User Guide of the Insurance Intermediaries Connect for Principals

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

Last update: August 2023

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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 different account users of **principals** with information on functions and procedure in the IIC.

For instructions on how to submit an individual licence application by individual applicants, i.e. **individual insurance agent, technical representative (agent) and technical representative (broker)** (collectively, "**individual account owner**") through the IIC, please refer to "User Guide of the Insurance Intermediaries Connect for Individual Account Owner" ("**Individual Account Owner's User Guide**") for details.

1.1 Users of the Insurance Intermediaries Connect

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

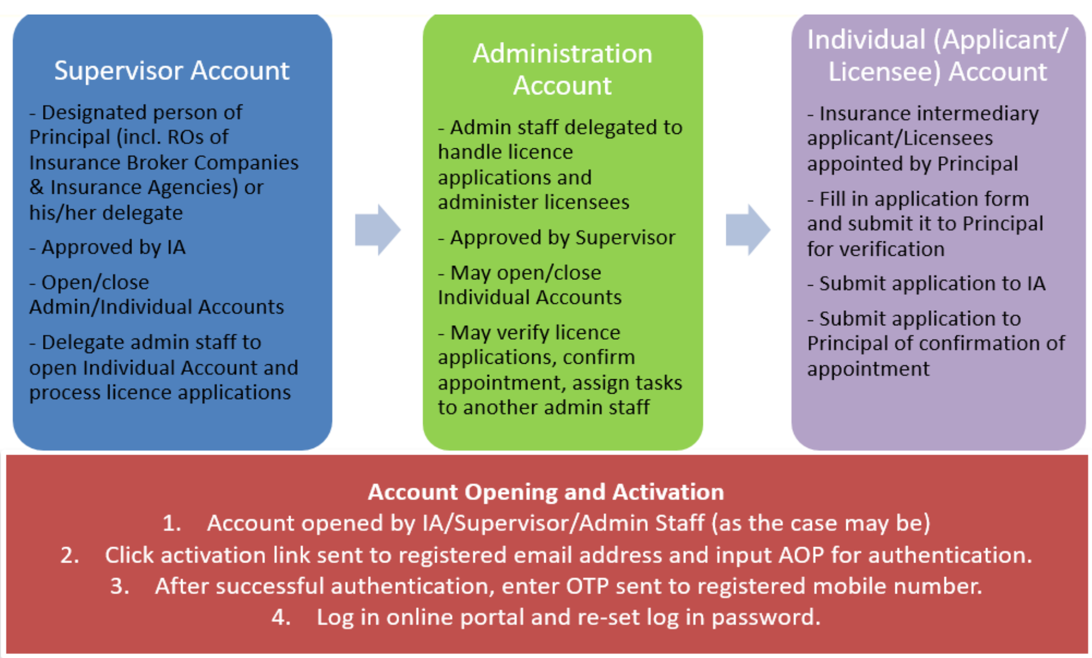
- Individual applicants for the following licences (after duly registered with principals)
  - Individual insurance agents
  - Technical representatives (agent)
  - Technical representatives (broker)

1.2 Types of the IIC Accounts managed by the Principal

IIC Account Type	Available Functions
Supervisor Account (Refer to Section 2)	• Perform all functions available on IIC for a principal.
Alternate Supervisor Account (Refer to Section 3)	• Created by Supervisor Account (if considered necessary) • Perform selected or all functions available on IIC (i.e. delegated to have all rights of supervisor account except the right to create another Alternate Supervisor Account) • Served as a back-up of Supervisor Account

Administration Account (Refer to Section 3)	• Created by Supervisor Account (if considered necessary) with selected rights assigned by Supervisor
	    o Create Individual Account for Individual insurance agents, Technical representatives (agent) or Technical representatives (broker)
	    o Verify licence application submitted by individual applicants
	    o Confirm appointment of individual applicants
	• Able to assign tasks from one Administration Account to another Administration Account
	• Handle the creation of Individual Accounts in bulk upload – account creation
	• Prefill individual licence application forms in bulk upload – application creation

Individual Account **- Individual insurance agents** **- Technical representatives (agent)** **- Technical representatives (broker)** **(Refer to Section 4 and 5)**	• Created by Supervisor/ Administration staff for individual licence applicant or licensee • Responsible for completing the licence application form and submitting the application to principal for endorsement • Responsible for submission of licence application to IA • Able to view individual's information (e.g. CPD, SRO past registration record)



1.3 Functions of the IIC

The IIC provides an online platform allowing its users to submit licensing applications. The IIC aims to streamline the licensing processes and procedures as well as enhancing communication efficiency between users of the IIC and the IA. Currently, the major functions of IIC include:

- **Individual Licence application**
  - ***Completion of application form by individual applicant***
    Individual Applicant will be able to complete his/ her application through IIC.

  - ***Verification of individual application form by principal***
    Principal will be able to verify the individual application through the IIC. If there is anything needed to be updated, principal may mark the comments. The individual applicant will be able to view the comments and conduct necessary updates through the IIC.

  - ***Confirmation of individual applicant appointment by principal***
    Principal may also confirm the ***individual applicant*** appointment through the IIC.

  - ***Submission of application to the IA***
    Once the individual application has been completed and verified, it can be submitted by the individual applicant to the IA via the IIC.

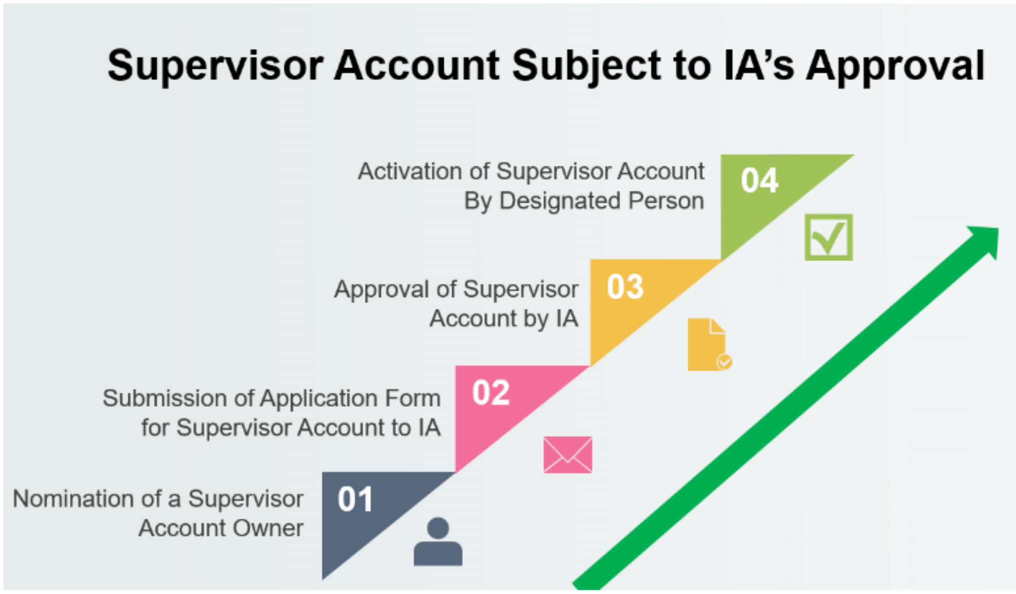
The principal must register for an IIC Supervisor Account with the IA before the individual applicant is able to submit his/ her licence applications through the IIC.

This user guide is to provide supervisors, alternative supervisors and administration account owners (on behalf of their respective authorized insurers, licensed insurance agencies and licensed insurance broker companies, collectively, "principal") with the information on the creation of accounts in the IIC, verification of licence applications, and confirmation of appointment of the individual applicants.

This user guide will be update from time to time to reflect the latest functions as available in the IIC.

2. Supervisor Account

A principal is required to have a supervisor account with the IA before it can use the functions of IIC. Each principal shall have only **one supervisor account**. Setting up a supervisor account involves several steps as follows:

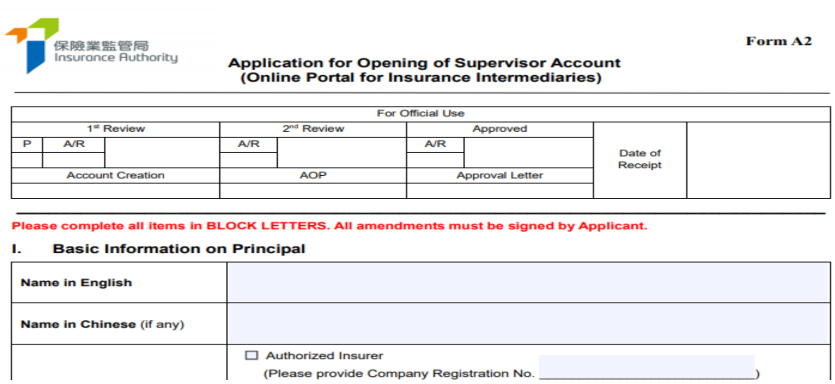


2.1 Step 1 – Nomination of a Supervisor Account Owner

A principal must firstly identify a senior staff with sufficient authority to act as the supervisor account owner whom will be able to perform all functions available on the IIC.

2.2 Step 2 - Submission of Application Form for Supervisor Account

A principal is required to complete and submit the application form, "***Form A2 Online Portal - Application for Opening of Supervisor Account***", to the IA for consideration. This form is available from the IA's website (https://www.ia.org.hk/en/infocenter/forms/intermediaries.html).



保險業監管局
Insurance Authority

Form A2

Application for Opening of Supervisor Account
(Online Portal for Insurance Intermediaries)

For Official Use									
1st Review			2nd Review		Approved		Date of Receipt	
P	A/R		A/R		A/R			
Account Creation			AOP		Approval Letter			

Please complete all items in BLOCK LETTERS. All amendments must be signed by Applicant.

I. Basic Information on Principal

Name in English	
Name in Chinese (if any)	
	☐ Authorized Insurer (Please provide Company Registration No. ____________)

When completing the form, please note that with respect to:

a. **Account owner's Name in English** – The name must be identical with the proposed supervisor account owner's Hong Kong identity ("**HKID**") card;

b. **Login Username for Supervisor Account** – The principal shall consider a username which resembles the business entity (e.g. your Company Registration No. or Insurance Intermediary Licence No. as Username for Supervisor Account). To facilitate the succession of the supervisor account due to future personnel movement, the principal shall avoid using the personal name of the proposed supervisor account owner as the username;

c. **Hong Kong Identity Card Number** – The first 4 characters of the HKID Card number will be used during the account activation process;

d. **Email Address** – The email address provided will be used for all future communication between the IA and the supervisor account owner. The supervisor account owner shall provide the office email address of the principal. An account activation email will also be sent to this email address;

e. **Hong Kong Mobile Number** – An one-time password ("**OTP**") will be sent to the mobile number provided via SMS for verification purpose. Account owner can also use this number to communicate with the IA via WhatsApp on licensing matter, if necessary; and

f. **Address of Registered Office** – An approval letter from the IA along with the Account Opening Password ("**AOP**") will be mailed to the principal's office. The AOP will be used for activating the supervisor account.

Supervisor Account Owner is required to monitor the account usage to prevent any unauthorized use. Principal shall have effective internal controls in place to ensure proper opening of alternate supervisor, administration and individual accounts. Principal is expected to conduct periodic review of its account opening procedures, and to report to the IA any irregularities identified. Review record and internal monitoring record shall be provided to the IA upon request.

2.3 Step 3 – Approval of Supervisor Account

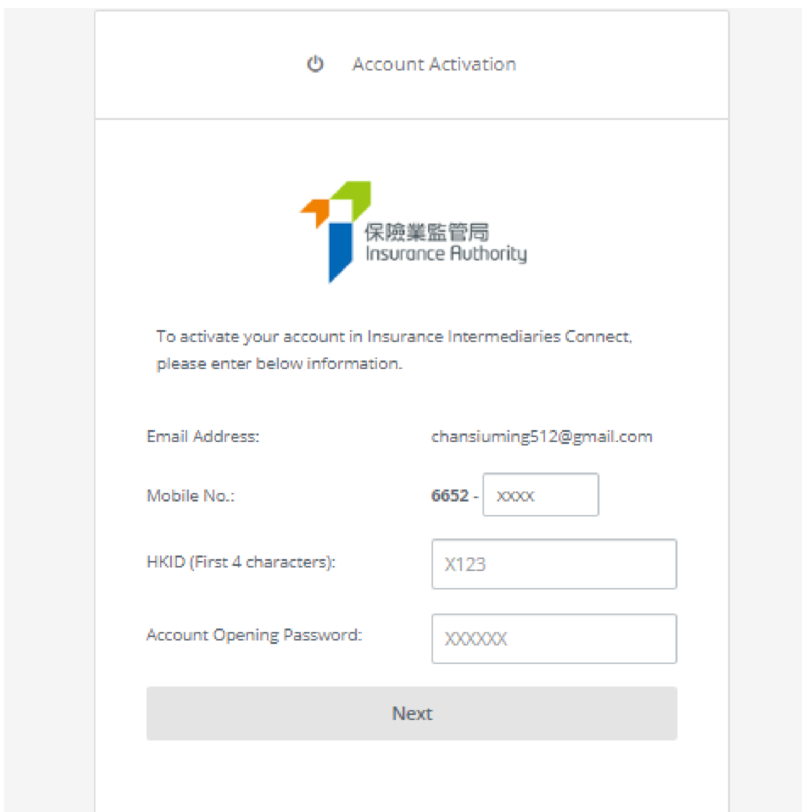
Once the application is approved by the IA, an approval letter with the AOP will be mailed from the IA to the principal's registered office address. An activation link will also be sent to the proposed supervisor account owner's registered email address.

2.4 Step 4 – Activation of Supervisor Account

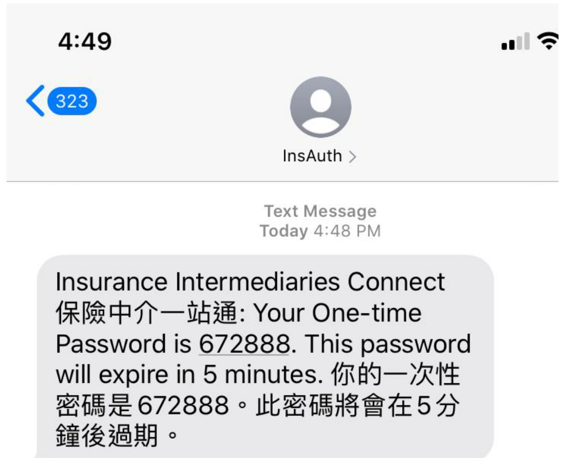
- The supervisor account owner will receive an activation email as well as an approval letter with the AOP from the IA by post. He/ she shall activate the account with the activation link provided, which will only be valid for 90 days (Note: Due to the different email setting, it is possible that the activate email may be moved to junk/ spam folder, please check the relevant email folder if necessary). If the supervisor account owner is unable to receive the activation email, he/ she shall contact the IA to resend the activation email.

- The supervisor account owner will be directed to the activation page after accessing to the link provided in the activation email. The following information is required to activate the account:
  - First 4 characters of HKID Number;
  - Last 4 digits of the registered mobile number; and
  - AOP (*which has been sent to the principal's registered office address*).

- During the activation process, the information inputted into the activation page shall be consistent with the information provided in the "*Form A2 Online Portal – Application Form for Opening of Supervisor Account*" in order to pass the authentication.



- After successful authentication, an OTP will be sent to the supervisor account owner's registered mobile number via SMS and he/ she is required to enter the OTP **within 5 minutes** in order to activate the supervisor account. If the account owner is unable to receive the OTP, he/ she can request a new OTP by clicking the "***Re-send***" button.

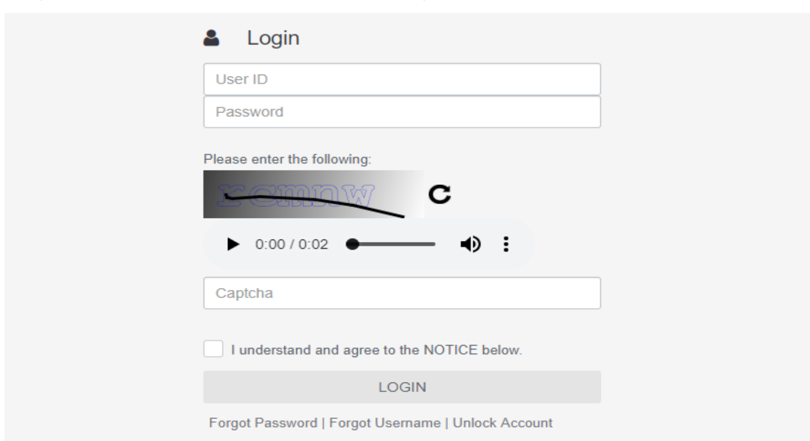


- The supervisor account owner shall enter the self-defined username and new password to complete the account activation process in accordance with the following:

    - The requirements for username:
        - Between 6-20 characters with no space.

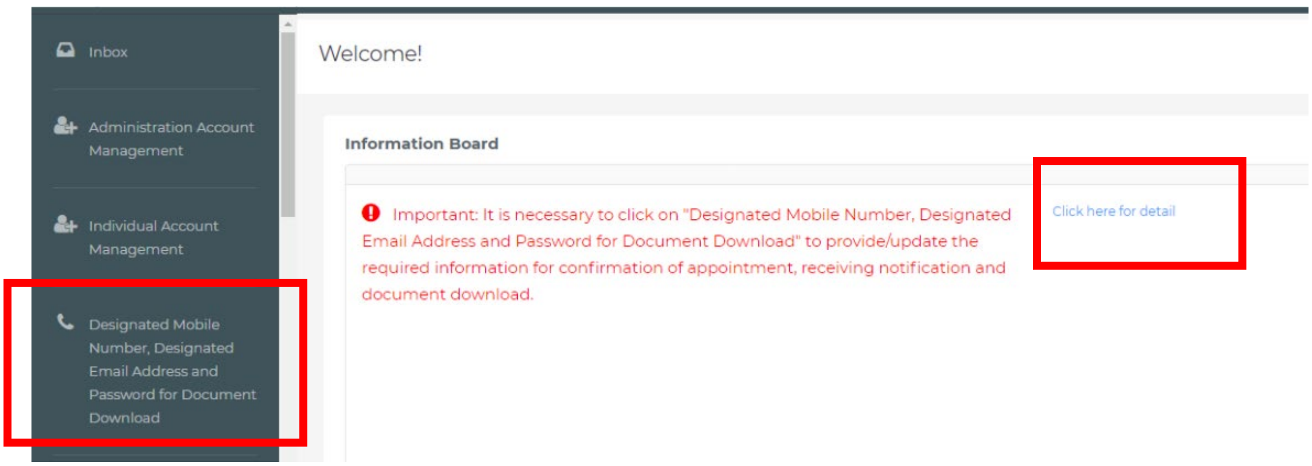
    - The requirements for password:
        - Minimum of 8 characters.
        - Cannot be the same as the user ID.
        - Must be a combination of lowercase letter(s), uppercase letter(s), number(s) and special character(s) (Allowed special characters are "! @ # $ _ ? – &").
        - The previous 3 old passwords cannot be reused as the new password.

- The supervisor account owner shall return to the IIC login page to login with the newly created supervisor account username and password to access the IIC's services.



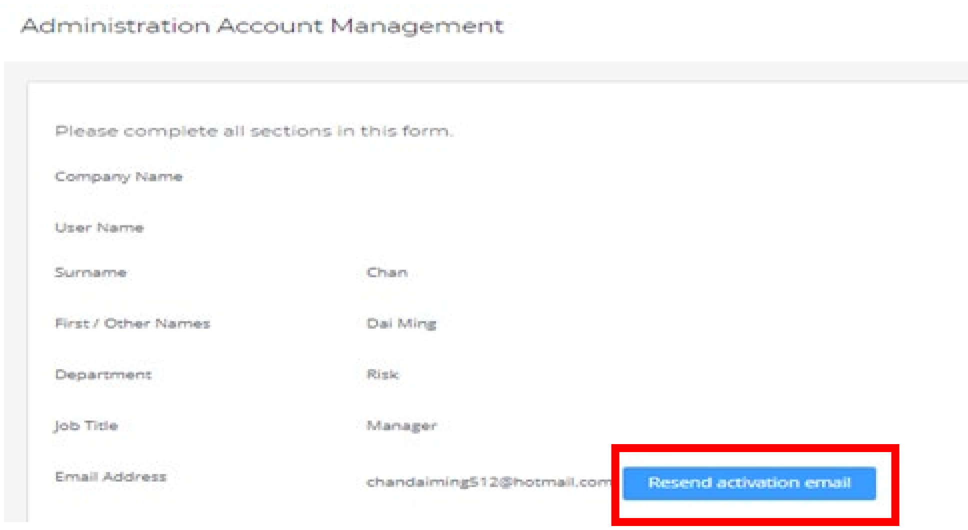
2.5 Step 5 – Setting of Designated Mobile Number, Designated Email Address and Password for Document Download

Upon logging into the IIC, a message will be shown under "***Information Board***" to remind the supervisor to add the designated mobile number and email address **for receiving OTP in relation to the confirmation of individual applicants' appointment**, and set the password **for document download** in the future. The supervisor account owner can add the dedicated email address, mobile number and set/update the password by clicking "***Click here for detail***".



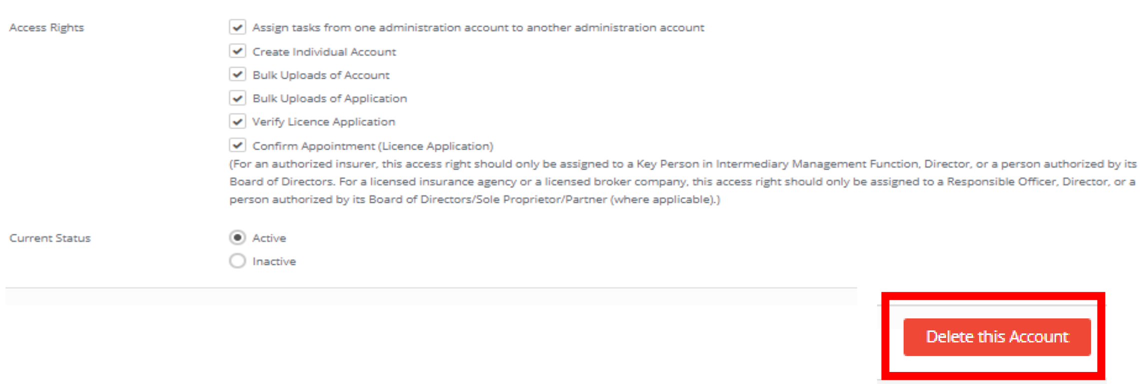
2.6 Re-sending Activation Email to Alternate Supervisor Account and Administration Account Owner

Please refer to section 3.1 for creation of the alternate supervisor account and administration account. If the alternate supervisor account or administration account owner is unable to receive the activation email, the supervisor account owner can generate a fresh activation email by clicking "***Administration Account Management***", followed by and then "***Resend activation email***". Due to the different email setting, it is possible that the activate email may be moved to junk/ spam folder, please check the relevant email folder if necessary. Please also refer to Section 16 related to internal email server setting.



2.7 Deletion of Alternate Supervisor Account or Administration Account

The supervisor account owner can delete an alternate supervisor account or administration account (e.g. due to staff turnover) by clicking "***Administration Account Management***", followed by and then "***Delete this account***".



3. Alternate Supervisor Account and Administration Account

Alternate Supervisor Account

A principal may nominate another staff as the alternate supervisor account owner as a backup of the supervisor account owner. The alternate supervisor account owner will be able to perform all or selected functions available on the IIC, except the right to create another alternate supervisor account. Each principal shall only have one alternate supervisor account.

Administration Account

The supervisor account owner may delegate certain functions to be performed at IIC to his/ her staff under an administration account. Depending on the complexity of the principal's intermediary structure and business needs, a supervisor account owner can create a reasonable number of administration accounts if considered necessary.

