	Pending Payment	Application Fee for 3-Year Licence: \$810	10/09/2024	<input type="button" value="Pay"/>

- Total amount to be paid would be shown. Click “**Confirm**” to proceed if confirm the amount is correct.



Insurance Intermediaries Connect

The TOTAL amount to be paid is: \$810

CONFIRM CANCEL








- Individual account owner will then be directed to the payment gateway which different payment methods are available.

 **mPay Payment Service** Pay safer with mPay 

Order Number	████████████████████
Merchant Name	Insurance Authority - Licensing
Total Amount	HKD 1,900.00

Choose the payment method

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

CANCEL

- When payment process is completed, individual account owner will be directed back to the IIC.

Payment

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

All paid fee will NOT be refunded, even if the application is not approved.

Pay Selected \$ Pay All Outstanding Payments \$

<input type="checkbox"/>	Application Type	Case/Ref. No.	Insurance Intermediaries Connect	Payment Details	Create Date	Payment
<div style="border: 1px solid #ccc; padding: 10px; width: fit-content; margin: 0 auto;"><p>Payment Success</p><p>OK</p></div>						

10.2 Payment History and Payment Receipt

- Records of settled payment will be shown under “Payment History (Licence)”. Individual account owner may download relevant payment receipt by clicking “Receipt”.

Payment

OUTSTANDING PAYMENTS (LICENCE) PAYMENT HISTORY (LICENCE) OUTSTANDING PAYMENTS (DISCIPLINARY ACTION) PAYMENT HISTORY (DISCIPLINARY ACTION)										
										Download Selected Receipt Export
<input type="checkbox"/>	Application Type	Name of Applicant/...	Case/Ref. No.	Payment Da...	Amount	Status	Line of Business	Payment Details	Create Date	Receipt
<input type="checkbox"/>	New Application	██████████	A240008494	10/09/2024	\$810	Paid	G	Application Fee for 3-Year Licence: \$810	10/09/2024	Receipt



香港黃竹坑香葉道41號19樓
19th Floor, 41 Heung Yip Road, Wong Chuk Hang, Hong Kong.
電話Tel: (852) 3899 9983 電郵Email: enquiry@ia.org.hk
傳真Fax: (852) 3899 9993 網址Website: www.ia.org.hk

收據 Receipt

發出日期 Issue Date :

付款日期: Payment Date: (DD/MM/YYYY)	付款方式: Payment Method:
付款參考編號: Payment Reference ID:	付款人: Payer:

付款資料 Payment Details				
付款類別	個案編號	姓名	保監局牌照號碼	金額 (港幣)
Payment Type	Case Number	Name	IA Licence No.	Amount (HK\$)

備註: /
Remarks: /

<此為電腦編印文件，毋須簽署>
<This is a computer-generated record. No signature is required >



11. Forgot Password, Username and Unlock Account

11.1 Forgot Password

In the case that any of the users forgot their password, they can click the “*Forgot Password*” button from the login page to reset the password. An email will be sent to the account owner’s registered email address after the owner providing required information for verification.

11.2 Forgot Username

In the case that the individual account owner forgot his / her username, he / she can utilize the “*Forgot Username*” button from the login page. The username will be delivered to the user through his / her registered email address.

11.3 Unlock Account

If the account is locked after **3 failed login attempts**, the account owner can utilize the “*Unlock Account*” button from the login page to unlock their accounts. When the account is locked, both “*Forgot Password*” and “*Forgot Password*” cannot be used.