3.1 Step 1 – Creation of Alternate Supervisor Account or Administration Account

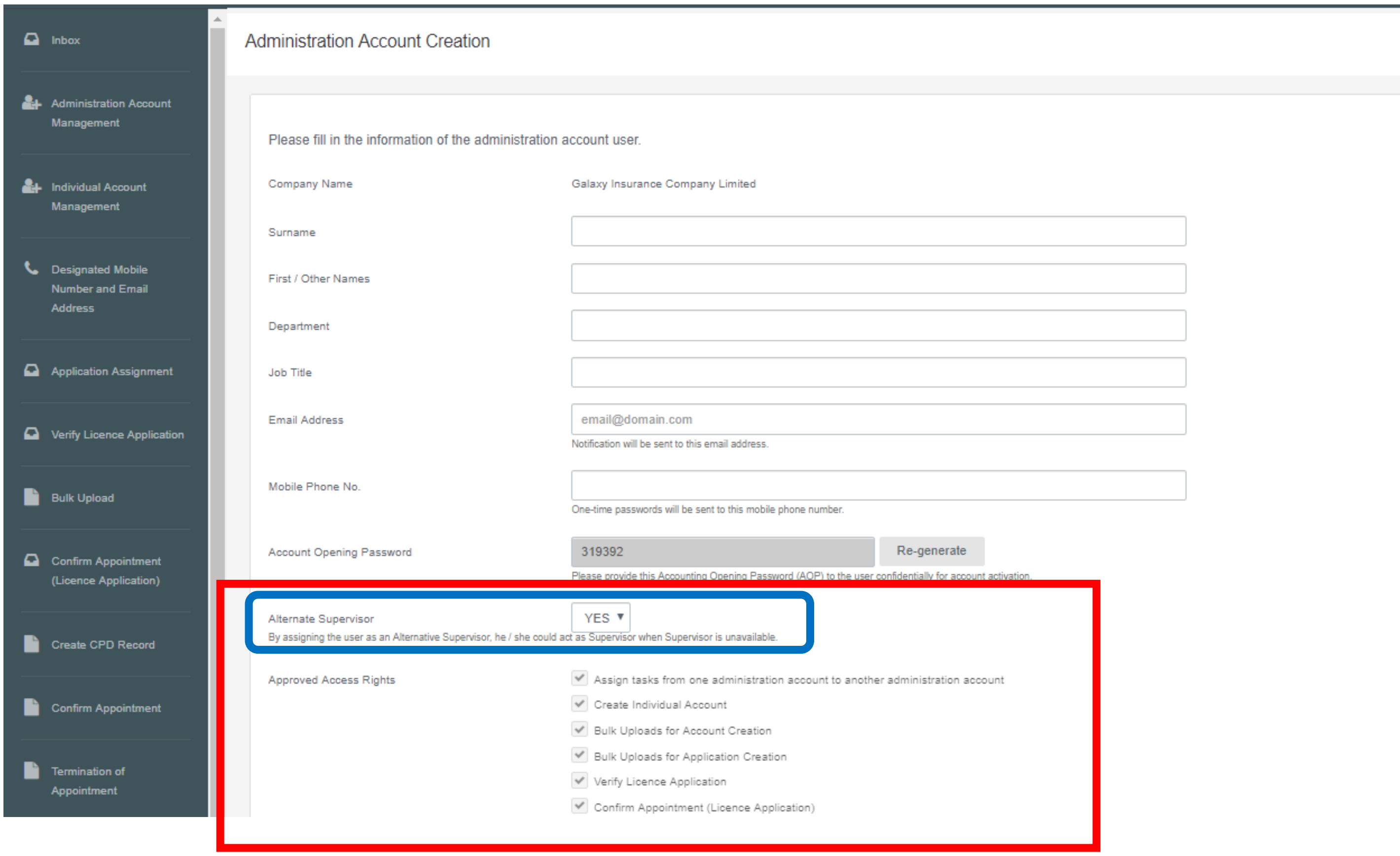
- Supervisor account owner can create an alternate supervisor account or administration account by accessing to "***Administration Account Management***", followed by clicking "***+ Create Administration Account***".

- Under the "***Administration Account Creation***", the supervisor account owner shall input the required account information (e.g. Account owner name, email address, Hong Kong mobile number, etc.) in the corresponding fields. In particular, if it is intended to create:

    a. **Alternate Supervisor Account**: Please select "***Yes***" for Alternate Supervisor. The system will automatically check all the items under "***Approved Access Rights***".

    b. **Administration Account**: Please select "***No***" for Alternate Supervisor. Supervisor account owner may select the **"*Approved Access Rights*"** that he/ she would like to delegate to the proposed administration account owner.

The supervisor account owner shall create the account by clicking "***Create***" after the input.



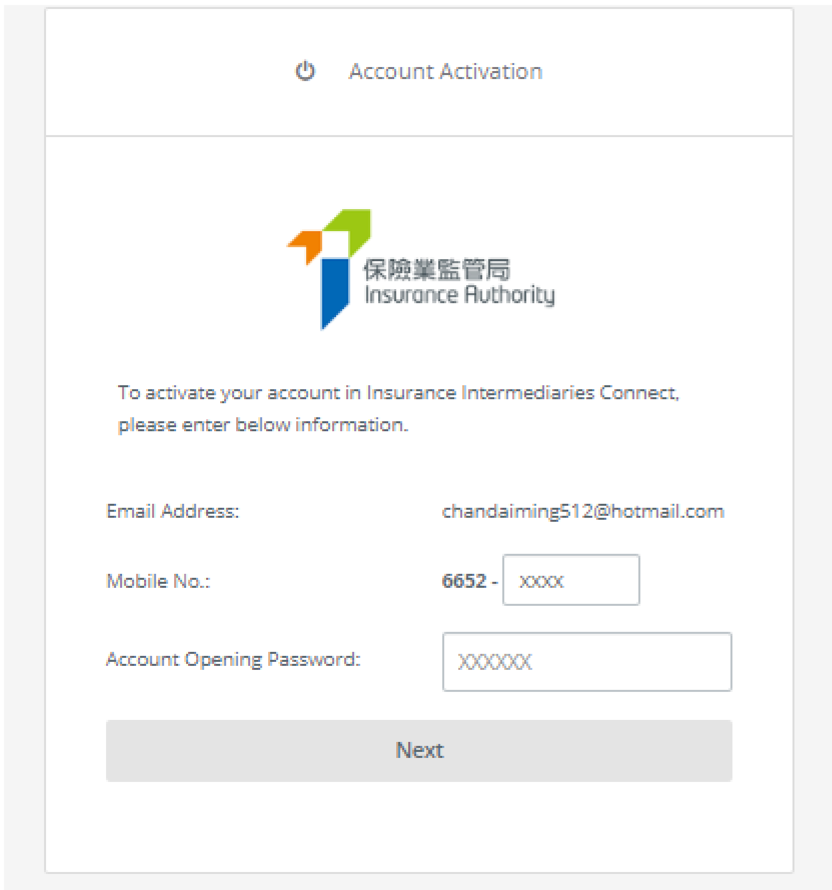
- After the alternate supervisor account/ administration account is created, supervisor account owner will be able to check the status under "***Administration Account Management***".

- Supervisor account owner shall print "***Insurance Intermediaries Connect – Administration Account Opening Record***" with the AOP for the alternate supervisor account owner/ administration account owner to activate the account. The principal shall have proper procedure in place to ensure the AOP to be delivered to the alternate supervisor account owner/ administration account owner in a secure manner. It is also the principal's responsibility to keep proper record of the account opening process, and provide such record to the IA upon request.

3.2 Step 2 – Activation of Alternate Supervisor Account or Administration Account

- Similar to section 2.4 above, once the supervisor account owner has created the alternate supervisor account/ administration account, the account owner will receive an activation email and he/ she shall activate the account with the activation link provided, which will only be valid for 90 days (Note: Due to the different email setting, it is possible that the activate email may be moved to junk/ spam folder, please check the relevant email folder if necessary). If the alternate supervisor/ administration account owner is unable to receive the activation email, he/ she shall inform the supervisor account owner to resend the activation email.

- The alternate supervisor/ administration account owner will be directed to the activation page after accessing to the link provided in the activation email. The information inputted shall be consistent with the information inputted by the supervisor account owner in order to pass the authentication. The following information is required to activate the account:
  - Last 4 digits of the registered mobile number; and
  - AOP



- After the successful authentication, an OTP will be sent to the alternate supervisor/ administration account owner's registered mobile number via SMS and he/ she is required to enter the OTP within 5 minutes in order to activate the account. If the account owner is unable to receive the OTP, he/ she can request a new OTP by clicking the "***Re-send***" button. Please refer to section 2.4 for requirements for the self-defined username and new password to complete the account activation process.

The alternate supervisor/ administration account owner shall return to the IIC login page to login with the newly created account username and password.

4. Individual Account

Individual applicant is required to set up an individual account before he/ she can use the functions in IIC. Individual applicant shall apply to the principal for creating an individual account. Setting up an individual account involves several steps as follows:

4.1 Step 1 - Submission of Application Form for Individual Account

Individual account owner shall provide the following information to their principal in order to create an individual account:

a. **Full Name in English** – The name must be identical with their HKID card;

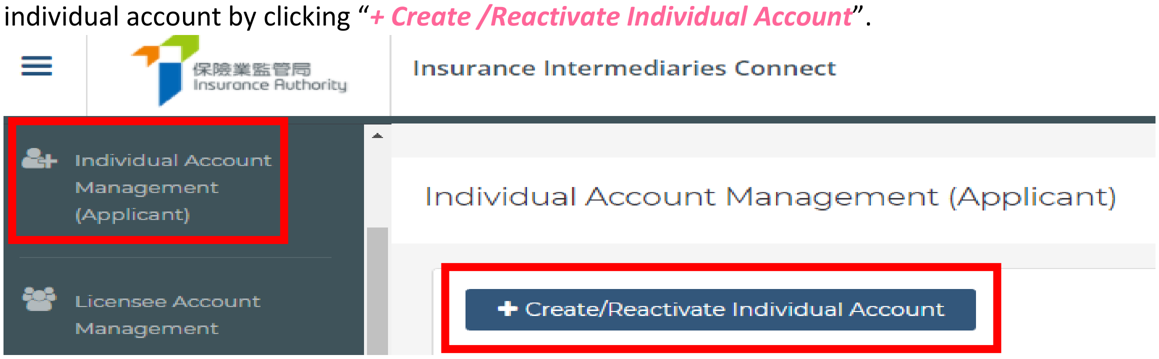
b. **Hong Kong Identity Card Number** – The HKID card number will be used during the account activation process;

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 shall provide a personal email address which is valid at all times (Note: work email is **NOT** recommended as the individual account owner may not able to access their work email if they change job later). An account activation email will also be sent to this email address;

d. **Hong Kong Mobile Number** – An OTP will be sent to the mobile number provided via SMS for verification purpose.

4.2 Step 2 – Creation of Individual Account

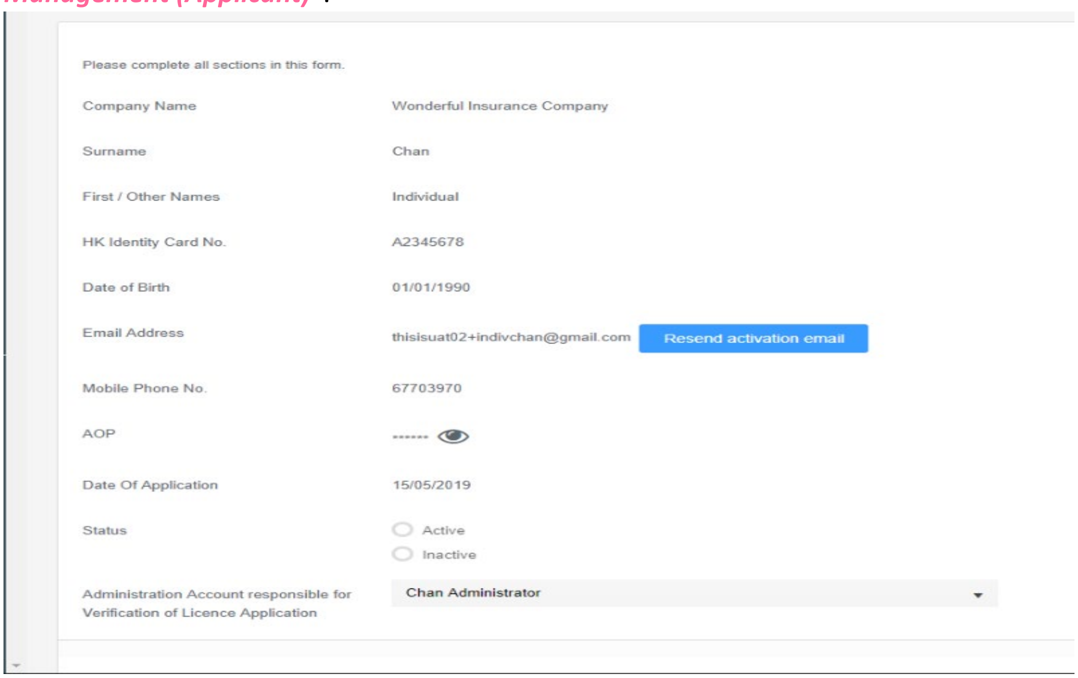
- The supervisor/ alternate supervisor/ administration account owner (collectively, Principal Authorized Administrator ("**PAA**")) shall access to the account input interface by accessing "***Individual Account Management (Applicant)***". The PAA shall proceed to the creation of individual account by clicking "***+ Create /Reactivate Individual Account***".



- **Administration Account Responsible for Verification of Licence Application** – This field shows the Administration Account responsible for verifying the information/ application submitted by individual account owner. The PAA who created the individual account owner account is set as the default Administration Account for the corresponding individual account created. The Administration Account responsible for the verification can be changed in the drop-down box of the field. This arrangement can be updated after the individual account is created.

- Once the individual account owner's information is inputted to the system, the PAA shall proceed to the individual account creation by clicking the "***Create***" button.

- The status of the individual accounts can be reviewed under "***Individual Account Management (Applicant)***".



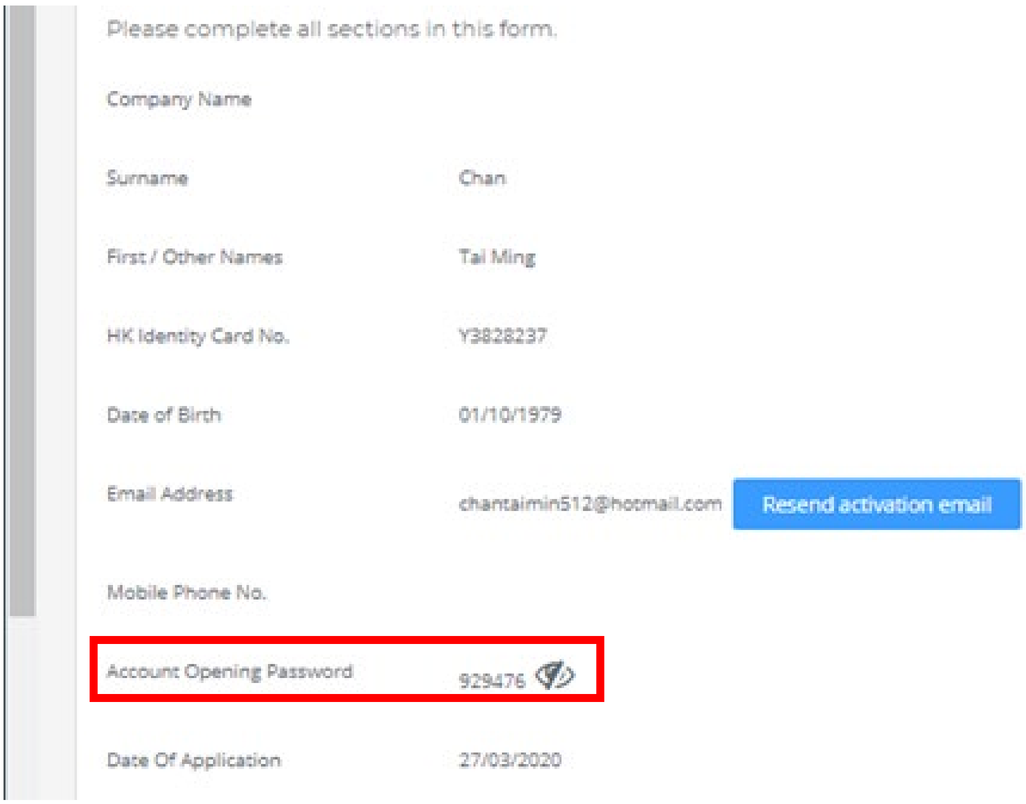
Please complete all sections in this form.

Company Name	Wonderful Insurance Company
Surname	Chan
First / Other Names	Individual
HK Identity Card No.	A2345678
Date of Birth	01/01/1990
Email Address	thisisuat02+indivchan@gmail.com Resend activation email
Mobile Phone No.	67703970
AOP	******
Date Of Application	15/05/2019
Status	Active Inactive
Administration Account responsible for Verification of Licence Application	Chan Administrator

- For instructions to individual applicants, please refer to section 2 of Individual Account Owner's User Guide for details.

<u>**Individual Account Opening Record**</u>

- The AOP is a system generated one-off password, which can be found in the Individual Account Opening Record form.



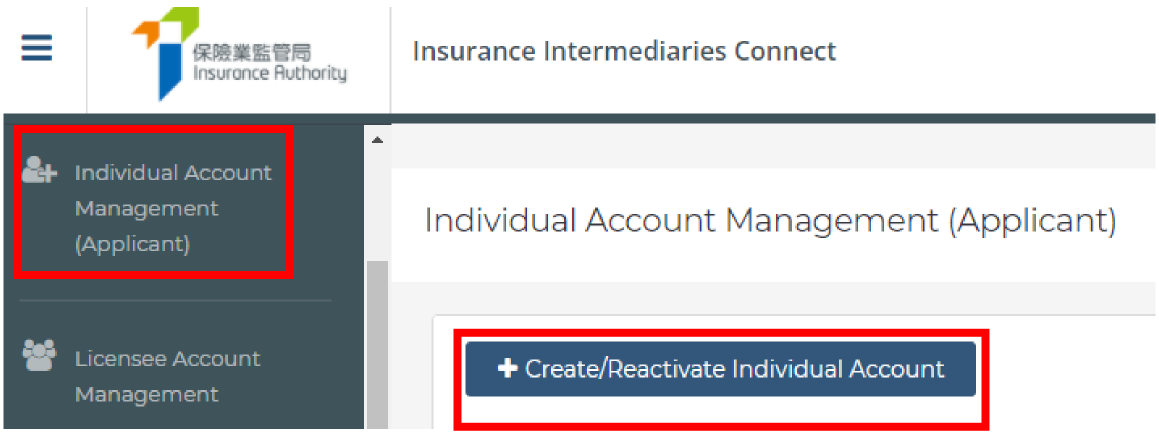
- Please be reminded that the AOP is of high important in the account opening process. The PAA shall pass the designated AOP to individual account owner **after verification of his/ her identity** in a secure manner to avoid any misuse/ unauthorized use of the account. It is the principal's responsibility to keep a proper record on the account opening process, and provide such record to the IA upon request.

4.3 Step 3 – Activation of Individual Account

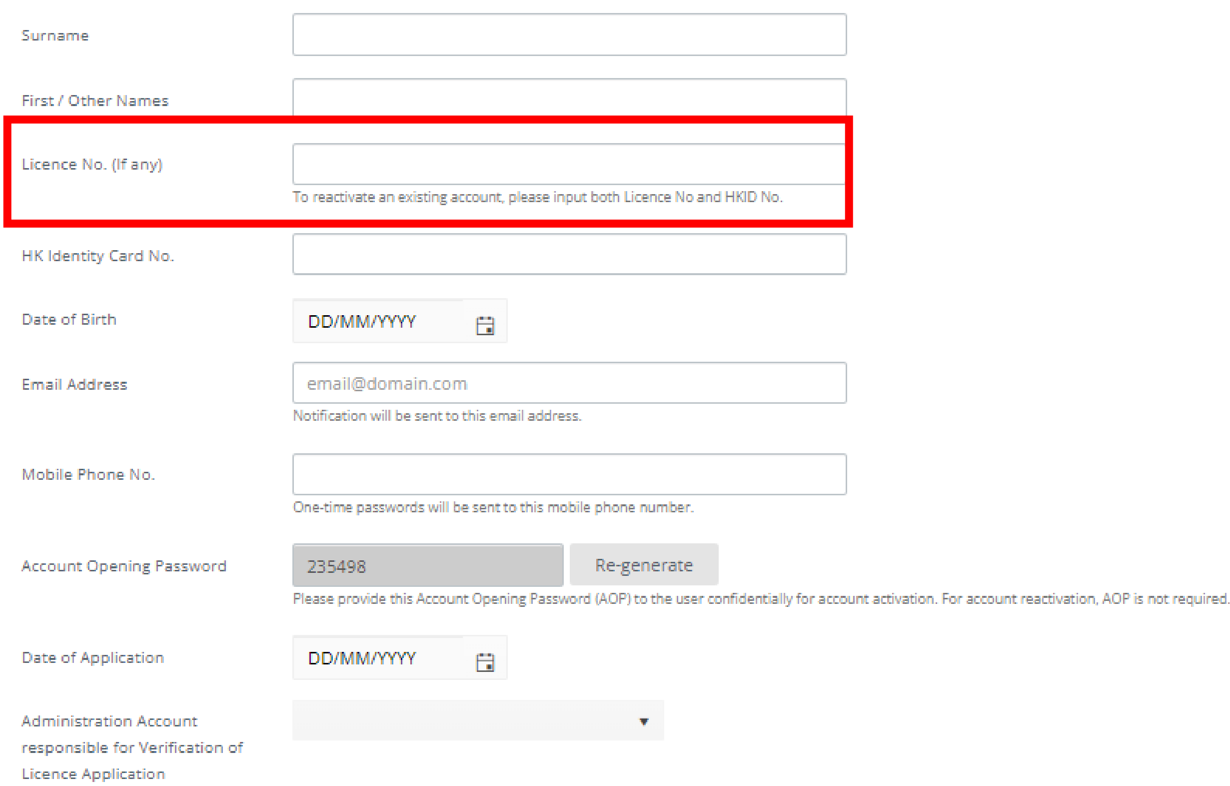
For details of the individual account activation process, please refer to section 2.3 of Individual Account Owner's User Guide.

4.4 Reactivation of Individual Account

- For an ex-licensee who holds an IIC account (created before the licence revoked), the PAA shall proceed to the reactivation of individual account by clicking "*+ Create /Reactivate Individual Account*".



- Individual account owner shall provide updated information (e.g. latest mobile phone number and email address) to their principal in order to reactivate the individual account.
- The PAA should also input the ex-licensee's previous **licence no.** for the reactivation.



5. Reviewing Individual Application

Individual Licence Application Workflow

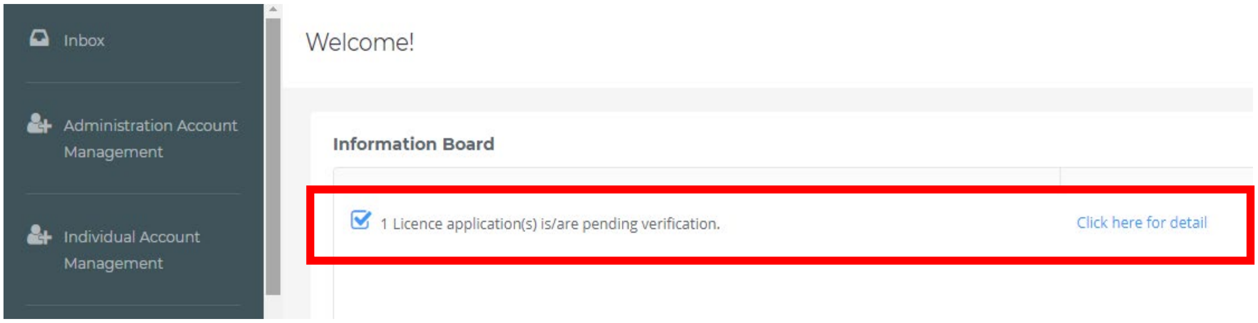
5.1 Step 1 – Input by the Individual Account Owner

- Individual account owner shall fill in the application form and upload relevant supporting documents through the IIC. He/ she shall then submit the application form to the principal through the IIC for verification with the input of OTP. Please refer to section 3 of Individual Account Owner's User Guide for more information.

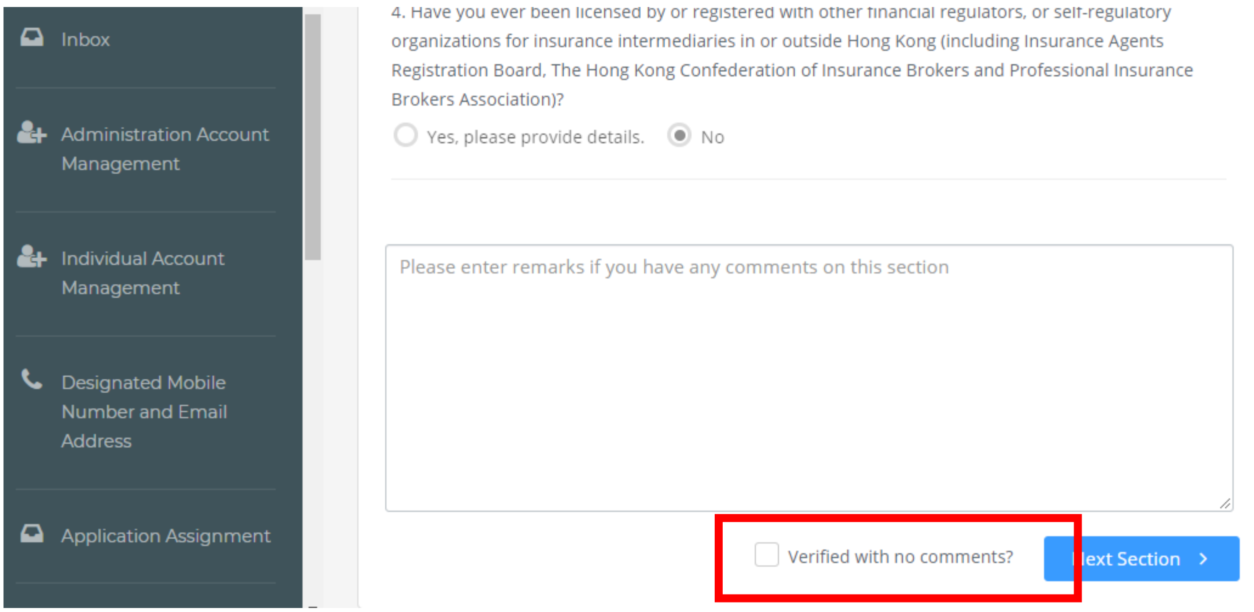
5.2 Step 2 – Verification of Application and Confirmation of Individual Licence Application with Appointment

- After the application is submitted by the individual account owner, the principal will be notified by email to verify the individual licence application in the IIC. The PAA shall log in the IIC to start the application verification.

- To ensure the accuracy and completeness of the application, **only the individual account owner is permitted to amend the information and upload supporting document for his/ her application**. The PAA cannot change nor update any information in the application. If the PAA considers the information submitted by individual applicant is incorrect or inconsistent with his/ her record, the PAA shall mark his/ her comment in the IIC and return the application to the individual account owner for amendment.



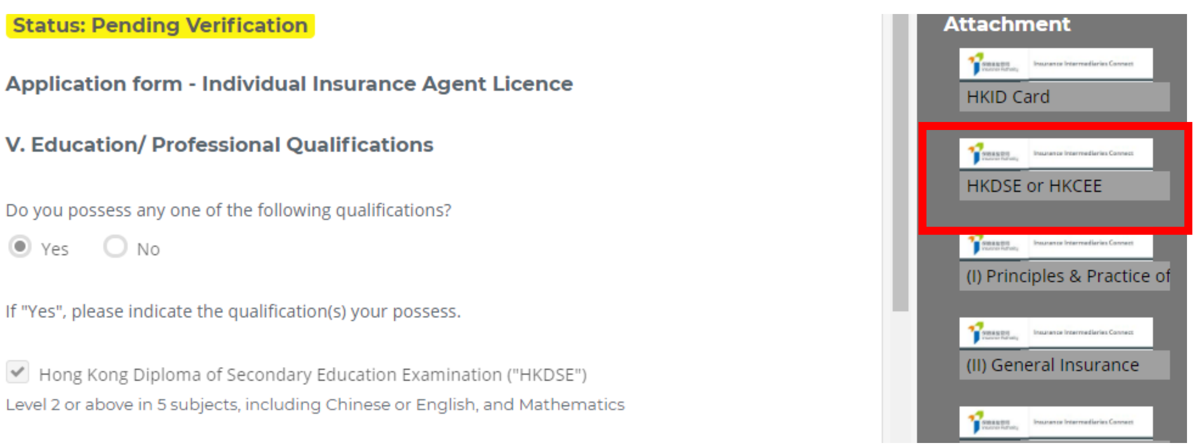
- The PAA shall review each section of the application and shall check the box "*Verified with no comments?*" of the section if the information is correct. The PAA shall also access to the attachments and review accordingly.



- In respect of the section "**Insurance Intermediaries Qualifying Examination**" ("**IIQE**"), individual account owner shall indicate the results of the IIQE in the selection (passed, exempted or grandfathered), which shall match with the line(s) of business to be appointed by the principal. If applicable, the relevant IIQE examination results shall be uploaded in the IIC as supporting document. The PAA shall ensure the results of IIQE match with the line of business(s) to be appointed. The PAA shall also check the information and the supporting documents provided by the individual applicant. For further guidance, 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 details.

- In respect of the section "**Education/ Professional Qualifications**", the individual account owner shall indicate whether he/ she possesses any of the following qualification:
    - HKDSE/ HKCEE
    - International Baccalaureate Diploma
    - Diploma Yi Jin
    - Diploma or Degree obtained in Hong Kong or
    - Insurance Qualification acceptable by the IA

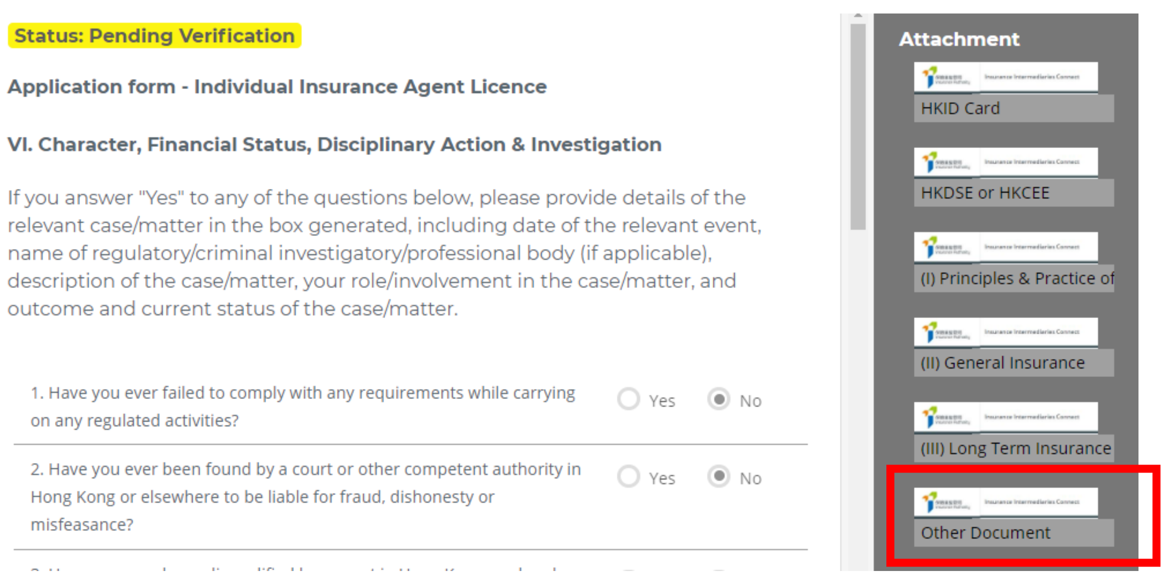
- If "**Yes**", the individual account owner shall select the applicable qualifications. The PAA shall check whether relevant supporting documents have been provided by the individual applicant and confirm the information and the supporting documents provided by the individual applicant are true and accurate.



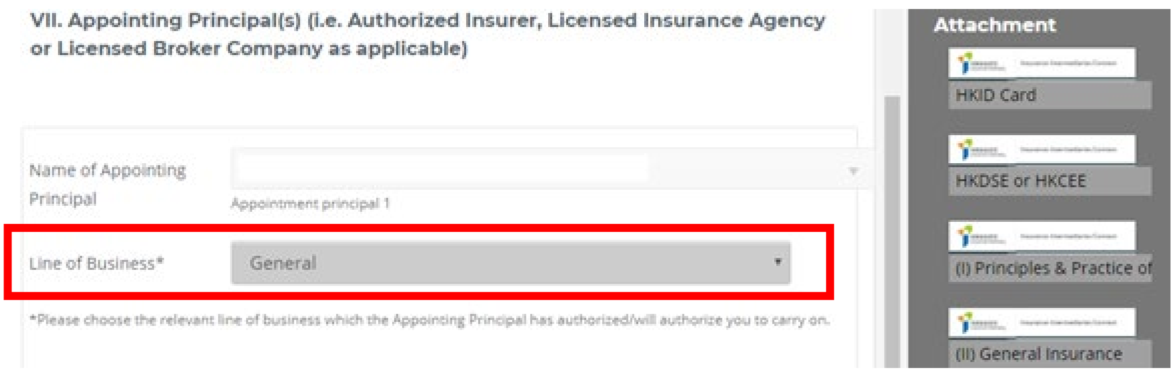
- If "**No**", yet the individual account owner possesses other qualifications (e.g. associate degree, non-Hong Kong diploma/ degree, etc.), he/ she shall check the box "Education/ Professional Qualifications". The principal shall check whether relevant supporting documents have been provided by the individual applicant and confirm the information and the supporting documents provided by the individual applicant are true and accurate.

  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.

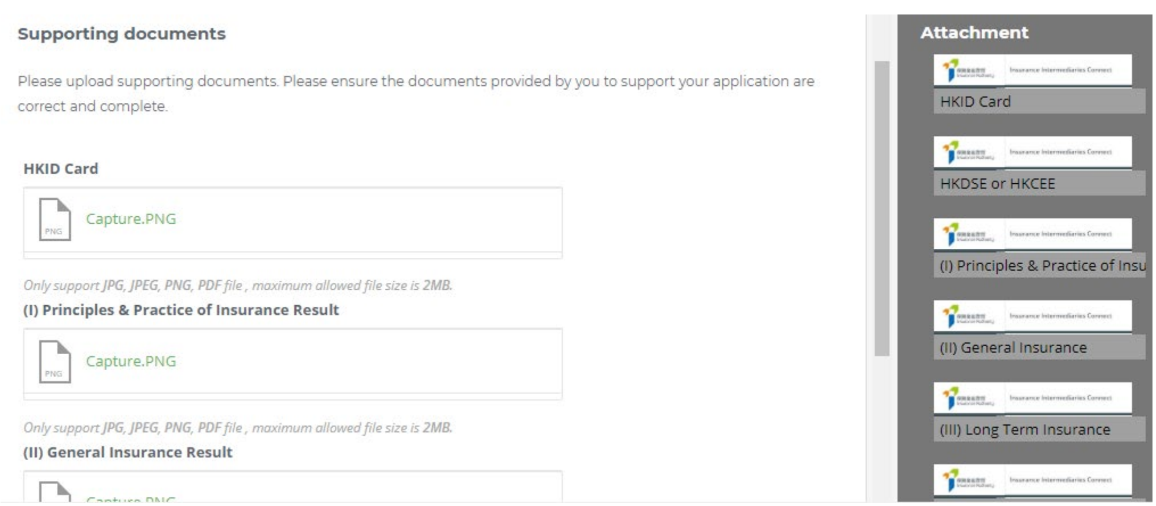
- In respect of the section "**Fitness and Properness**", if any of the answers were "**Yes**", if any of the answers were "**Yes**", the individual account owner will be required to indicate whether he/she has already provided the Insurance Authority with the details of the relevant case. If necessary, the individual account owner shall 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, shall be uploaded to the folder "Other Documents" in the section "Supporting Documents". The principal shall ensure the applicant has provided adequate information and/ or supporting documents of the issues for IA's consideration.



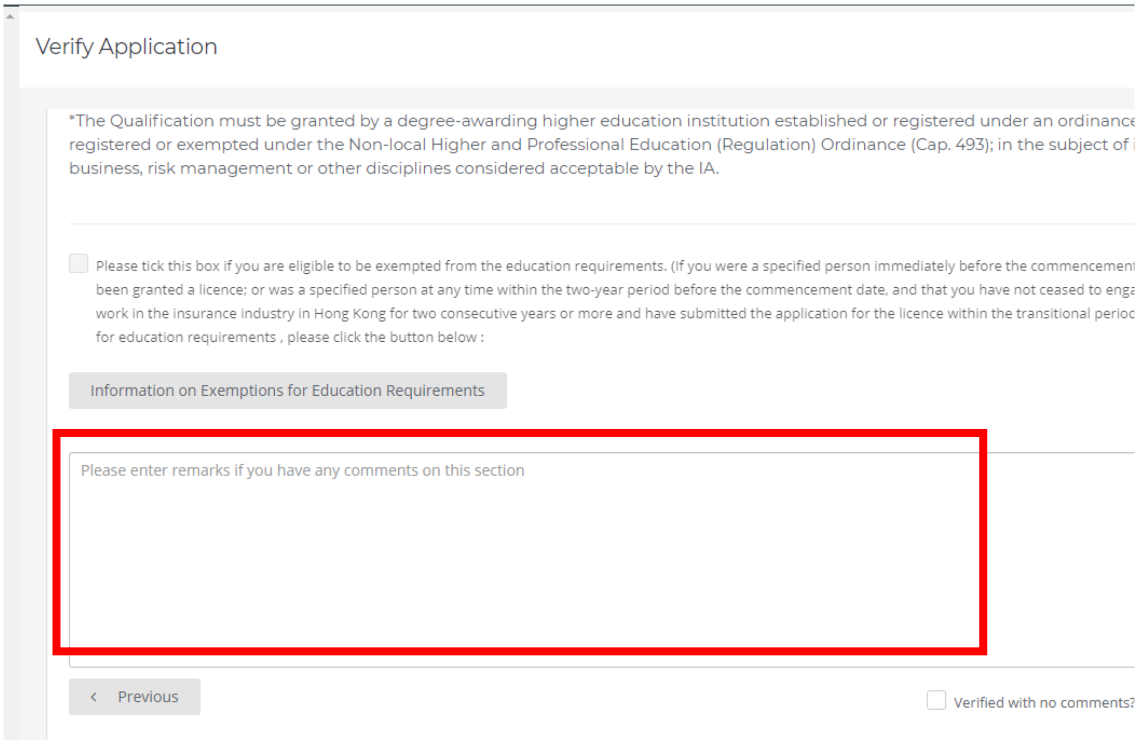
- In respect of the section “**Appointing Principal(s)**”, the name of the appointing principal is set by default and the individual account owner is required to select the line of business from the drop-down menu. The Line(s) of Business shall be consistent with the results of IIQE provided. For applicant as individual insurance agent, he/ she can add other appointing principals and the appointing Line(s) of Business after obtaining the principals’ consent. The principal shall ensure the results of IIQE match with the line of business(s) to be appointed.



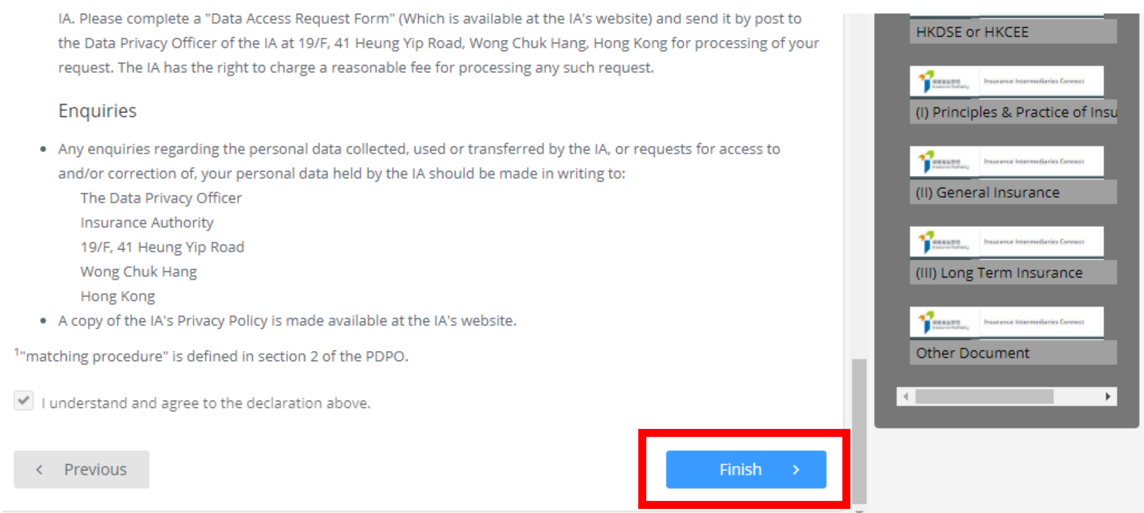
- In respect of the section “**Supporting Documents**”, individual account owner shall upload the relevant supporting documents as required. For other relevant supporting documents (e.g. Supplemental Forms for reporting criminal, financial or disciplinary record, etc.), the individual account owner shall upload them to the folder “Other Documents”. The IIC can **support an upload of maximum 10 files**, with **each file of a maximum size of 2 MB**. The IIC can support files in the following formats: JPG, JPEG, PNG and PDF.



- In reviewing the application information, the PAA shall mark the comments in the remarks box at the bottom of each page if the PAA identifies any issues.



- Click "Finish" to complete the verification.

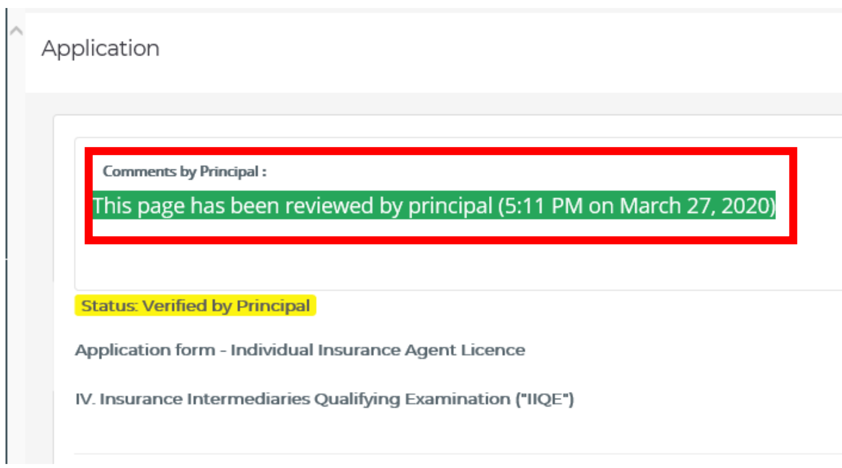


Re-verification of Individual Application

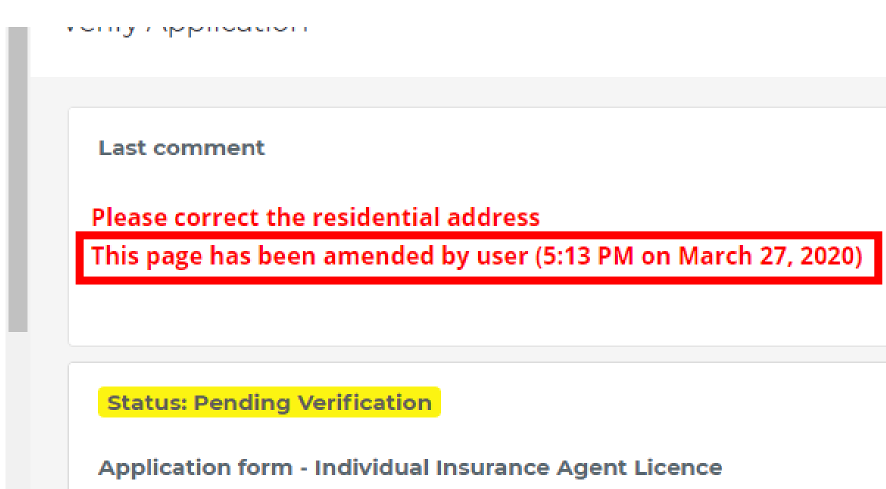
- If the PAA considers the information is incorrect or inconsistent with their record, the PAA shall return the application to the individual account owner for amendment. Please refer to section 3.3 of Individual Account Owner's User Guide for details.

- If the application is re-submitted by the individual account owner after amendment, the PAA shall verify the individual licence application amended.

  - If no action was performed by the individual account owner, the "***Last comment***" box will be shown as "**This page has been reviewed by your principal ([Time] on [Date]).**"



  - If the individual account owner has amended the application information, the "***Last comment***" box will be shown as "**This page has been amended by user ([Time] on [Date]).**"

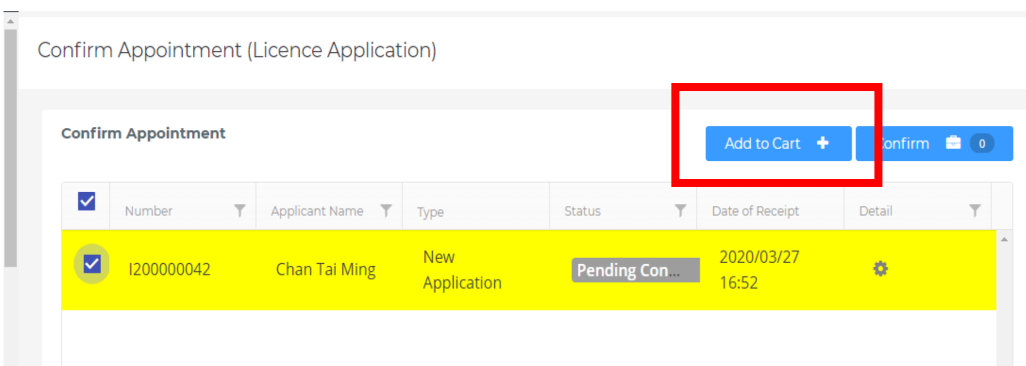


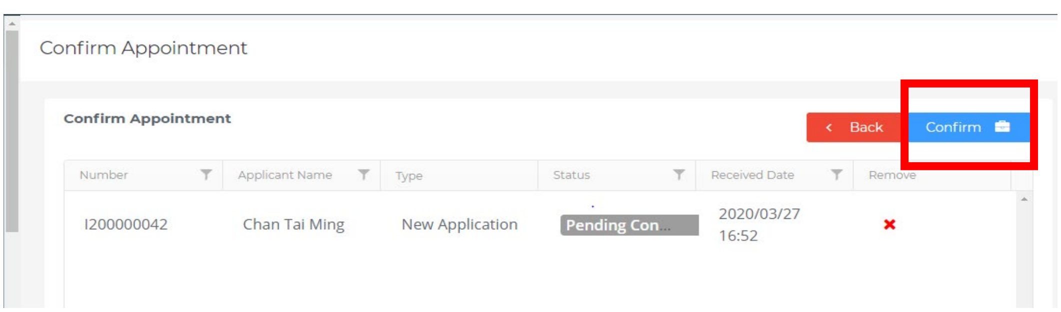
- The PAA shall review the application information amended by the individual account owner. If PPA has no further comments, he/ she shall check the box "***Verified with no comments?***" to complete the review.
- The PAA can provide further comments in the "***Remarks***" box, if necessary.

Confirmation of Individual Application and Appointment

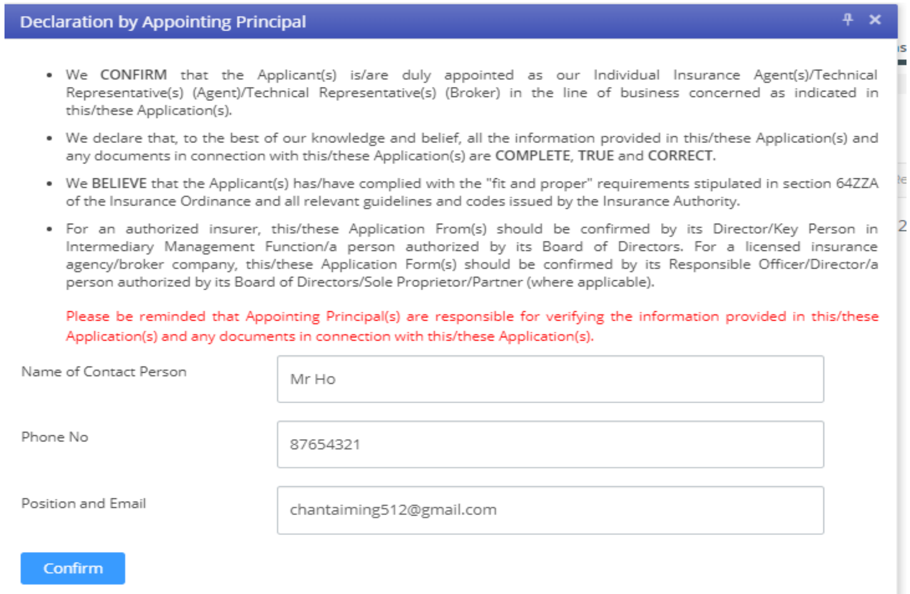
- If the application has been verified without further comments, an email notification will be sent to the Principal's Designated Email Address which requires the PAA to confirm the individual appointment. Please refer to section 3.1 for more information about the approved access right.