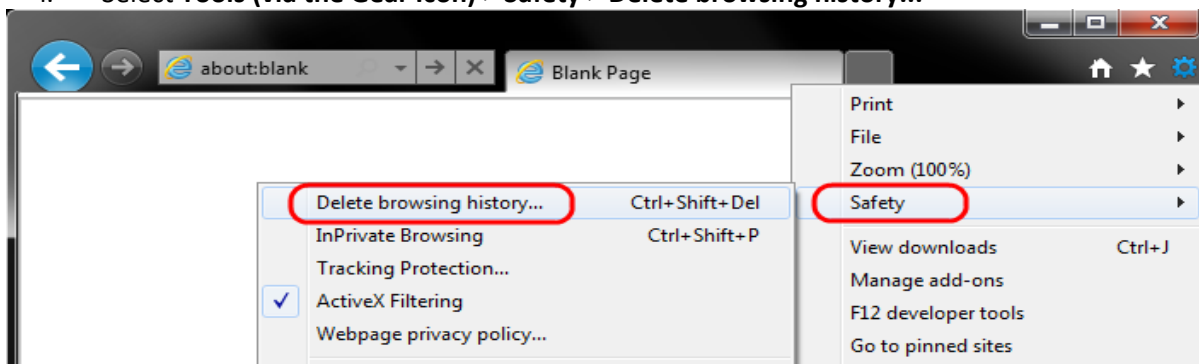
12. Other Technical Issues

If users encountered webpage problems (e.g. screen stuck, badly formatted webpages) or error messages, it may be related to the browser cache. Please **clear browser cache** by using one of the following methods below.

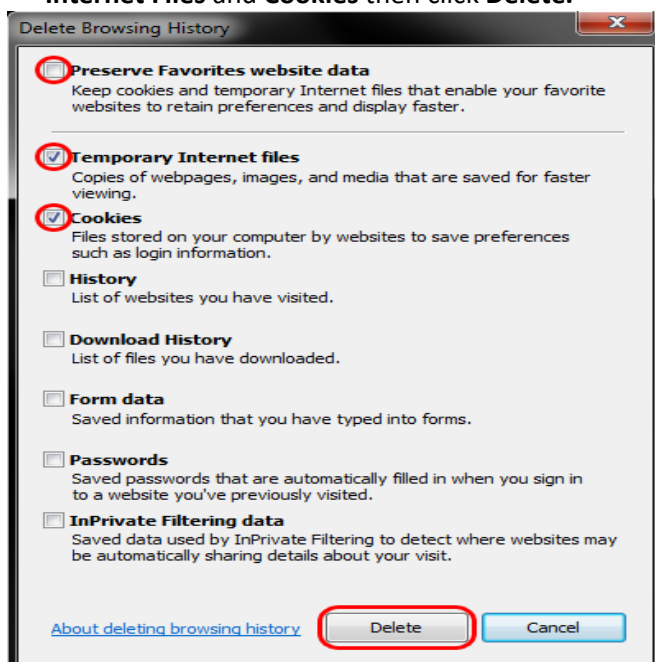
For any other technical issues (e.g. creation of individual account, collection of Account Opening Password, company internet firewall, work e-mail server setting/cannot receive e-mail notifications, etc.), please contact your Principal for further advice.

For IE Users

- i. Select **Tools (via the Gear Icon) > Safety > Delete browsing history...**



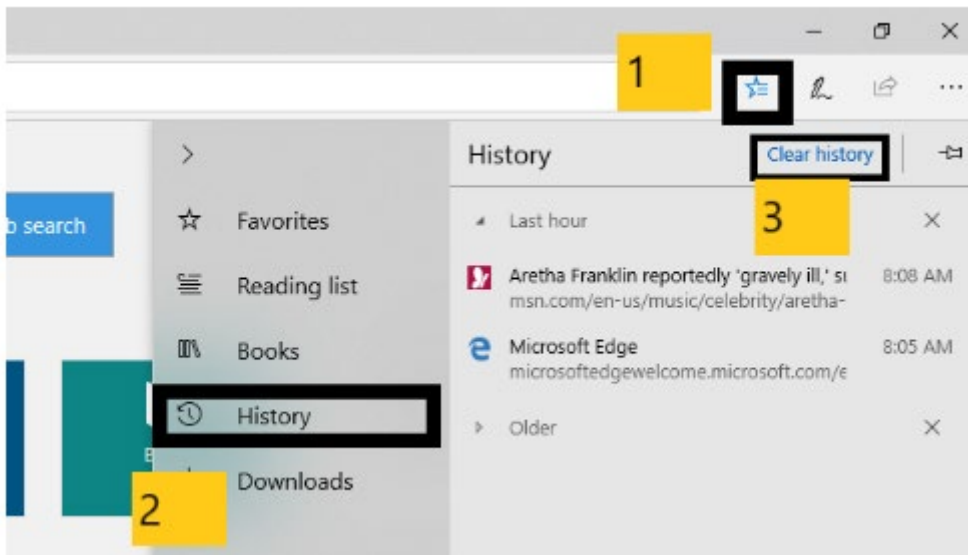
- ii. Make sure to uncheck **Preserve Favorites website data** and check both **Temporary Internet Files** and **Cookies** then click **Delete**.