- The PAA shall review the individual appointment pending for confirmation by accessing to the page "***Confirm Appointment (Licence Application)***". The PAA shall review the appointment pending for confirmation by clicking . 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***". The PAA shall then confirm the appointment by clicking "***Confirm***".





- The PAA will then be required to make relevant declarations and provide the information of the contact person for the individual licence application whom will be the principal's contact point for the IA in processing this individual licence application.



Declaration by Appointing Principal

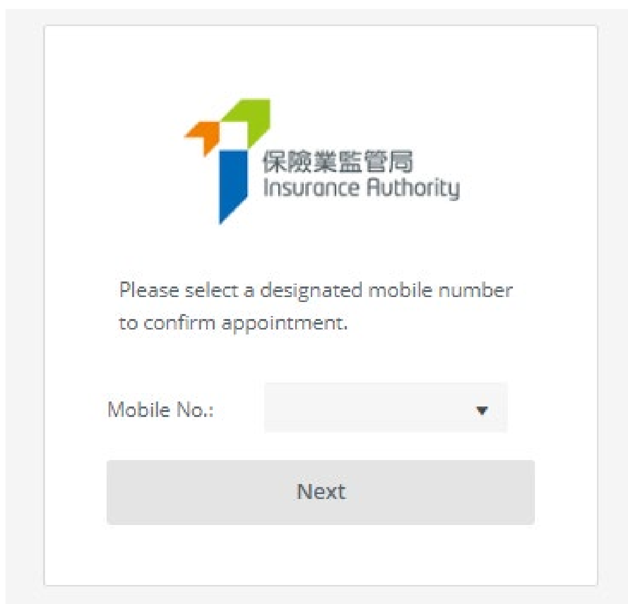
- We **CONFIRM** that the Applicant(s) is/are duly appointed as our Individual Insurance Agent(s)/Technical Representative(s) (Agent)/Technical Representative(s) (Broker) in the line of business concerned as indicated in this/these Application(s).
- We declare that, to the best of our knowledge and belief, all the information provided in this/these Application(s) and any documents in connection with this/these Application(s) are **COMPLETE**, **TRUE** and **CORRECT**.
- We **BELIEVE** that the Applicant(s) has/have 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/these Application From(s) 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/these Application Form(s) 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(s) are responsible for verifying the information provided in this/these Application(s) and any documents in connection with this/these Application(s).

Name of Contact Person	Mr Ho
Phone No	87654321
Position and Email	chantaiming512@gmail.com

Confirm

- The PAA will have to select the designated mobile number of the principal (as set by the supervisor account owner) from the drop-down menu for receiving the OTP. Once the OTP is inputted into the system, the individual licence application will be formally submitted to the IA for consideration.



保險業監管局
Insurance Authority

Please select a designated mobile number to confirm appointment.

Mobile No.:

Next

5.3 Step 3 – Application Submission to IA for Review

- Once the appointment has been confirmed by the PAA, the individual account owner will be notified that the appointment(s) has been confirmed and the application is under consideration by the IA.

- Reports of successful applications through online and hardcopy submission to the IA will be generated to the principal at day end.

5.4 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 the 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.

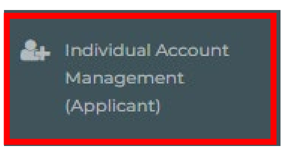
- PAA who was responsible to verify the application will also receive a notification email. Remarks by the IA on the return will be included in the email. After the individual account owner has amended the application, it should be re-submitted to the principal for re-verification. PAA can then follow the steps according to section 5.2 to 5.4 to verify the application and confirm the appointment again.

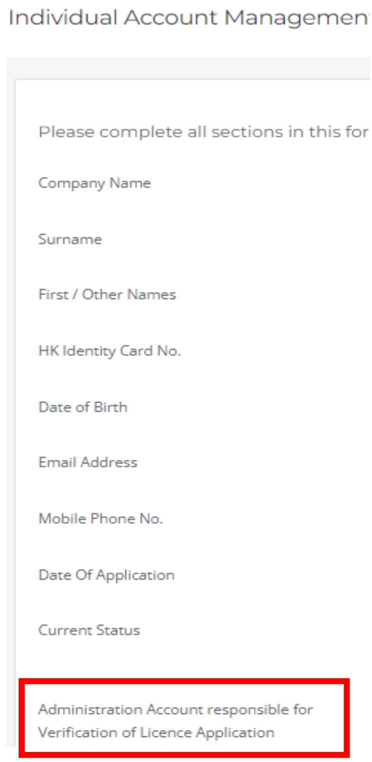
5.5 Application Deletion

- 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.

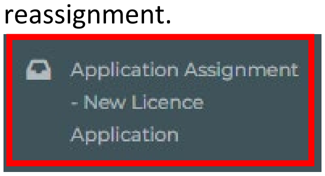
5.6 Application Case Reassignment

- New licence application case will be assigned to a designated administration account user ("Case Handler") which was set during the individual account (applicant) creation. Principal can check this information in "***Individual Account Management (Applicant)***" – "***Administration Account responsible for Verification of Licence Application***".

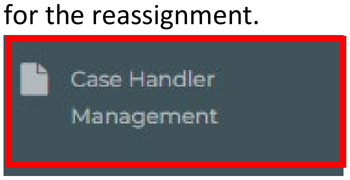




- If principal would like to reassign a specific new licence application to another administration account user afterwards, PAA (please refer to Section 3.1 for details of access right setting) can use "***Application Assignment – New Licence Application***" for the reassignment.



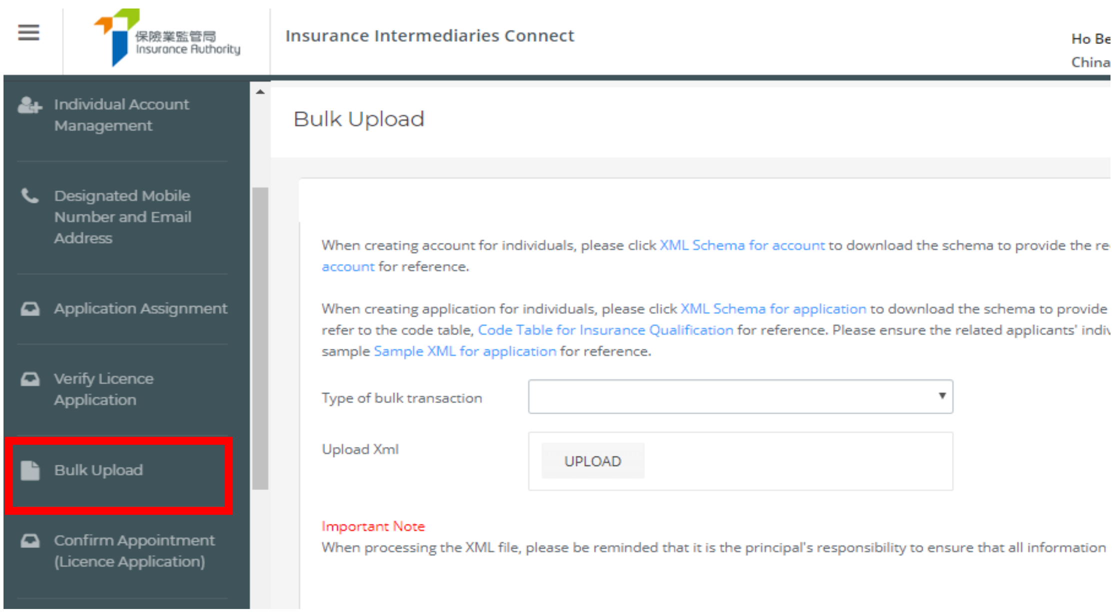
- If principal would like to reassign a batch of new licence application cases/ new applicant accounts under a specific Case Handler to another administration account user, PAA (please refer to Section 3.1 for details of access right setting) can use "***Case Handler Management***" for the reassignment.



6. Bulk Upload

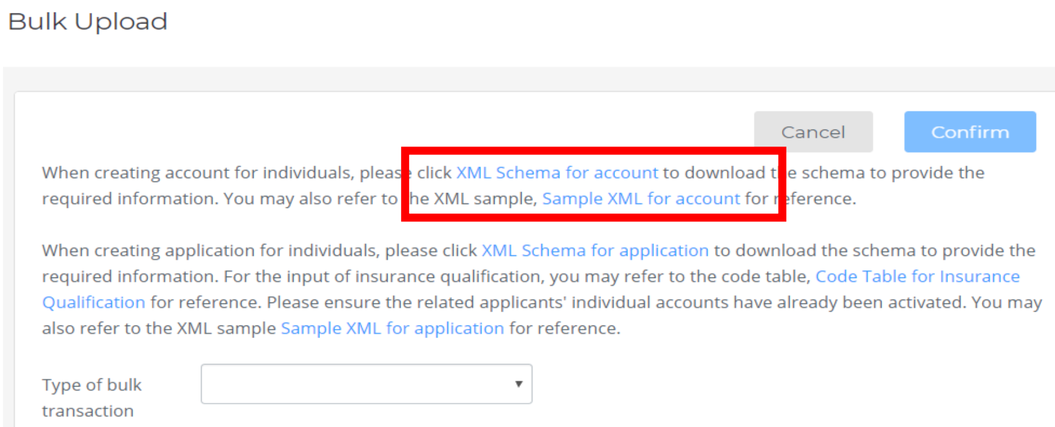
The bulk upload in the IIC is divided into two phases - account creation and application creation. For bulk upload of application creation, the related applicants must have activated their individual accounts.

The function of bulk upload can facilitate the PAA to handle account creation or application creation **for up to 1,000 individuals in one batch**.

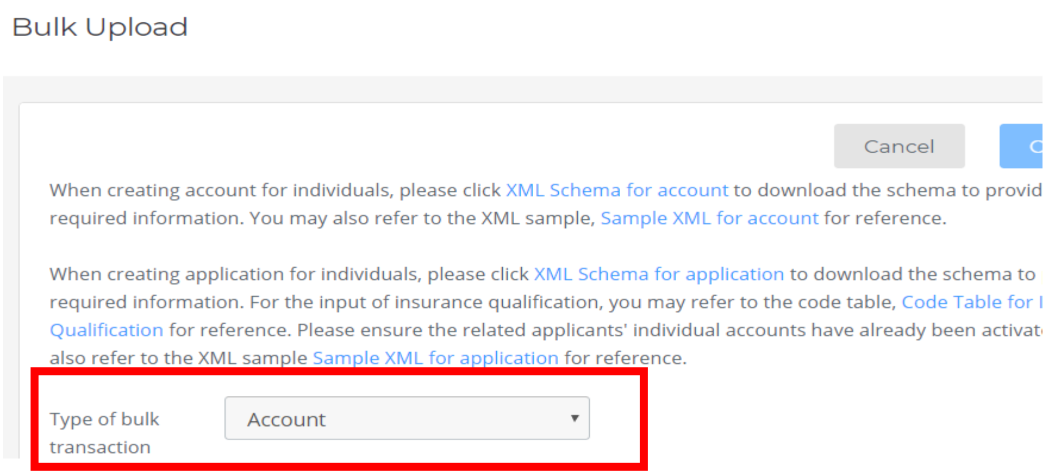


6.1 Bulk upload for Account Creation

(1) An XML file containing the basic particulars of the individuals shall be prepared for the bulk upload for account creation. Please engage your IT department or IT professionals to prepare the XML file to ensure the required data is recorded in the required format for bulk upload processing. The required data can be prepared with reference to the XML schema, which can be downloaded from the link "XML Schema for account". A sample XML file "Sample XML for accounts" is also available as reference.



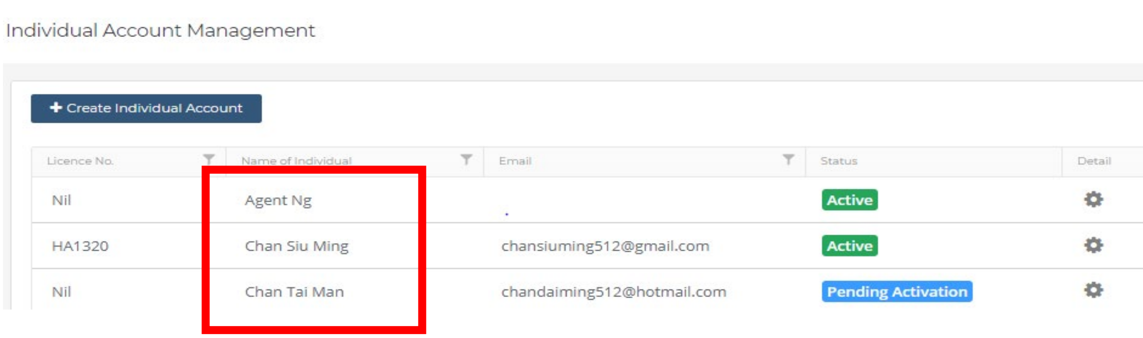
(2) From Type of bulk transaction, select “Account”.



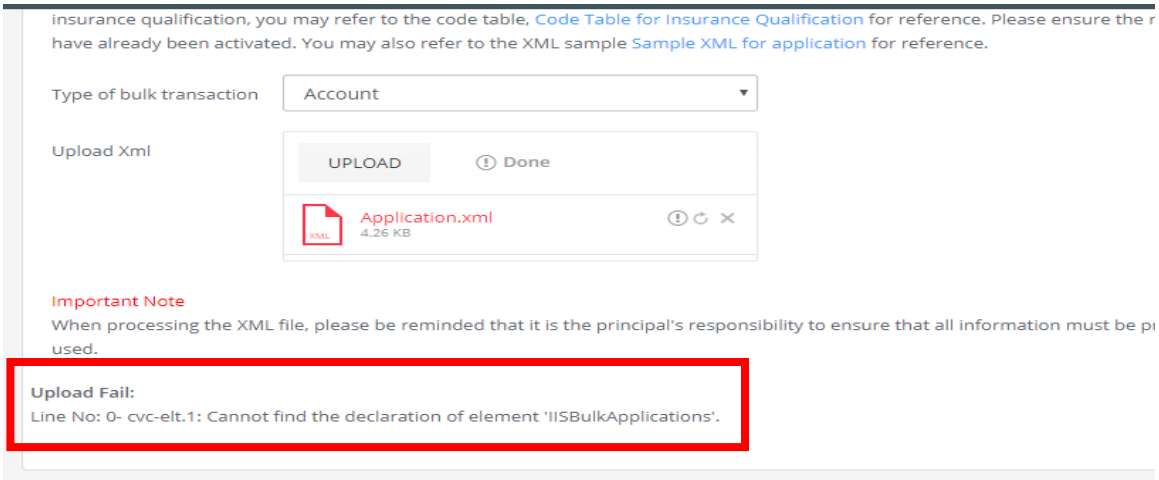
(3) From Upload XML, click “Select Files” to upload the XML file prepared in Step 1. Click “Confirm”.

(4) The system will perform basic validation (e.g. duplicated records, incorrect data format) on the uploaded data. If the creation is successful, a message will be shown.

(5) The new individual account records will be found in “Individual Account Management”. The PAA shall communicate with the individual users to activate their individual owner accounts.



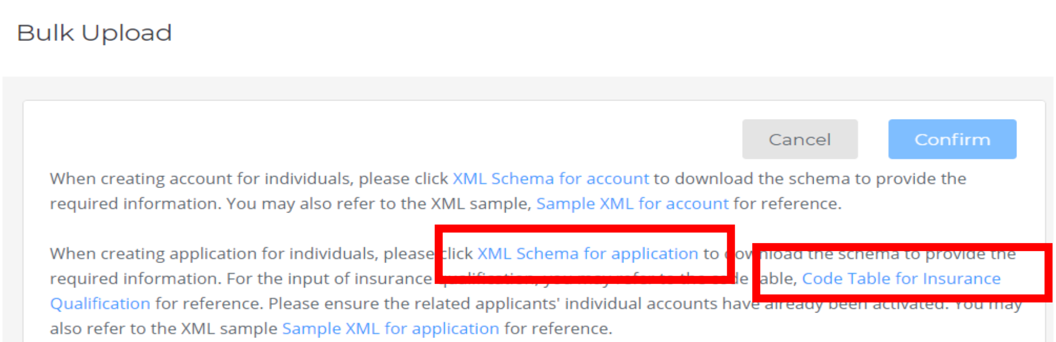
(6) If there is validation issue, the message “Upload Fail” with lines of error will be displayed. The data with issues in the file shall be rectified and uploaded again.



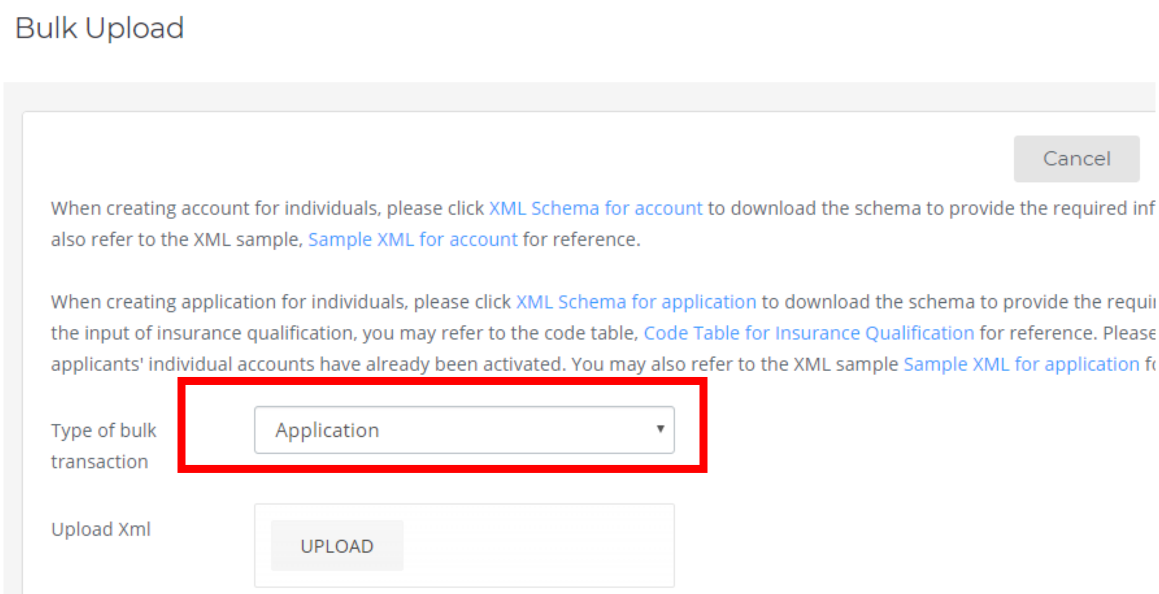
6.2 Bulk upload for Application Creation

(1) For bulk upload for application creation, **the related applicants must have activated their individual accounts**.

(2) An XML file containing the application data of the individuals shall be prepared for the bulk upload for application creation. Please engage your IT department or IT professionals to prepare the XML file to ensure the required data is recorded in the required format for bulk upload processing. The required data can be prepared with reference to the XML schema, which can be downloaded from the link “XML Schema for application”. A sample XML file “Sample XML for application” is also available as reference. For the input of insurance qualification, please refer to the specific code provided in the “Code Table for Insurance Qualification”.



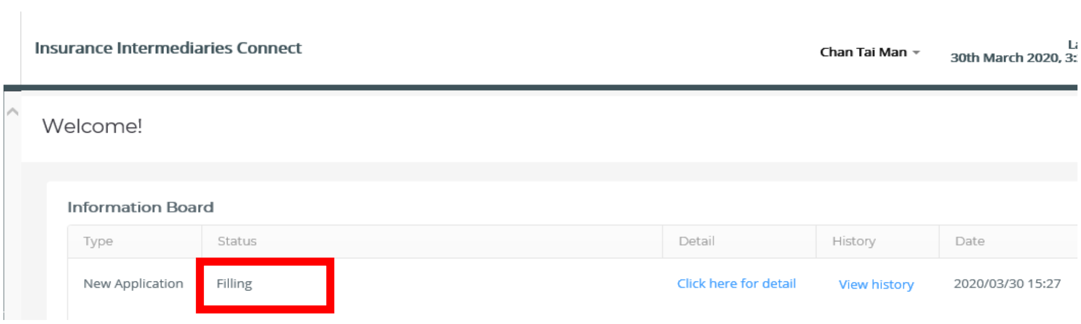
(3) From the Type of bulk transaction, select “Application”.



(4) From Upload XML, click "Select Files" to upload the XML file prepared in Step 2. Click "Confirm".

(5) The system will perform basic validation (e.g. duplicated records, incorrect data format) on the uploaded data. If the creation is successful, a message will be shown.

(6) The new application record will be shown in the Dashboard in the individual account. The individual account user and PAA can continue to complete the whole application process according to section 5.



(7) If there is validation issue, the message "Upload Fail" with lines of error will be displayed. The data with issues in the file shall be rectified and uploaded again.

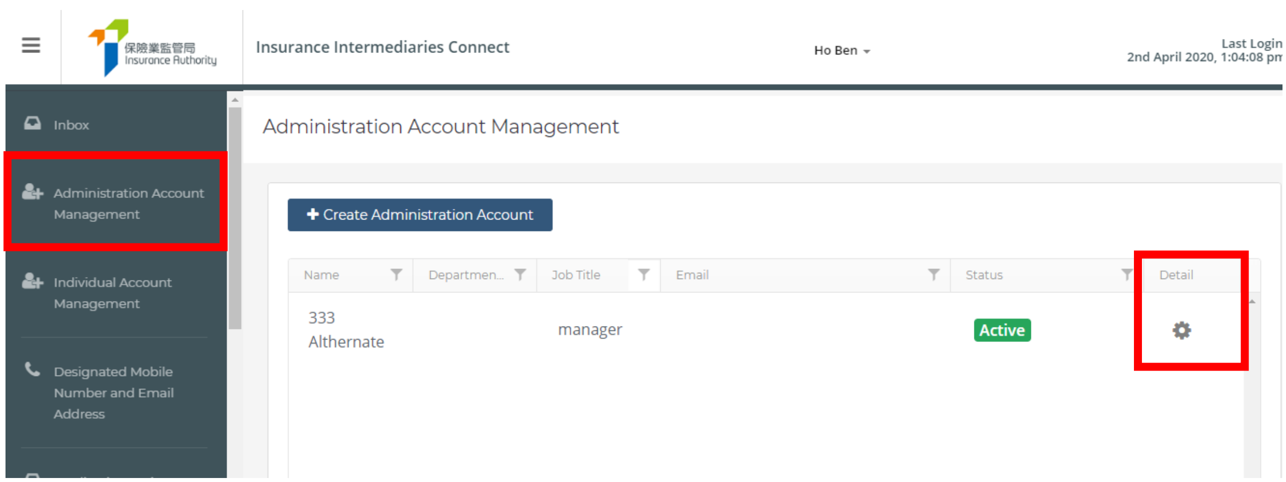
7. Termination of Appointment

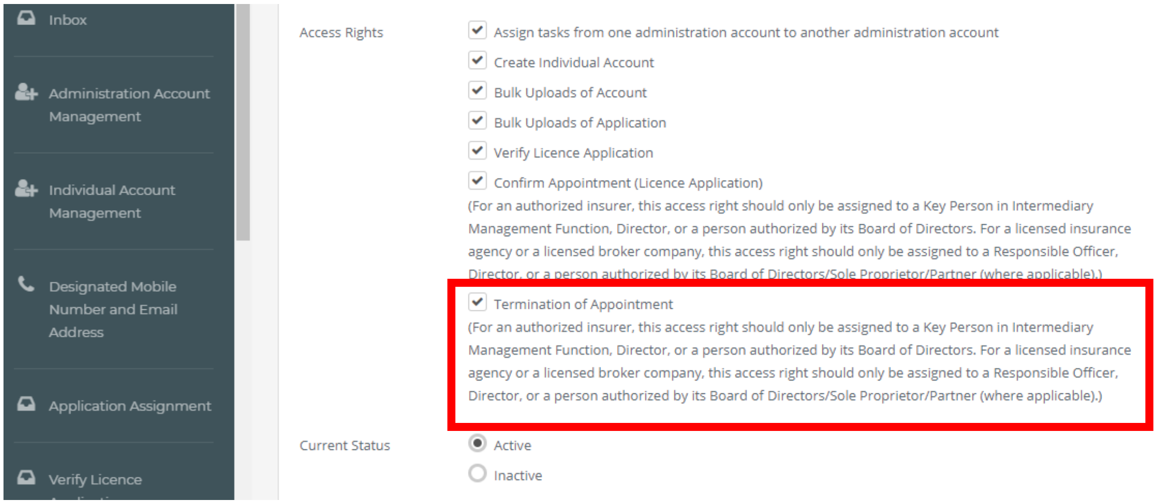
PAAs with appropriate access right can submit the notification of termination of appointment via IIC. The Principal can only submit the e-notification on behalf of itself but not the other appointing principals.

7.1 Grant of Access Right to PAA

This access right should be assigned to a person who is authorized by the Principal's Board of Directors / Key Person in Intermediary Management / Responsible Officer to give such notification to the IA.

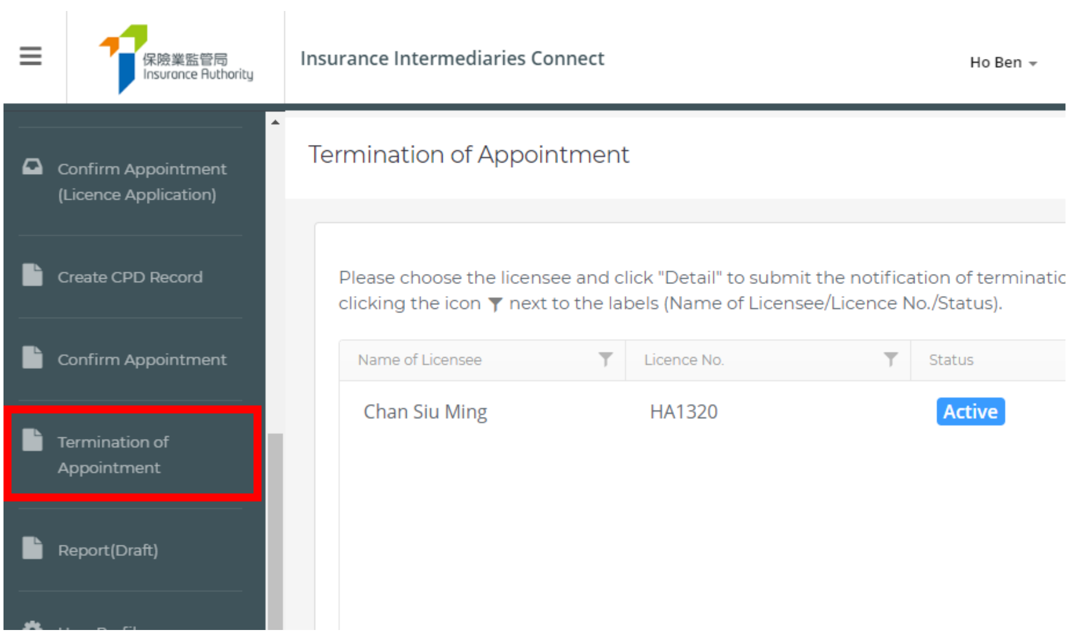
Supervisor / alternate supervisor account owner should click "***Administration Account Management***", select the designated PAA and tick the box "Termination of Appointment" to grant the relevant access right to the designated PAA.

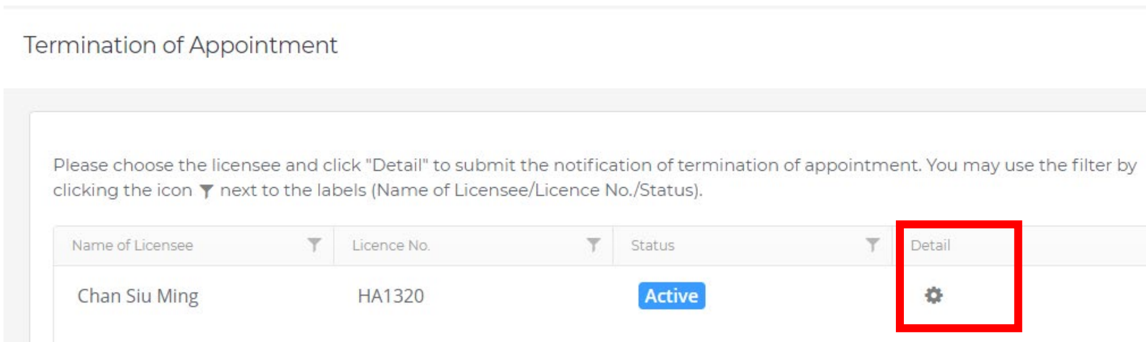




7.2 Select the licensee terminated by the Appointing Principal

- The PAA should click "Termination of Appointment" and choose the licensee by clicking the "***Detail***" icon.

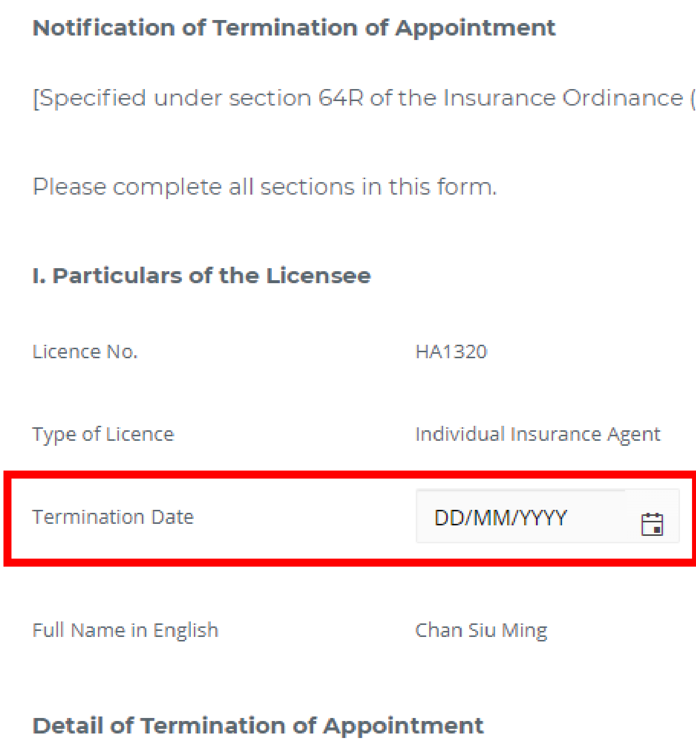


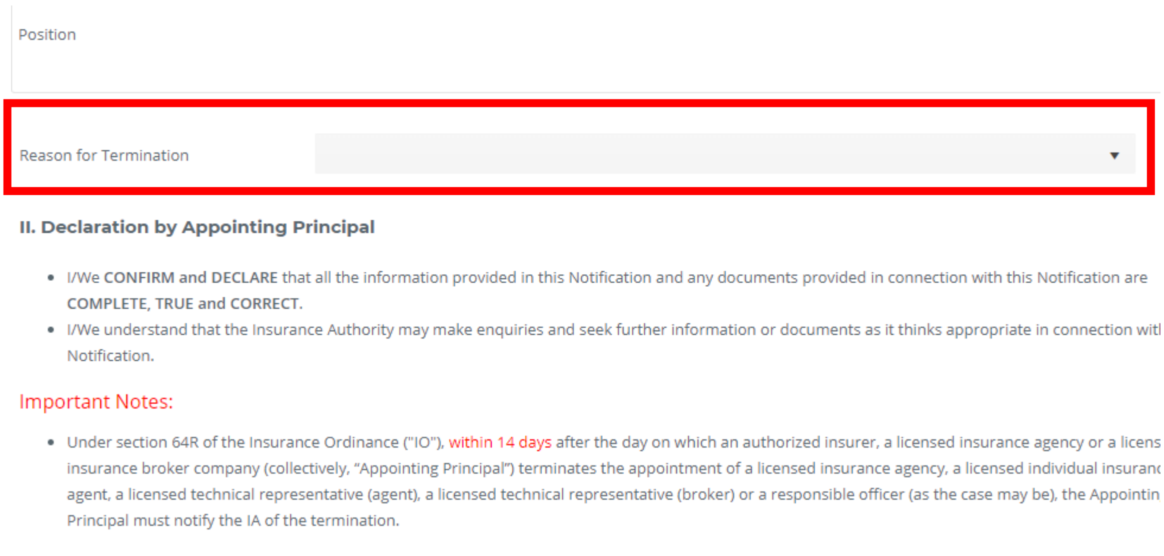


- The PAA can also use the filter by clicking the icon next to the labels (Name of Licensee/ Licence No./ Status).

7.3 Submit the Notification of Termination of Appointment

- After the PAA chooses the licensee, he/ she will be directed to the next page. He/ she will be required to double check the appointment information of the licensee and fill in the effective date of termination and the reason for termination.





Position

Reason for Termination

II. Declaration by Appointing Principal

- I/We **CONFIRM and DECLARE** that all the information provided in this Notification and any documents provided in connection with this Notification are **COMPLETE, TRUE and CORRECT**.
- I/We understand that the Insurance Authority may make enquiries and seek further information or documents as it thinks appropriate in connection witl Notification.

Important Notes:

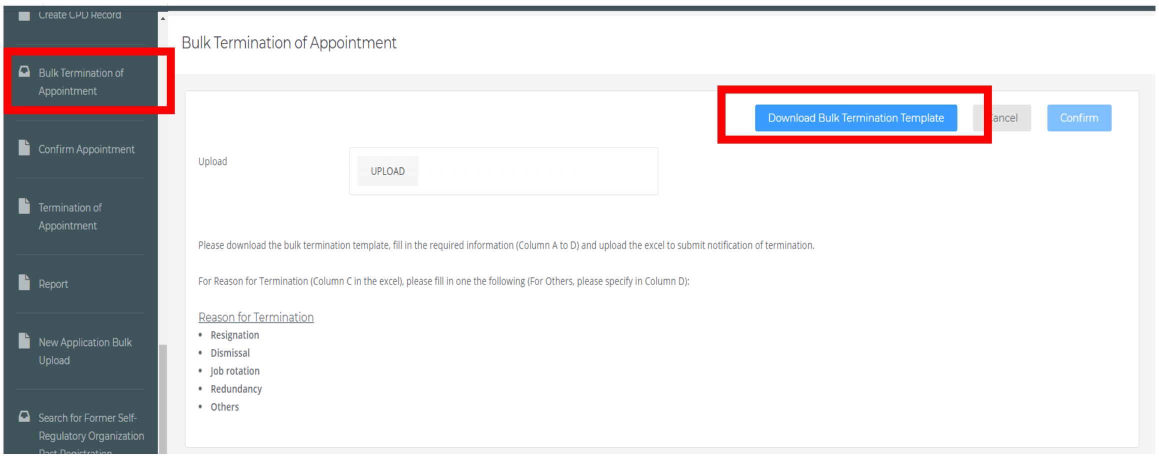
- Under section 64R of the Insurance Ordinance ("IO"), within 14 days after the day on which an authorized insurer, a licensed insurance agency or a licens insurance broker company (collectively, "Appointing Principal") terminates the appointment of a licensed insurance agency, a licensed individual insuranc agent, a licensed technical representative (agent), a licensed technical representative (broker) or a responsible officer (as the case may be), the Appointin Principal must notify the IA of the termination.

- The PAA will also be required to make relevant declarations before submission of the notification.
- The PAA will have to select the company designated mobile number (set by the supervisor account owner) from the drop down menu for receiving the OTP. Once the OTP is inputted into the system, the notification of termination of appointment will be formally forwarded to the IA.
- The individual account owner will be notified that the appointment has been terminated by the Principal.
- Reports of notification submitted through online and hardcopy submission to the IA will be generated to the principal at day end.

7.4 Bulk Termination of Appointment

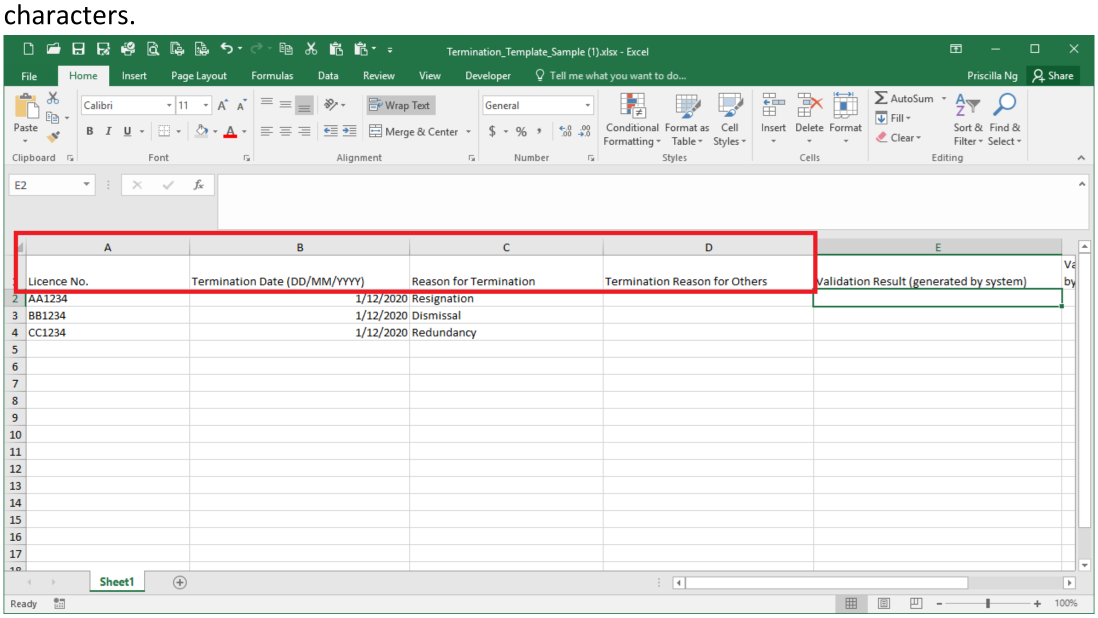
- For terminating a licensee who is the Responsible Officer of the Company, please submit the Notification of Termination of Responsible Officer before using Bulk Termination of Appointment function. Please refer to the Section 8 for Termination of Responsible Officer.

- The PAA should select, “Bulk Termination of Appointment” then click “Download Bulk Termination Template” to obtain the input template.

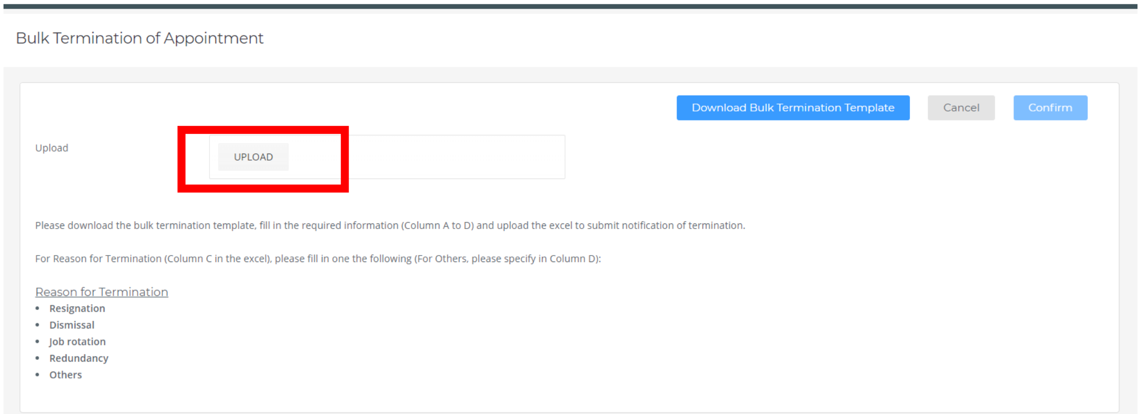


- To perform the bulk termination of appointment, the PAA should follow the samples in the input template for “Licence No.”, “Termination Date (DD/MM/YYYY)”, “Reason for Termination” and “Termination Reason for Others” (if applicable).

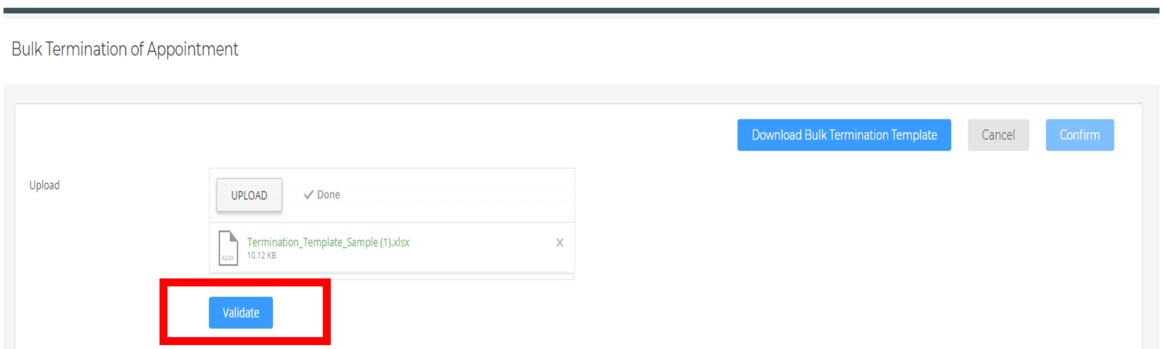
- For “Reason for Termination”, please fill in one of the specified reasons, namely “Resignation”, “Dismissal”, “Job Rotation”, “Redundancy” or “Others”. If the PAA indicates “Others”, he / she should provide the reason to “Termination Reason for Others” within 1000 characters.



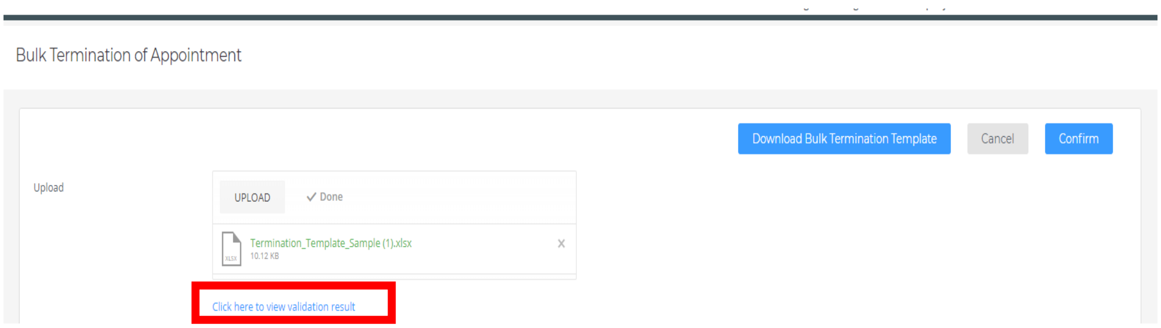
- After filling in the template, the PAA should click “Upload” button to upload the Excel file.



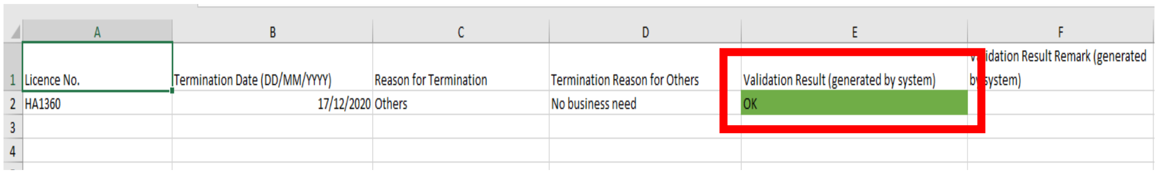
- Then, the PAA should click “Validate” to check the data validity of the input template.



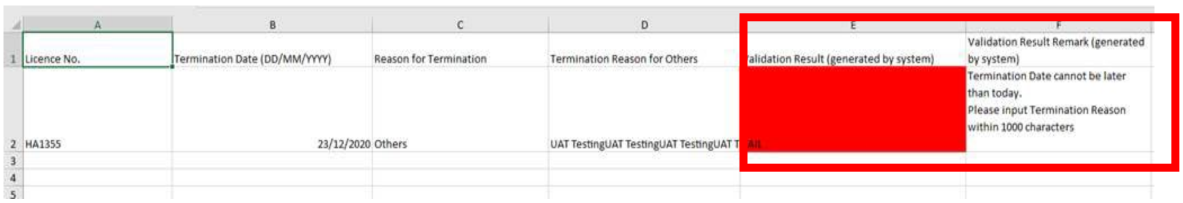
- When the system completes the validation check, a zipped file for validation result could be obtained by clicking “Click here to view validation result”. The PAA should unzip the file with the designated password set in the supervisor account (please refer to Section 2.5 to obtain the password for Document Download).



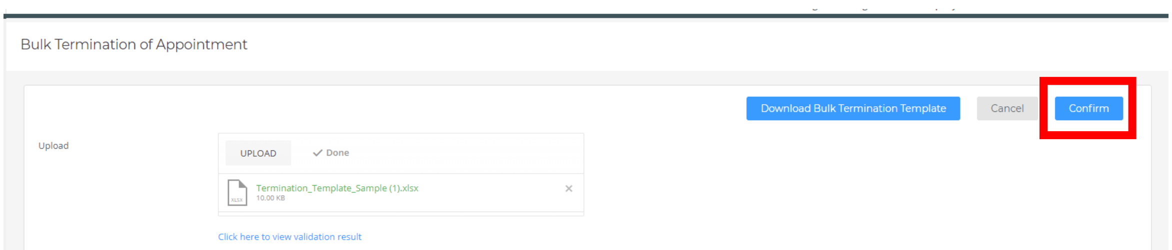
- The PAA could find the validation result in “Validation Result (generated by system)”. For positive result, it will be shown as “OK” in green color.



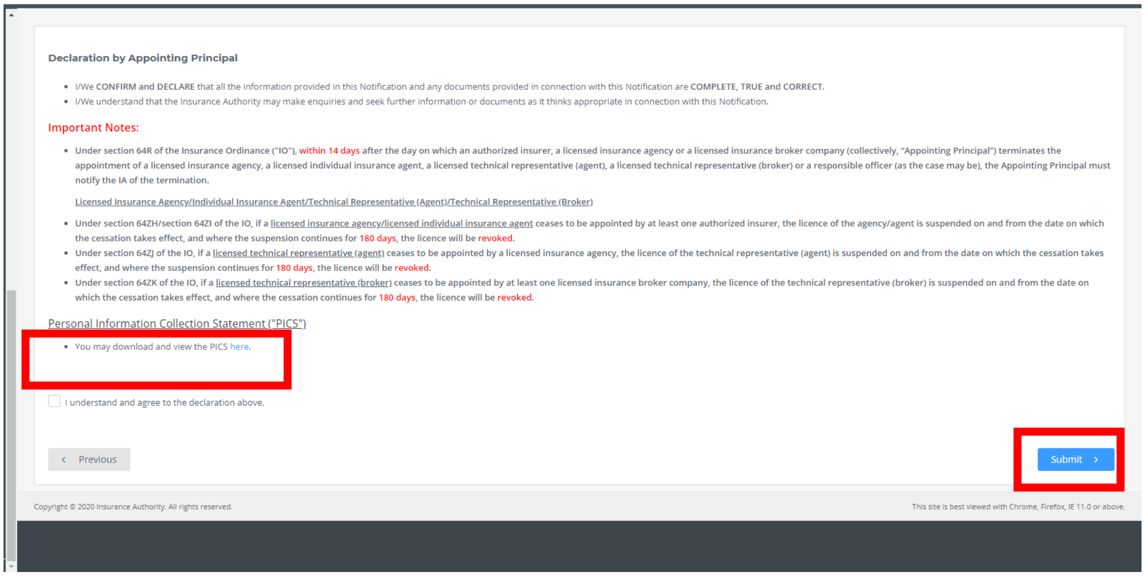
- For negative result, a “FAIL” status in red color will be shown. Reason(s) will be specified in “Validation Result Remark (generated by system)”.