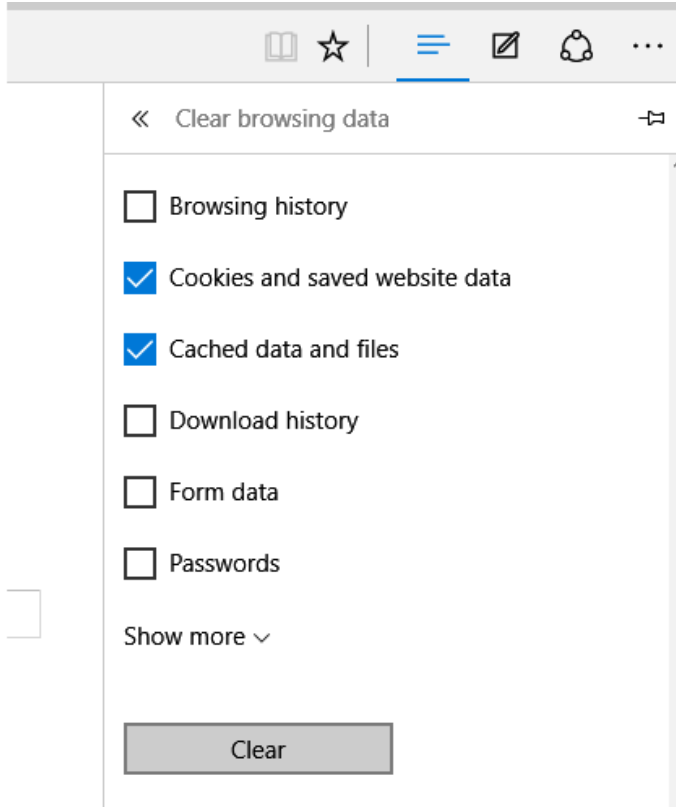


For EDGE Users

- i. Select the **Hub icon** (three horizontal lines at top bar in front of a star), click the History menu option, and then click **Clear history**.