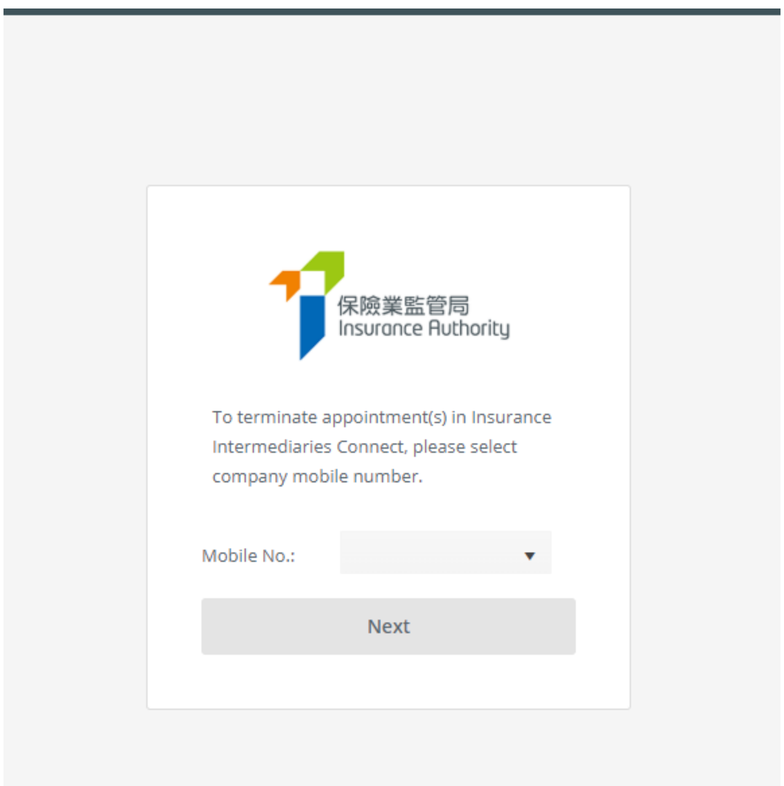
- The PAA should click “Confirm” to submit the notification of bulk termination of appointment.



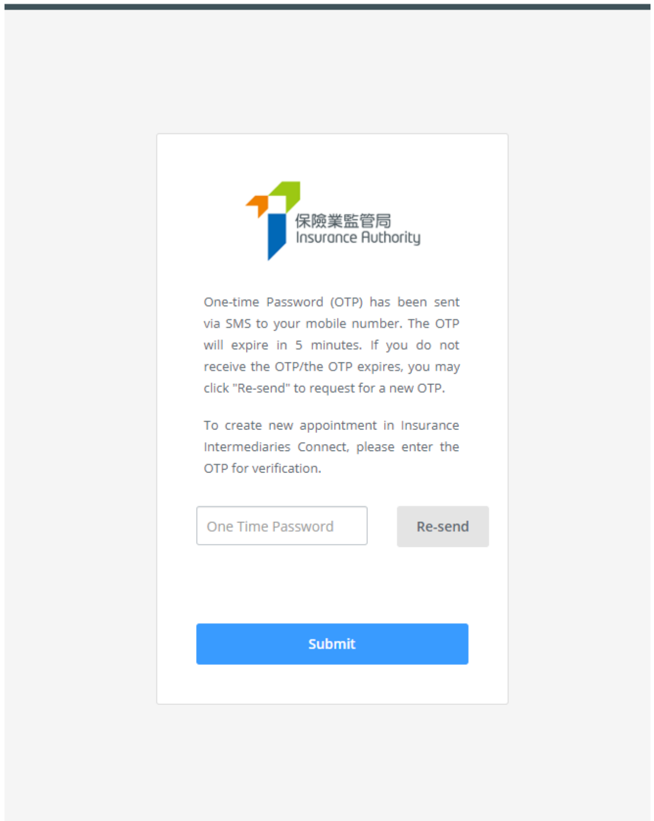
- Tick the box "I understand and agree to the declaration above" after reading "Declaration by Appointing Principal" and then submit the notification.

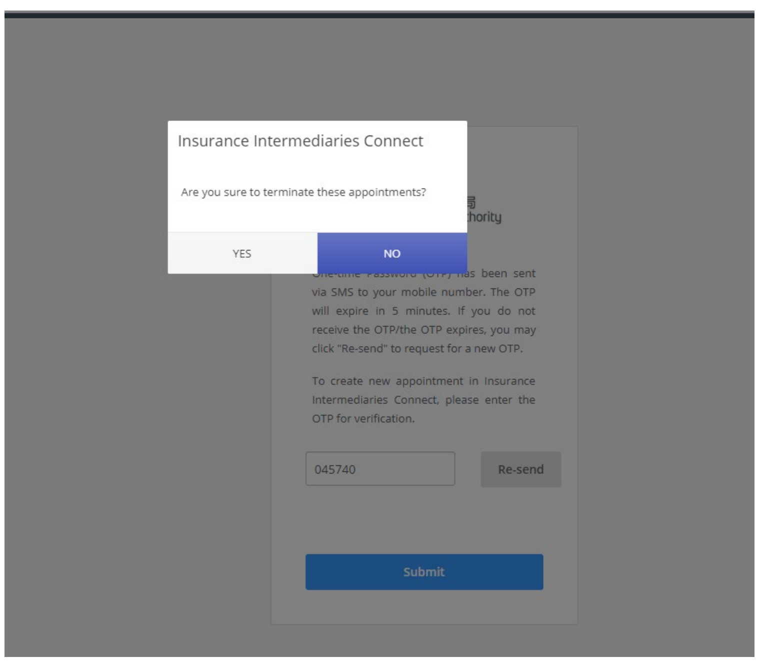


- The PAA should select the designated mobile number to receive an OTP and then click "Next".

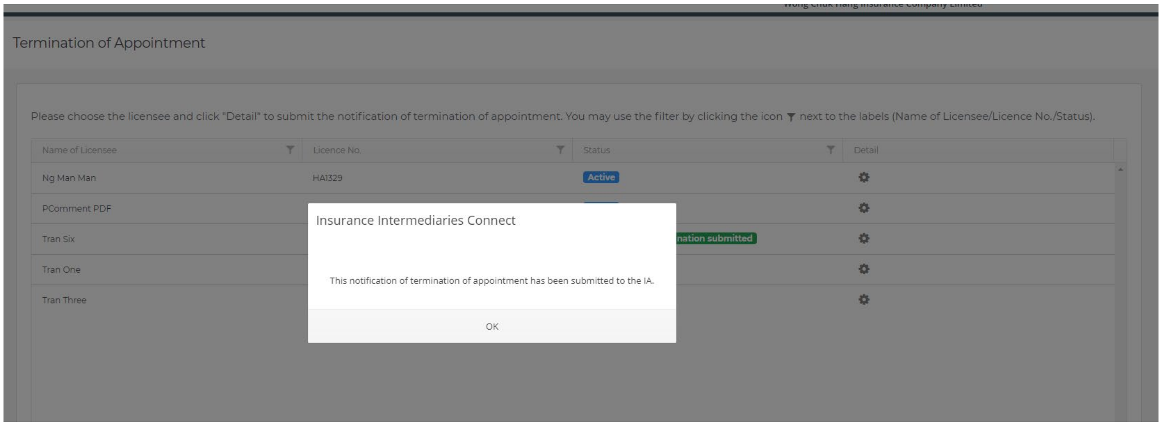


- He / she is required to enter OTP within 5 minutes in order to submit the notification and then click "Yes" to confirm the termination of appointment.

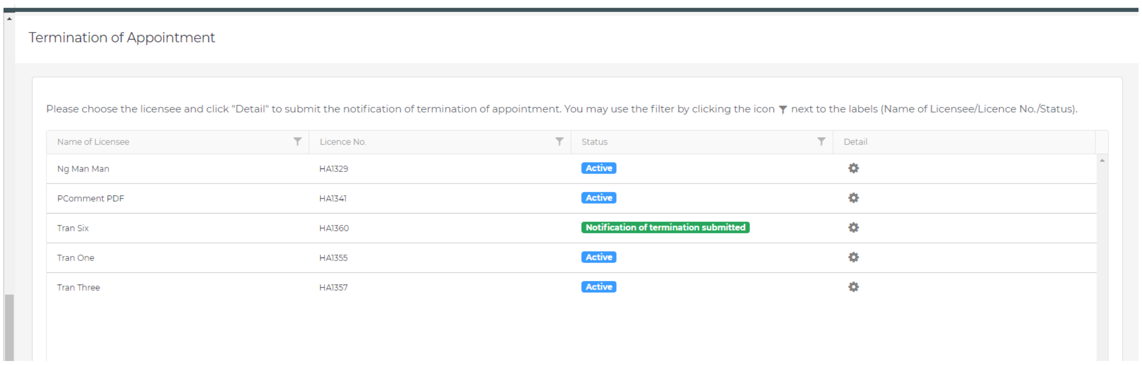




- A message will be shown when the notification has been submitted to the IA, and the PAA will be directed to the page of "Termination of Appointment".



- In the page "Termination of Appointment", the status of the licensee concerned will change from "Active" to "Notification of termination submitted".



8. Termination of Responsible Officer

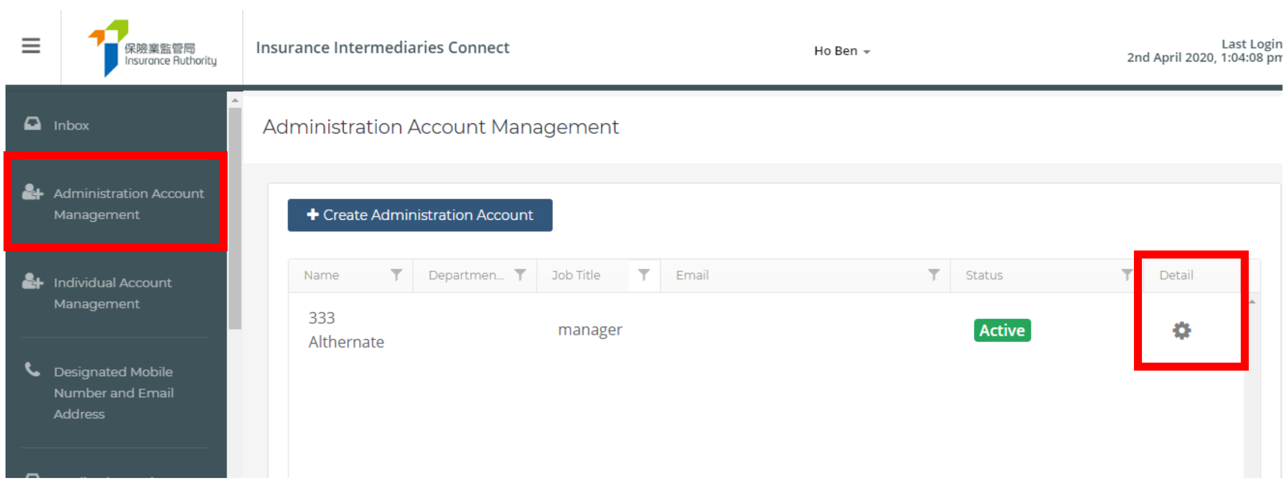
[Applicable to **Licensed Insurance Agencies** and **Licensed Insurance Broker Companies** only]

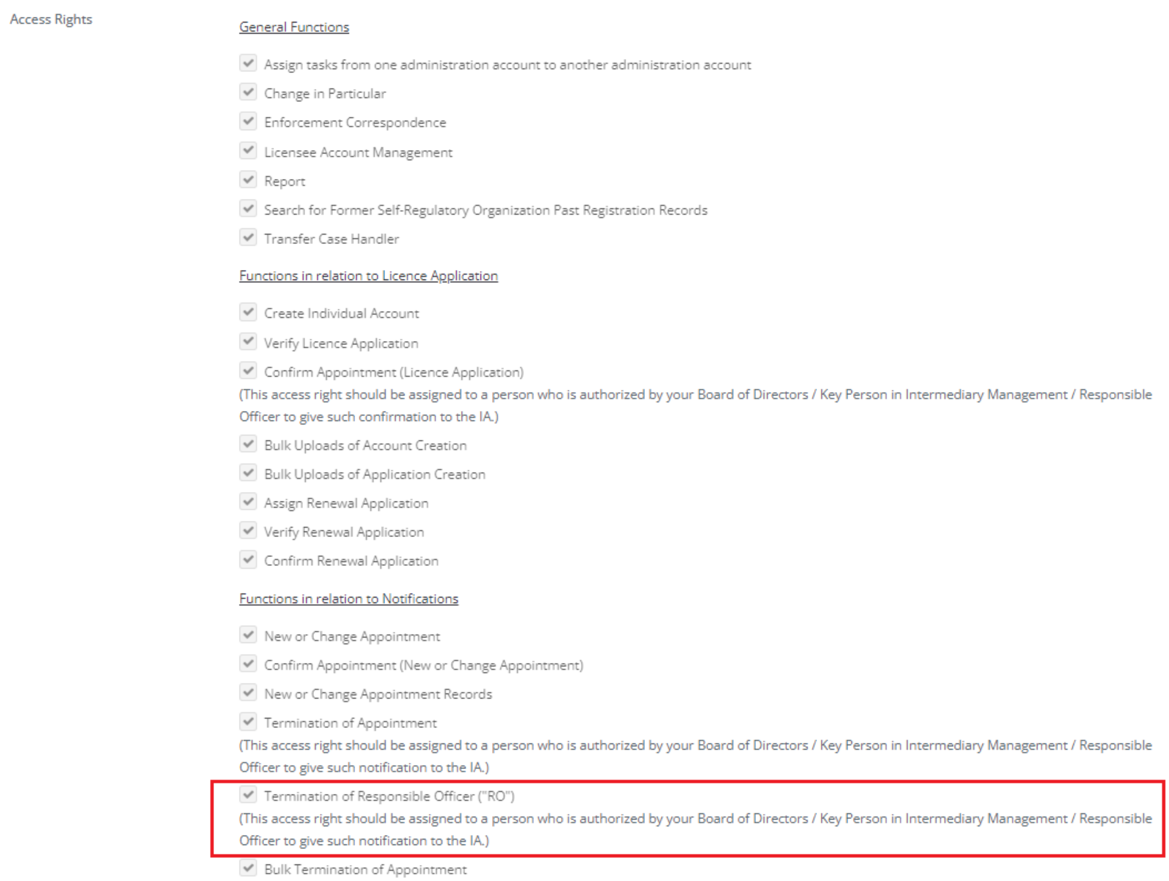
PAAs with appropriate access right can submit the notification of termination of Responsible Officer ("RO") via IIC. Please note that Notification of Appointment in relation to a RO must be submitted together with Notification of Termination of Responsible Officer or after Notification of Termination of Responsible Officer is submitted.

8.1 Grant of Access Right to PAA

This access right should be assigned to a person who is authorized by the Principal's Board of Directors / Key Person in Intermediary Management / Responsible Officer to give such notification to the IA.

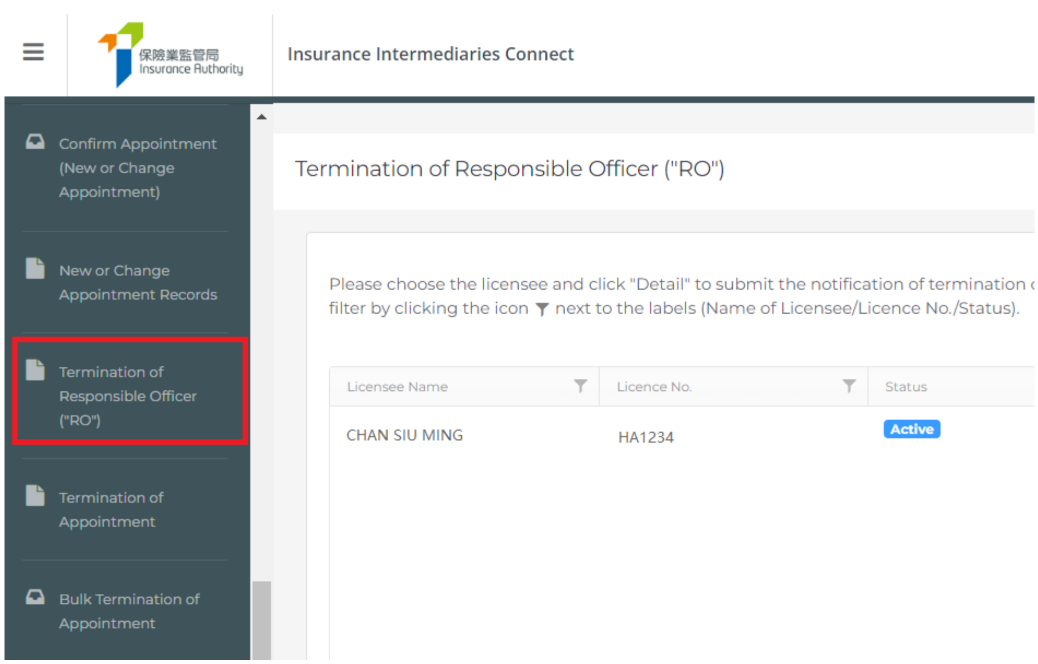
Supervisor / alternate supervisor account owner should click "***Administration Account Management***", select the designated PAA and tick the box "Termination of Responsible Officer" to grant the relevant access right to the designated PAA.

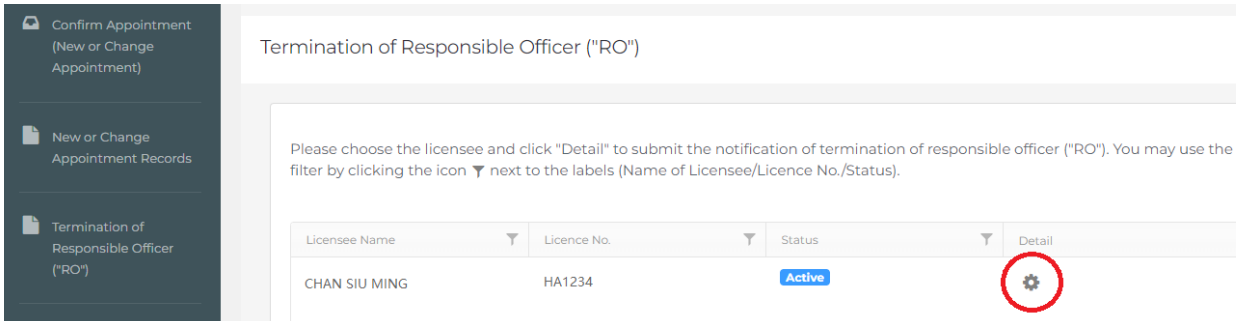




8.2 Select the Responsible Officer terminated by the Appointing Principal

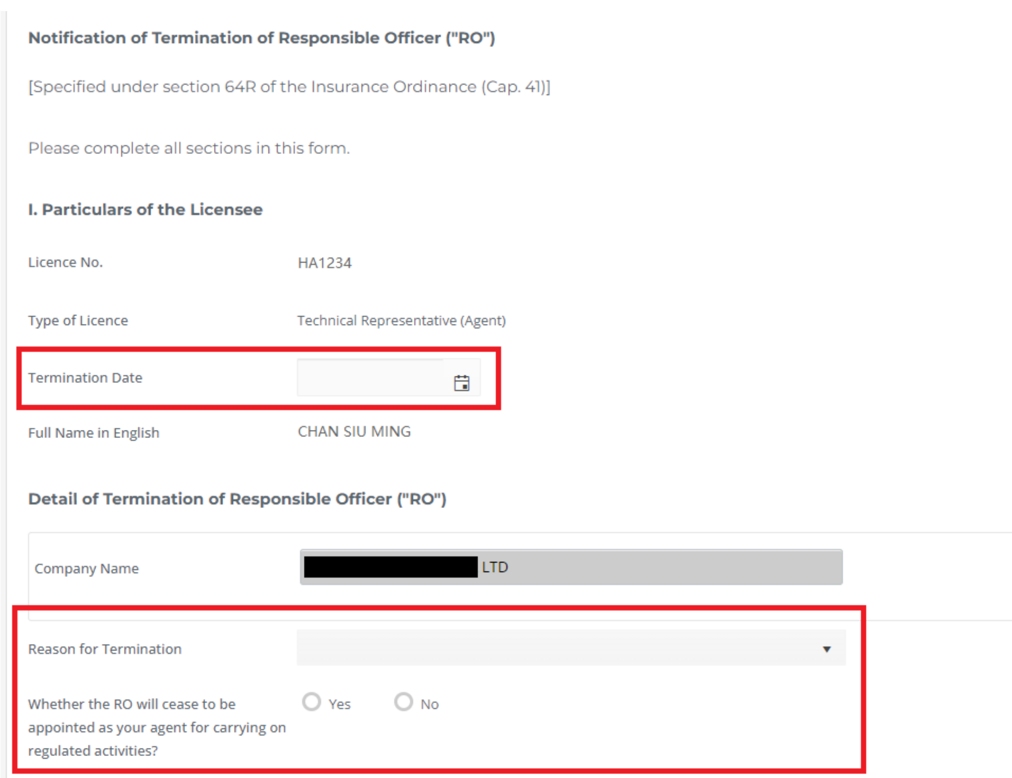
- The PAA should click "Termination of Responsible Officer" and choose the RO by clicking the "***Detail***" icon.





8.3 Submit the Notification of Termination of Responsible Officer

- After the PAA chooses the RO, he/ she will be directed to the next page. He/ she is required to (1) fill in the effective date of termination, (2) provide the reason for termination and (3) answer the question whether the RO will cease to be appointed.

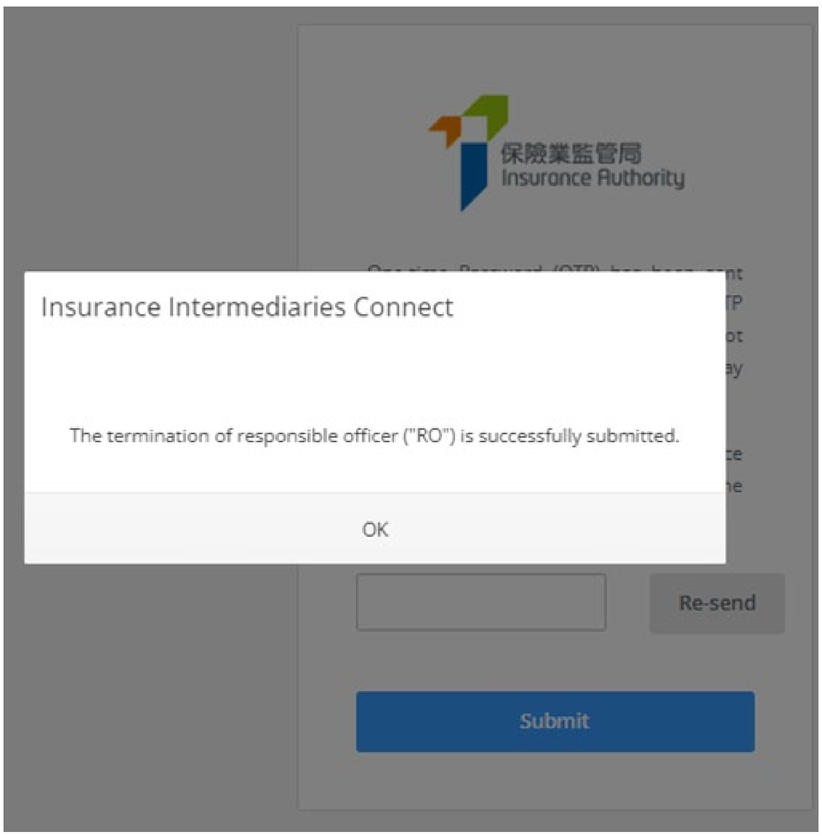


- The PAA will also be required to make relevant declarations before submission of the notification.

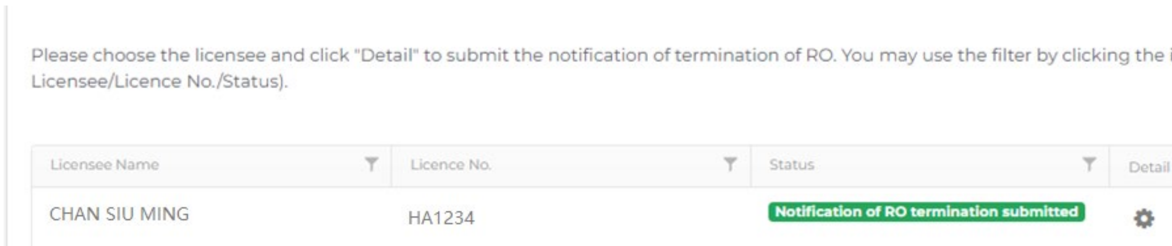
II. Declaration by Appointing Principal

- I/We **CONFIRM and DECLARE** that all the information provided in this Notification and any documents provided in connection with this Notification are **COMPLETE, TRUE and CORRECT**.
- I/We understand that the Insurance Authority may make enquiries and seek further information or documents as it thinks appropriate in connection with this Notification.