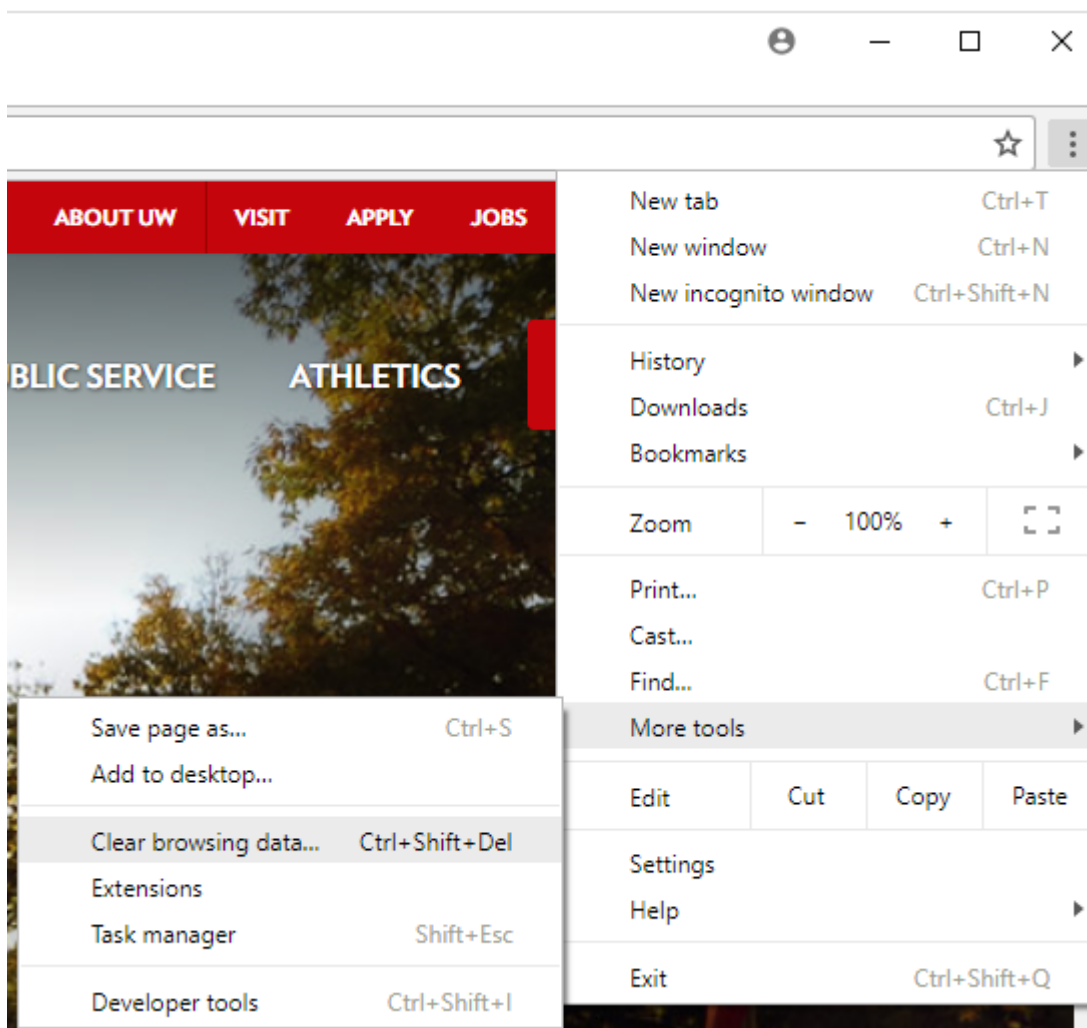
- ii. Select "Cookies and saved website data" and "Cached data and files". After the two are marked, click **Clear**.