- The PAA will have to select the company designated mobile number (set by the supervisor account owner) from the drop down menu for receiving the OTP. Once the OTP is inputted into the system, the notification of termination of appointment will be formally submitted to the IA.



- In the page “Termination of Responsible Officer”, the status of the RO concerned will change from “Active” to “Notification of RO termination submitted”.



- The individual account owner will be notified that his/her RO appointment has been terminated by the Principal.

- Reports of notification submitted through online and hardcopy submission to the IA will be generated to the principal at day end.

9. Report

Currently, there are 9 types of reports that are available in the IIC:

(1) Full Intermediary Licence List

(2) New Application E-Portal Status Report

(5) Renewal Application E-Portal Status Report

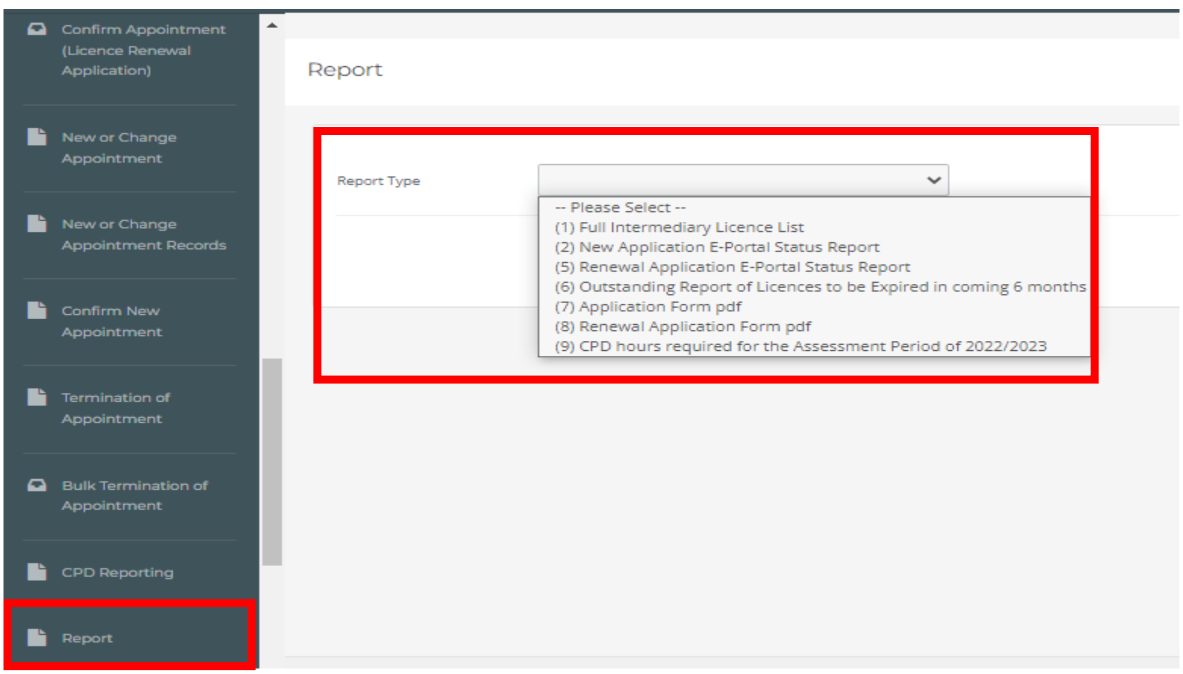
(6) Outstanding Report of Licences to be Expired in coming 6 months

(7) Application Form pdf

(8) Renewal Application Form pdf

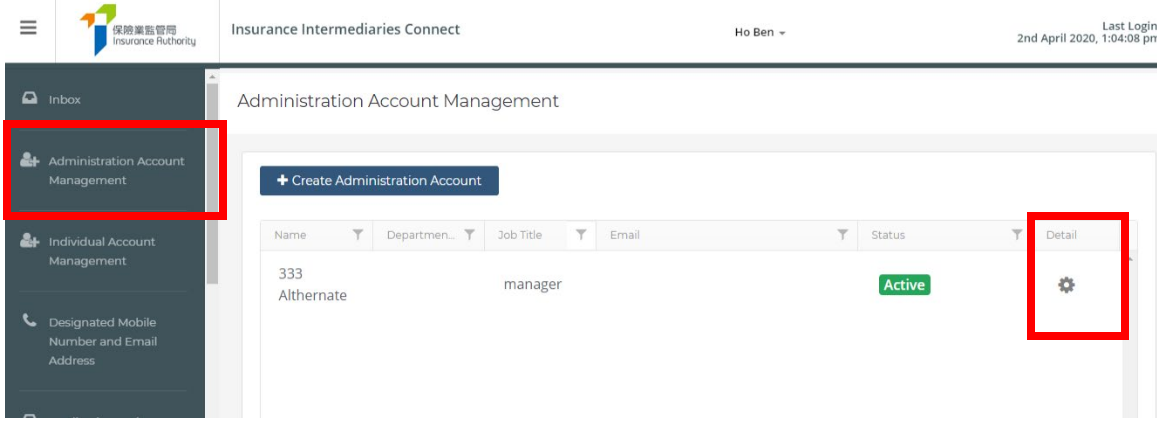
(9) CPD hours required for the Assessment Period of [YYYY/YYYY]

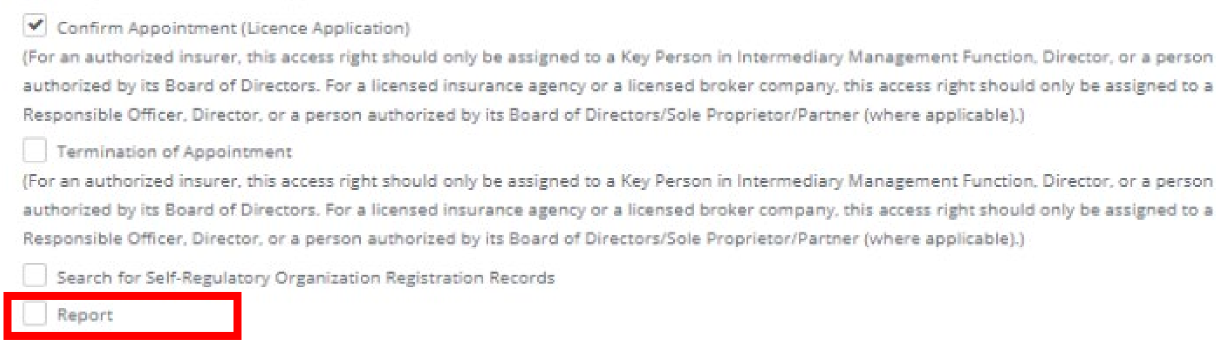
PAA with relevant access right can click "***Report***" to view and select the available reports from the drop down menu.



9.1 Grant of Access Right to PAA

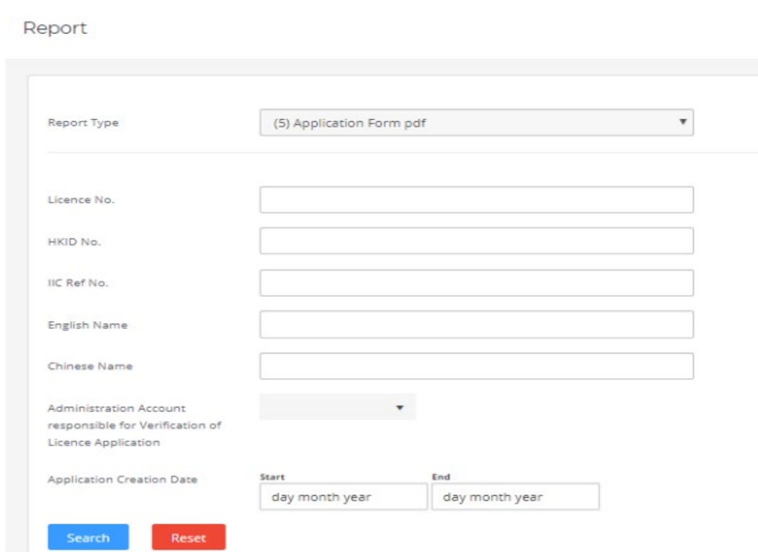
If supervisor / alternate supervisor account owner would like to delegate the report function to administration account owner, he/she should click "***Administration Account Management***", select the designated PAA and tick the box "Report" to grant the relevant access right to the designated PAA.



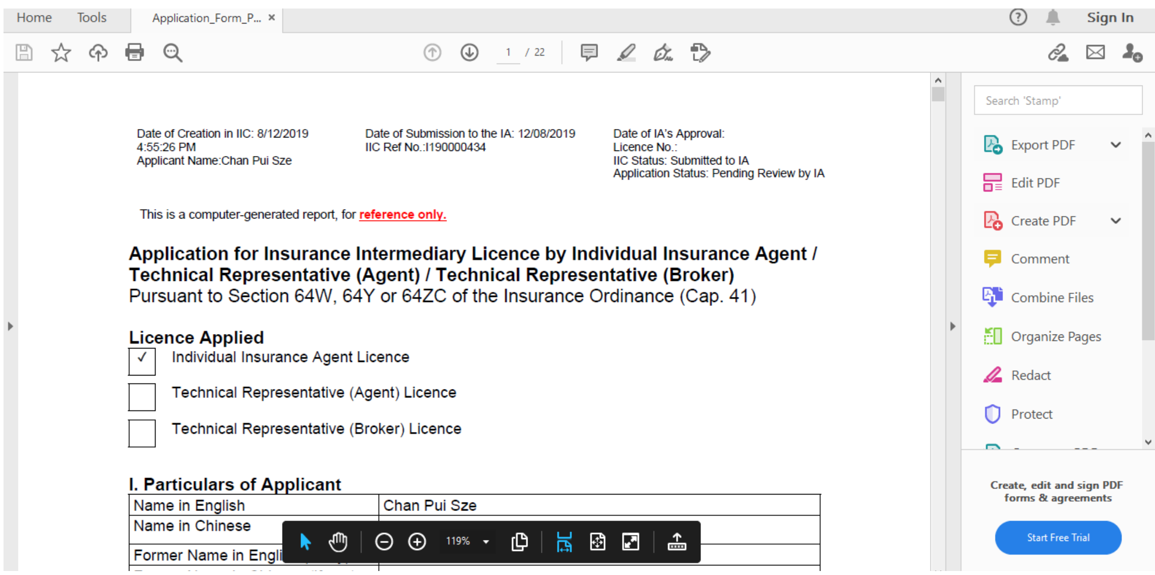


9.2 Application Form (PDF)

- PAA can use different criteria to search for a particular application (including cases created in IIC but not yet submitted to the IA) and download the application form in PDF format.



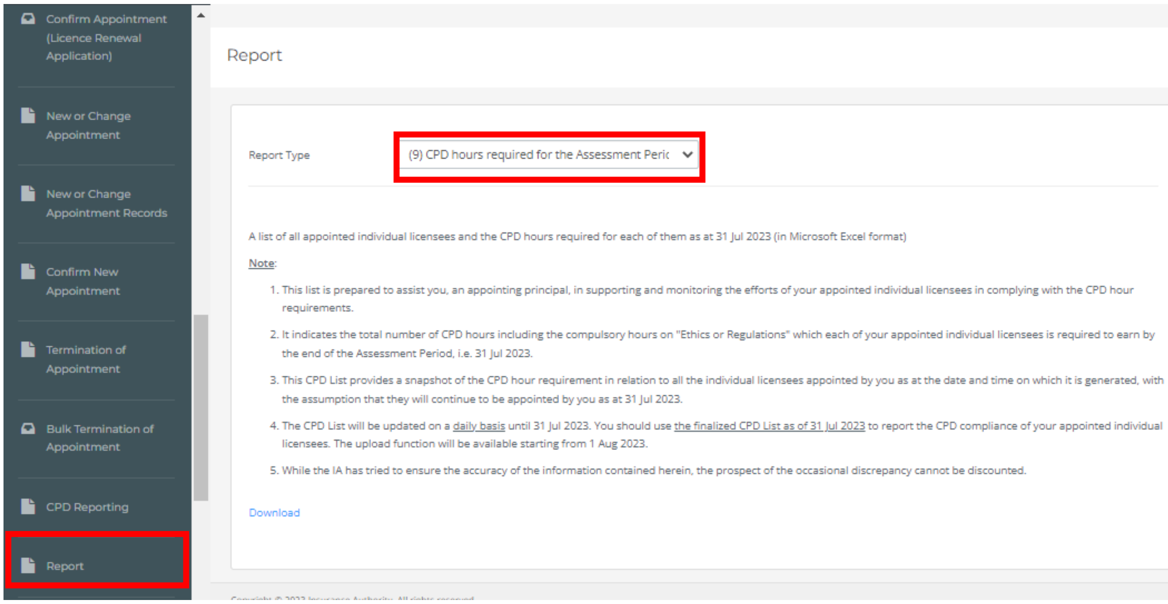
PAA can then click "***Download PDF***" (English/Chinese) to download a password-protected zip file. PAA should use an unzip software (e.g. 7-zip, Winzip, WinRAR) and use the password set up by supervisor account to unzip and open the file. For the password setting, please refer to section 2.5.



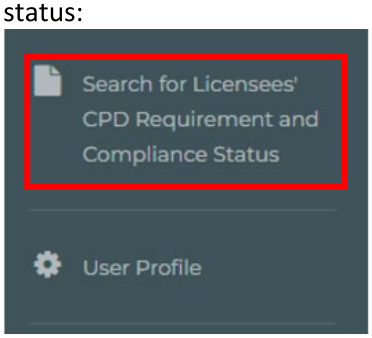
9.3 CPD Hours Required

- **Supervisor / alternate supervisor account owners** can use the report function to download a list indicating the number of CPD hours that each of the individual licensees appointed by the principal concerned is required to complete for a particular CPD Assessment Period ("CPD List"). The CPD List is in Microsoft Excel format and an updated list will be available in IIC from time to time. *To enable administration account owners to download the CPD List, supervisor / alternate supervisor account owners will need to delegate the report function to administration account owners. Please refer to section 9.1.*
- To download the CPD List:

1. Select “Report” from the menu on the left
2. Select “(9) CPD hours Required for the Assessment Period of [YYYY/YYYY]” for “Report Type”
3. Press “Download”



- The PAA may click the “***Search for Licensees’ CPD Requirement and Compliance Status***” option from the vertical menu on the left and will be able to view the CPD hours requirement for any individual licensee and his/ her reported compliance status:



- **Technical Issues**: If the Report function cannot be displayed in IIC, or encounter webpage problems (e.g. screen stuck, badly formatted webpages) or error messages, it may be related to the browser cache. Please refer to section 16 for details.

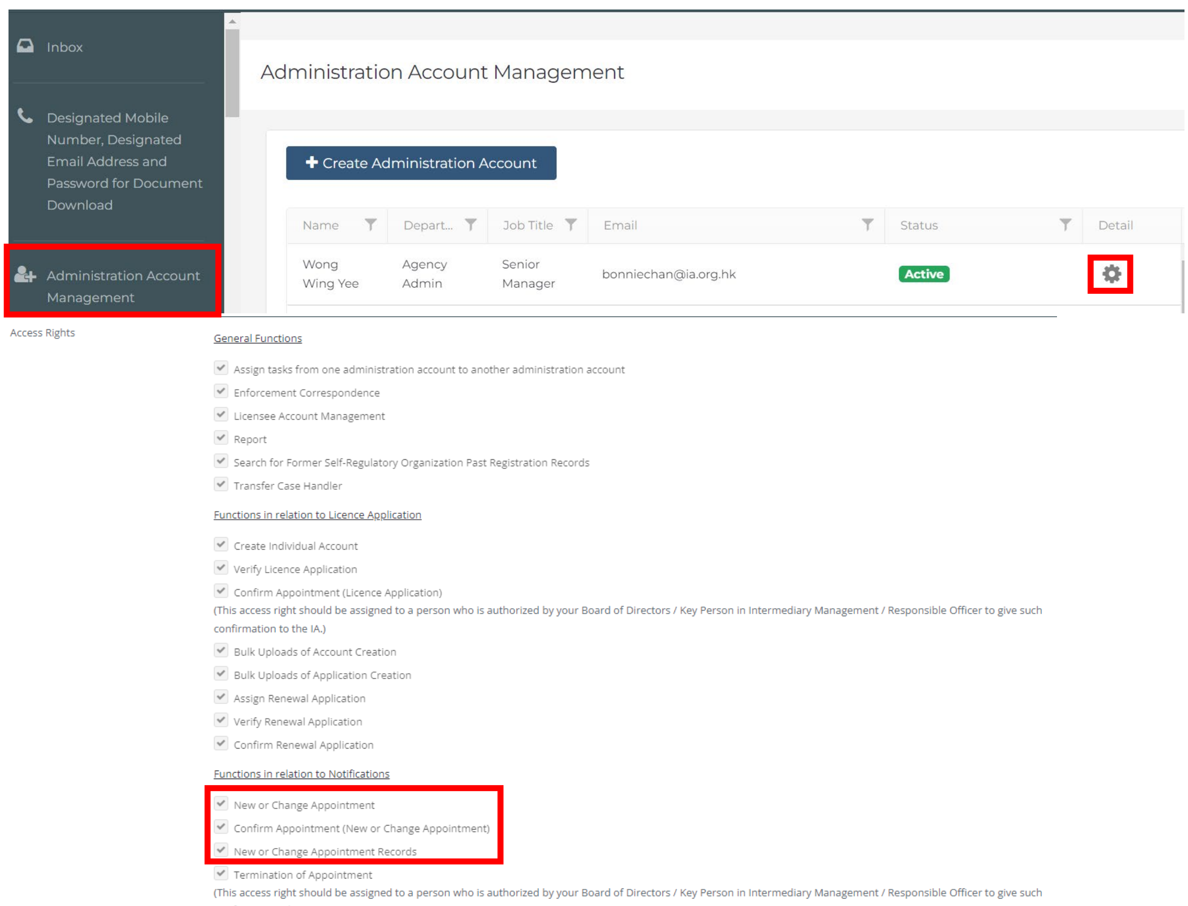
10. New or Change appointment

[Applicable to add or change appointment of **Individual Insurance Agent**, **Technical Representative (Agent)** and **Technical Representative (Broker)** only]

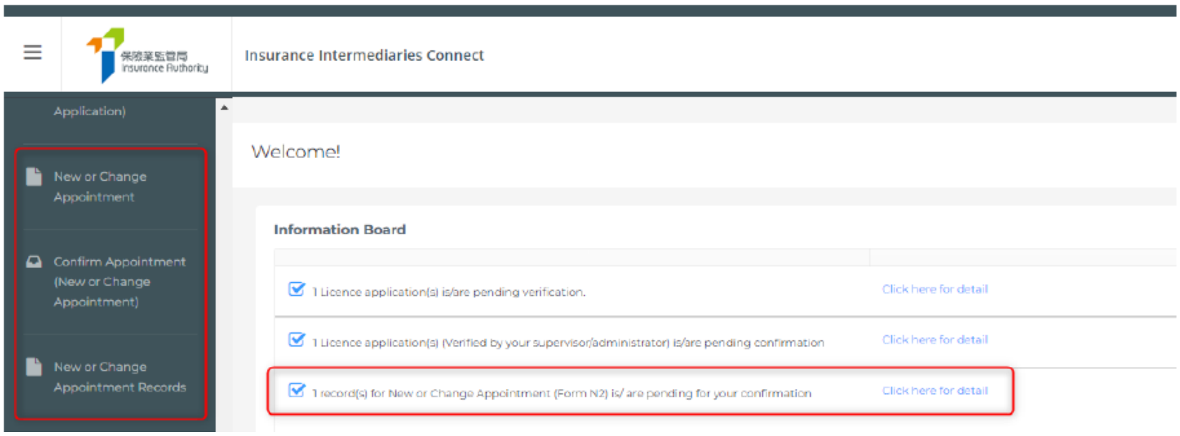
Menu items – "New or Change Appointment", "Confirm Appointment (New or Change Appointment)", "New or Change Appointment Records" are displayed for company supervisor account and alternative supervisor account by default. For company administration accounts, access right should be granted in administration account management by supervisor/ alternative supervisor account owner.

10.1 Grant of Access Right to PAA

If supervisor/ alternate supervisor account owner would like to grant access right to administration account owner, he/ she should click "***Administration Account Management***", select the designated PAA and tick the boxes "New or Change Appointment", "Confirm Appointment (New or Change Appointment)" and "New or Change Appointment Records" to grant the access right to the designated PAA.



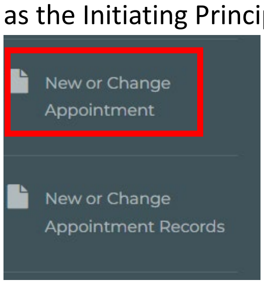
When there is Notification of Appointment pending confirmation, reminder message will be displayed in the Information Board if the PAA account has the access right for “Confirm Appointment (New or Change Appointment)”.



10.2 Notification initiation by Initiating Principal

- This process is for 1) adding new appointment of New Appointing Principal(s) for the subject licensee and/ or 2) changing the subject licensee’s Line(s) of Business (“**LoB**”) appointed by the Existing Appointing Principal(s).

- After logging into the IIC, the PAA may click “***New or Change Appointment***” to start the New or Change Appointment process. The principal starting the process will be regarded as the Initiating Principal.

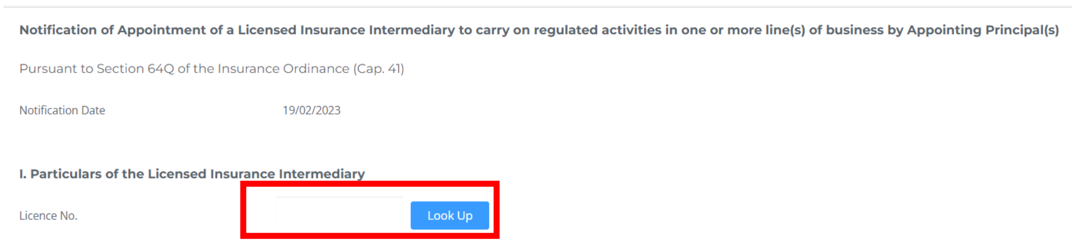


- The licence type of the subject licensee must match with the Initiating Principal of the process:

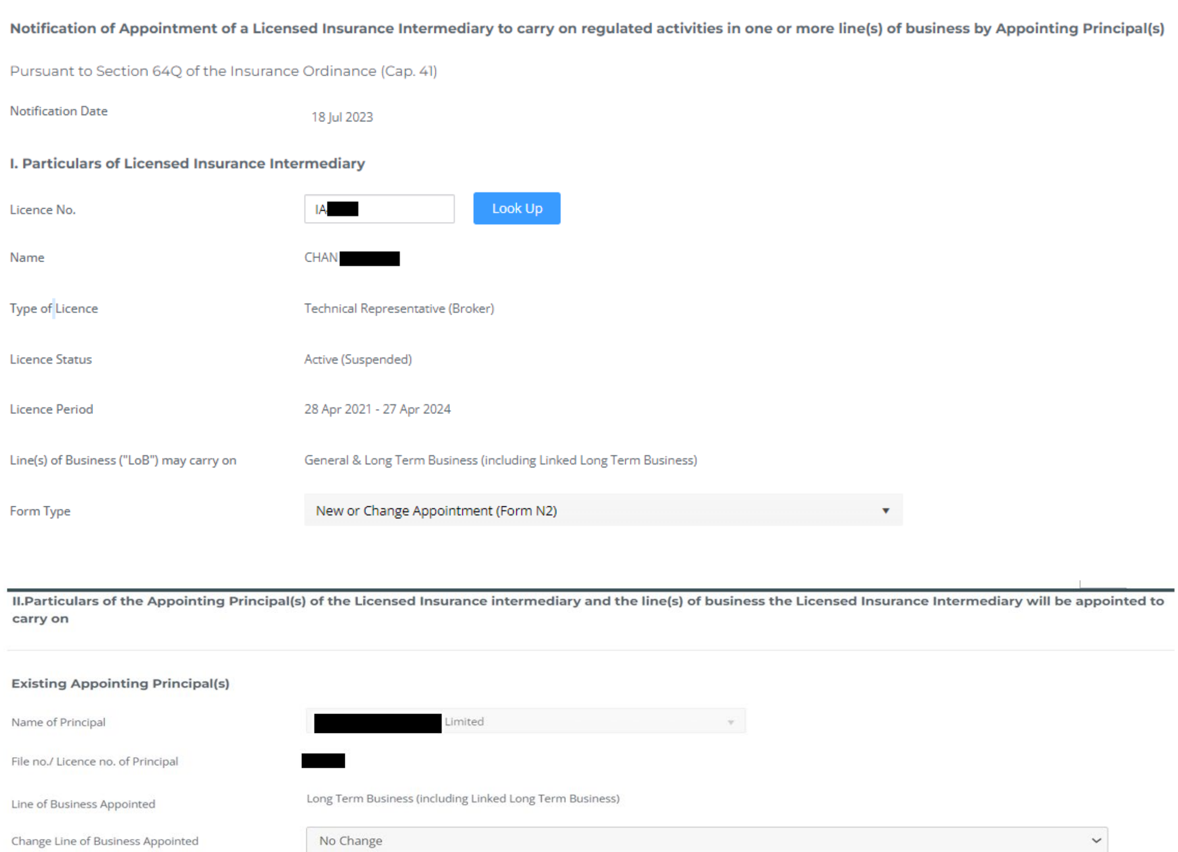
Subject licensee’s licence type	**Initiating Principal**
Individual Insurance Agent (“**IND**”)	Authorized Insurers
Technical Representative (Agent) (“**TRA**”)	Licensed Insurance Agencies
Technical Representative (Broker) (“**TRB**”)	Licensed Insurance Broker Companies

- The Initiating Principal must be either one of the Existing Appointing Principal(s) or one of the New Appointing Principal(s) of the subject licensee, otherwise, the process cannot be proceeded.