For Chrome Users

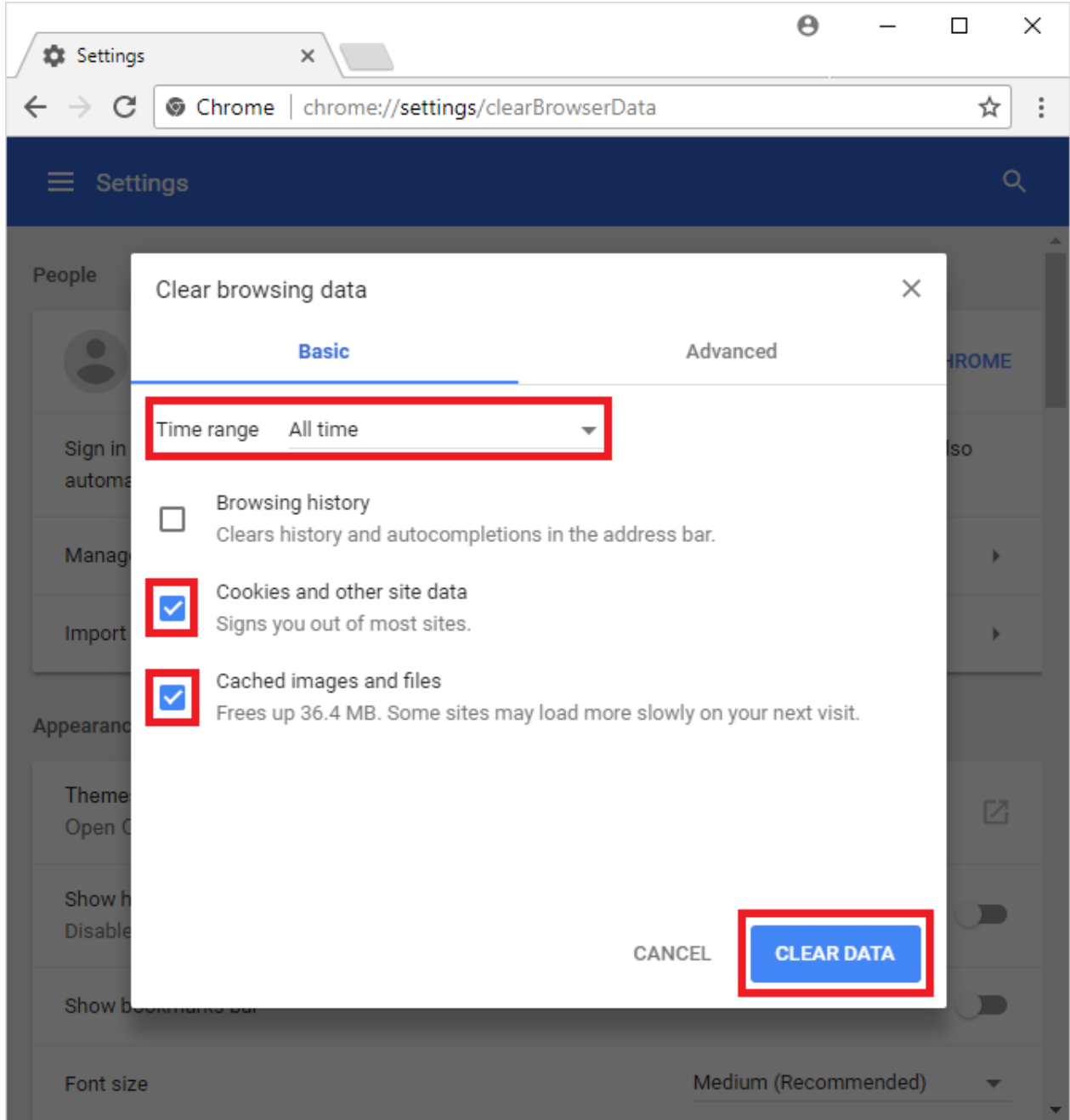
- i. Click on the settings icon that appears to the right of the address bar. In the newest versions of Chrome, this appears as three vertical dots and in older versions will be three horizontal lines or a wrench icon.
- ii. From the menu, select **More tools > Clear browsing data...**



- iii. Check the following:
 - **Cookies and other site data**
 - **Cached images and files**



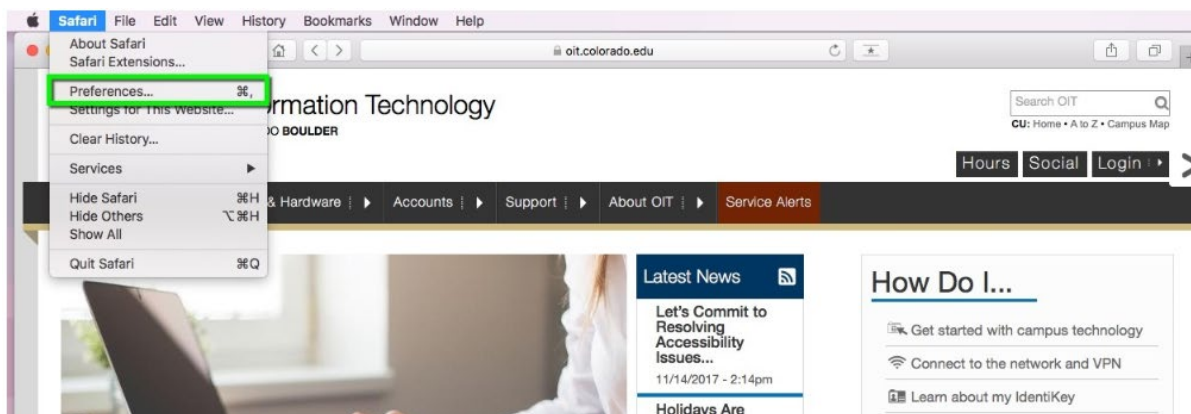
iv. Select **All time** in the **Time range** drop down box and click on the **CLEAR DATA** button.





For Safari Users

- i. Click on the Safari drop-down menu and select **Preferences**.



- ii. Click the **Advanced** tab. Select the **Show Develop menu in menu bar** checkbox and close the Preferences window.



<< END >>