- The PAA to input the licence number of the subject licensee of the notification and click the "***Look Up***" button:

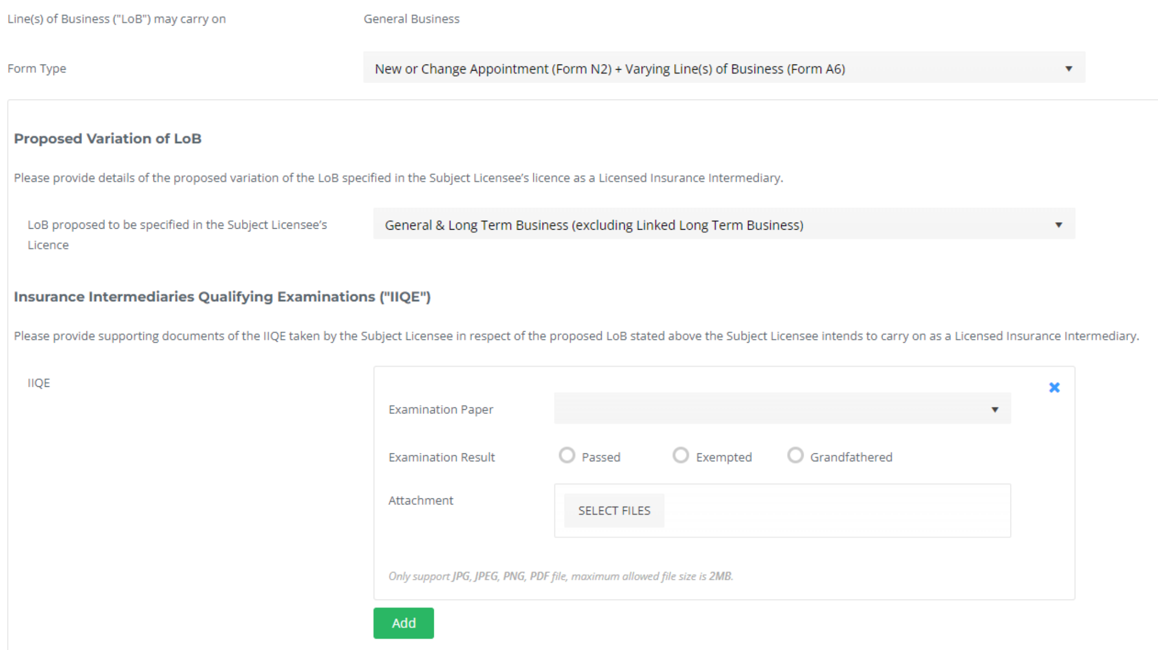


- If the licence status of the subject licensee is "Active" or "Active (suspended)", and the licence type of subject licensee matches with the principal's licence type, the subject licensee's Particulars (i.e. Name, Type of Licence, Licence Status, Licence Period and LoB may carry on), the Form Type of this notification and Existing appointing principal(s), if any, will be displayed. Otherwise, the relevant error message will be prompted.



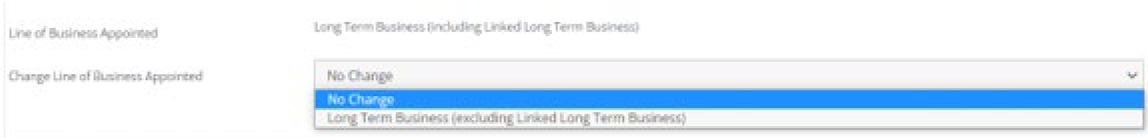
- Selection of Form Type for this notification (for determination whether Variation of Line(s) of Business is required):
  1. “New or Change Appointment (Form N2)”; or
  2. “New or Change Appointment (Form N2) + Varying Line(s) of Business (Form A6)”

- By default, Form Type “New or Change Appointment (Form N2)” is selected.
- If Form Type “New or Change Appointment (Form N2) + Varying Line(s) of Business (Form A6)” is selected, a new section “Proposed Variation of LoB” will be shown. Please select the “LoB proposed to be specified in the Subject Licensee’s Licence” for the subject licensee.
- Principal may add IIQE record(s) for the subject licensee or leave it to the subject licensee to provide information and relevant supporting document later when he/ she confirm the appointment.



10.3 Change the LoB appointed by the Existing Appointing Principal(s)

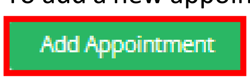
- Depending on the LoB (after variation, if selected) the subject licensee and the Existing Appointing Principal(s) may carry on, the LoB appointed by the Existing Appointing Principal(s) may be changed by selecting the available LoB from the drop down menu of "Change Line of Business Appointed".



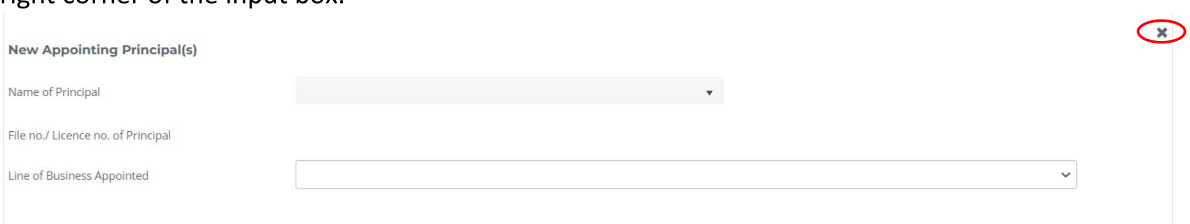
10.4 Add new appointment with new Appointing Principal(s)

- Since a TRA can only be appointed by one Licensed Insurance Agency, if the Initiating Principal is a Licensed Insurance Agency but not the Existing Appointing Principal of the subject licensee, the new Appointing Principal must be the Initiating Principal, the PAA is only required to select the LoB to be appointed.

- To add a new appointment for INDs or TRBs, the PAA may click "***Add Appointment***" button.



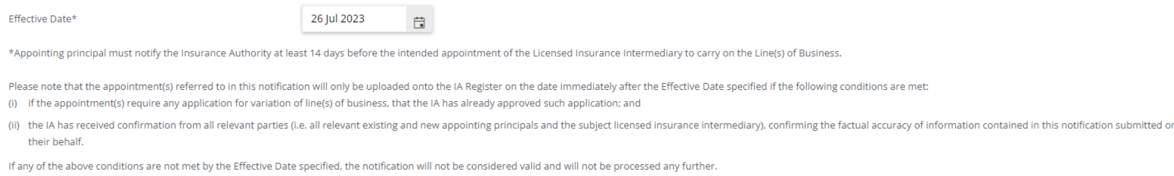
- Then select the new Appointing Principal from the drop down menu and the LoB to be appointed. To remove the input box of new Appointing Principal, click the "***x***" in the top right corner of the input box.



- To add additional new appointment, click "***Add Appointment***" button again to proceed.

10.5 Effective Date of the process

- Pursuant to the requirements of Section 64Q of the Insurance Ordinance (Cap. 41), the default value of Effective Date is set to be 14 days after the initiation date of the process.

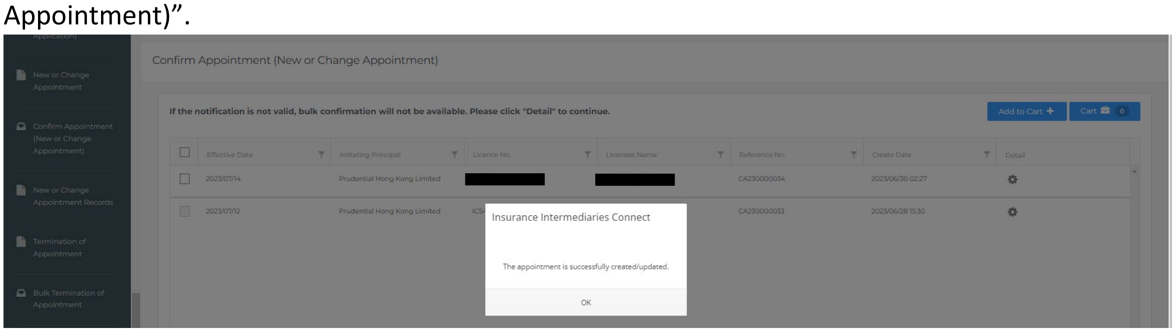


- The maximum value is the Licence Period end date (for active licensees) or licence revocation date (for suspended licensees).
- The PAA may amend the Effective Date where necessary, however, the amended date must be more than 14 days after the initiation date of the process but less than or equals the maximum value stated above.

10.6 Confirmation of the process

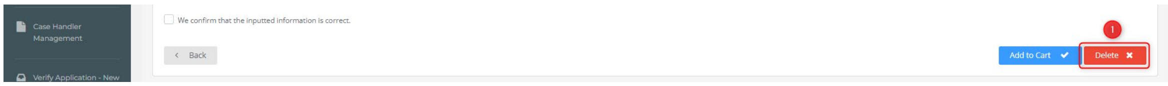
- By confirming that the inputted information is correct, the PAA may then click the button "***Confirm***" to confirm the New or Change appointment notification.

- The notification record will be added to the page "Confirm Appointment (New or Change Appointment)".

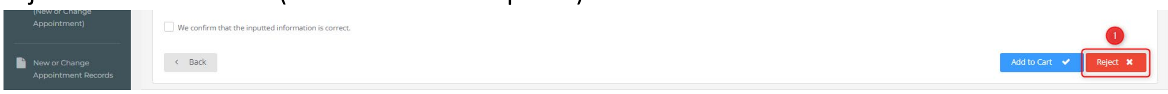


10.7 Deletion/ Rejection/ Confirmation of notification(s) by Principal(s)

- Deletion of notification(s) may be performed by Initiating Principal only. In the detail page of a particular notification, the PAA may click "***Delete***" button to delete that notification (confirmation is required).



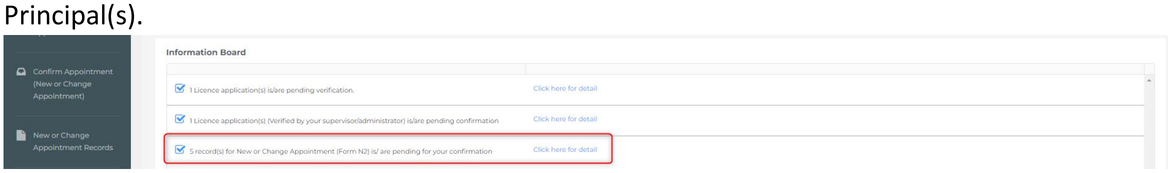
- Rejection of notification(s) may be performed by other Principal(s) involved in a notification only. In the detail page of a particular notification, the PAA may click "***Reject***" button to reject that notification (confirmation is required).



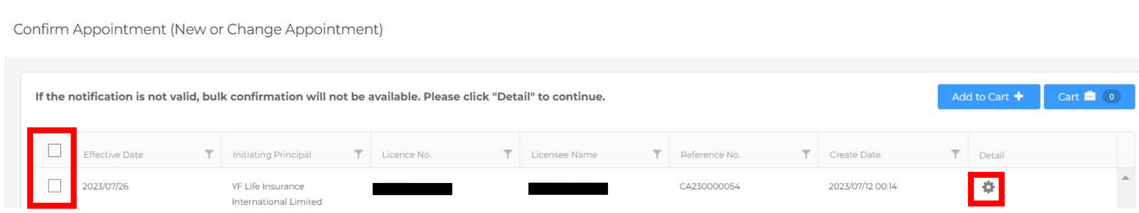
- Confirmation of notification(s) may be performed by Initiating Principal and all other Principal(s) involved in a notification.

- If any other Principal(s) is/ are involved in a New or Change appointment initiated by Appointing Principal, after the Appointing Principal has created the New or Change appointment, the Principal concerned will receive an email notifying its PAA to login to the IIC for confirmation.

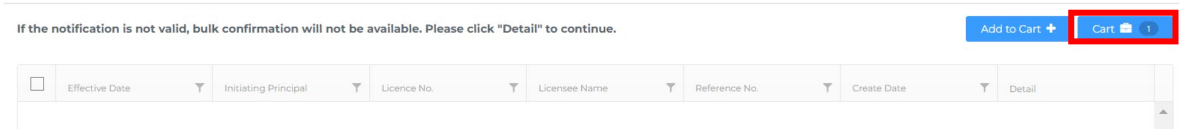
- After logging into the IIC, reminder message with the total number of records that are pending for confirmation is shown in the Information Board, the PAA may click "***Click here for detail***" to view the notification(s), including notification(s) initiated by itself and other Principal(s).



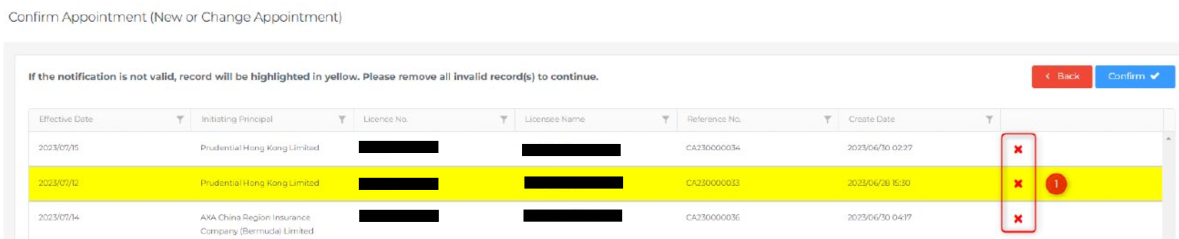
- In the page "Confirm Appointment (New or Change Appointment)",
  - The PAA may select any or all notification record(s) and then click "***Add to Cart***" button to add the selected notification record(s) to the Cart.
  - The PAA may click the "***Detail***" icon to view the details, including the uploaded attachment(s) for variation of LoB (if any), of a particular notification. After reviewing the details, the PAA may then click "***Add to Cart***" button to add that notification record to the Cart.



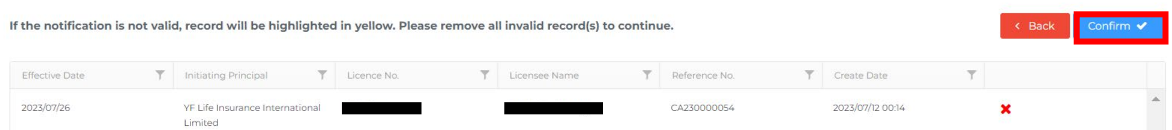
- To confirm the notification(s) in the Cart, the PAA may click the "***Cart***" button to go to the Cart page, the number in the button represents the number of records in the Cart.



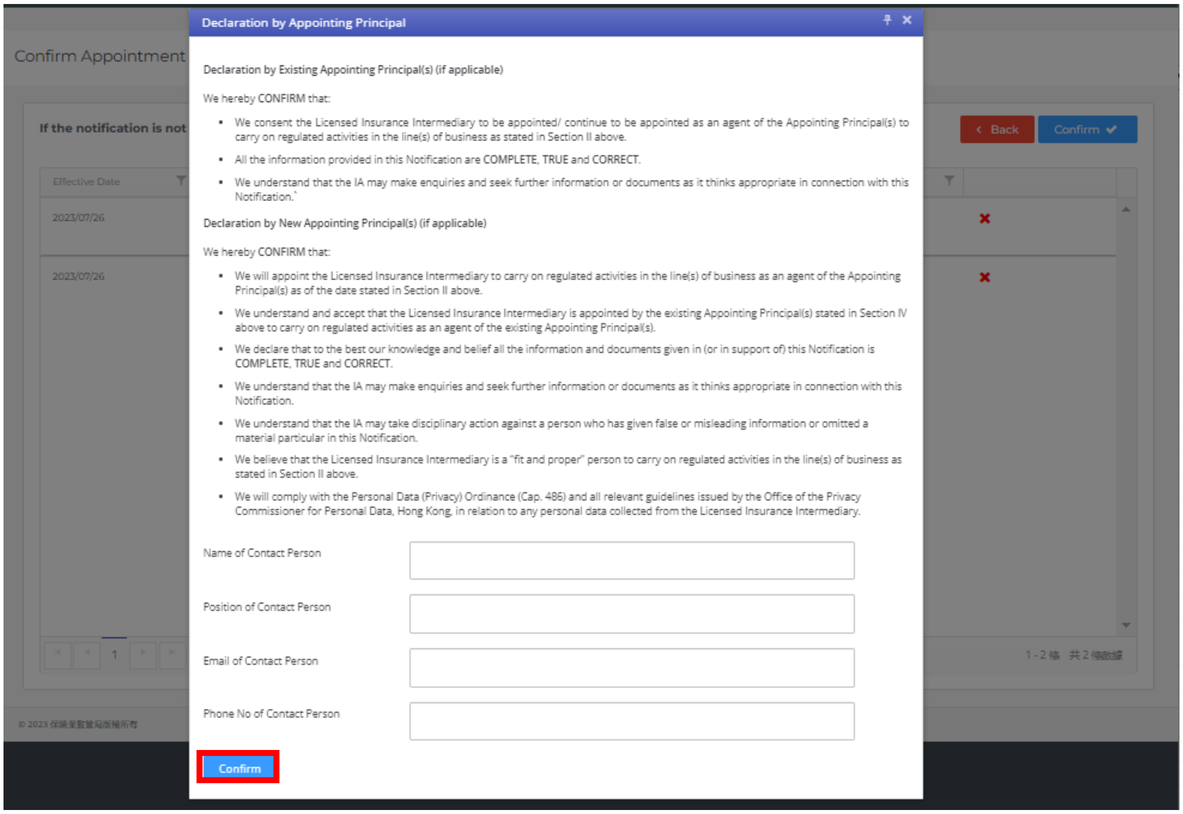
- If there is/ are notification(s) no longer valid at the time of confirm, the record will be highlighted in yellow, the Principal must remove the record(s) before to proceed with confirmation.



- The PAA may then click the button "***Confirm***" to confirm the New or Change appointment notification(s) in the Cart.



- The declaration form will be prompted, the PAA needs to fill in the form and then click the button "***Confirm***" to proceed to the OTP page.

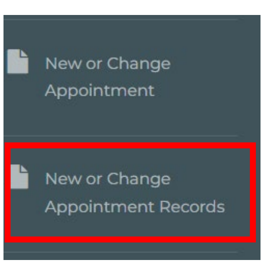


- An OTP will be sent to the designated mobile number selected via SMS and the PAA is required to provide the OTP within 5 minutes. If the PAA is unable to receive the OTP, he/ she can click the "***Re-send***" button to request a new OTP.

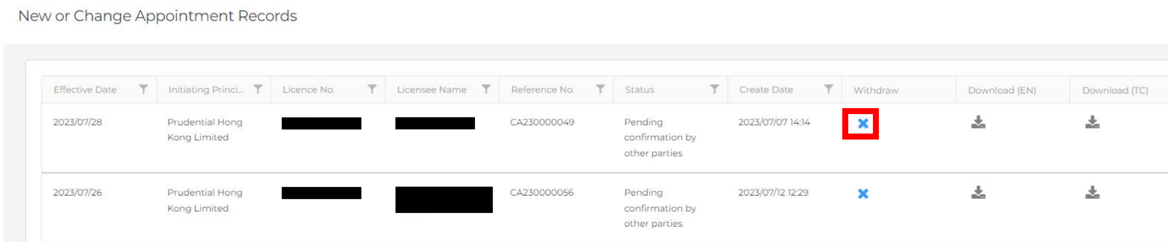
- After confirmation, the system will redirect to the page "New or Change Appointment Records".

10.8 To view the status and download the notifications in PDF format

- The PAA may click the "***New or Change Appointment Records***" to view the status and download the notifications in PDF format:



- Initiating principal may withdraw a notification if the Status is “Pending confirmation by other parties” by clicking the withdraw icon.



New or Change Appointment Records

Effective Date	Initiating Princi...	Licence No.	Licensee Name	Reference No.	Status	Create Date	Withdraw	Download (EN)	Download (TC)
2023/07/28	Prudential Hong Kong Limited	[redacted]	[redacted]	CA230000049	Pending confirmation by other parties	2023/07/07 14:14			
2023/07/26	Prudential Hong Kong Limited	[redacted]	[redacted]	CA230000056	Pending confirmation by other parties	2023/07/12 12:29			

11. CPD Reporting

11.1 Downloading and completion of CPD List

- With regard to downloading of CPD List, please refer to section 9.3 above.

- Below is a specimen of the CPD List:

System Generation Time: 21/5/2023 00:00
系統更新時間:

Insurance Authority (IA)
保險業監管局(保監局)

Continuing Professional Development (CPD) for Licensed Insurance Intermediaries
持牌保險中介人持續專業培訓

List of individual licensees who must fulfill their CPD requirements by 31 Jul 2023
須於 2023 年 7 月 31 日或之前符合其持續專業培訓規定的個人持牌人清單

Insurer: Licensed Individual Insurance Agent
保險公司：持牌個人保險代理

CPD Assessment Period: 持續專業培訓評核期：	1 Aug 2022 - 31 Jul 2023
CPD cut-off date: 持續專業培訓截止日期：	31 Jul 2023
Individual Licensee's reporting deadline: 個人持牌人的匯報期限：	30 Sep 2023
Appointing principal's reporting deadline: 委任主事人的匯報期限：	31 Oct 2023
Principal Ref No.: 主事人參考號碼：	999999999
Principal Name: 主事人名稱：	A to Z Insurance Company Limited

This CPD List provides a snapshot of the CPD requirements in relation to all the individual licensees appointed by the principal as at the date on which it is generated, with the assumption that they will remain to be appointed by the same principal on 31 Jul 2023. While the IA has tried to ensure the accuracy of the information contained herein, the prospect of the occasional discrepancy cannot be discounted.
該持續專業培訓清單以假設個人持牌人於2023年 7 月 31 日當日仍獲同一主事人委任為前題，
概括反映所有獲該主事人委任的個人持牌人於該清單發出當日計算的持續專業培訓時數要求。
儘管保監局已盡量確保該清單上所載資料的準確性，惟仍存在偶有偏差的可能性。

Name 姓名	Type of Licence[1] 牌照類型[1]	IA Licence No. 保監局牌照號碼	Total number of CPD hours required[2] 所需的持續專業培訓總時數[2]	Compulsory CPD Hours on "Ethics or Regulations" 強制性的「道德或規例」時數	Compliance Code[3] 合規代碼[3]	If the Compliance Code is "N-1", please fill in the total CPD hour(s) shortfall as at 31 Jul 2023 若合規代碼為「N-1」，	Reporting party (if already reported by other party) 匯報方(如已由另一方匯報)
Au Yat	IND	IA0007	15	3			
CHIM Yee	IND	IA0008	15	3			
CHOY Sarm	IND	IA0009	15	3			
LAU Sze	IND	IA0010	15	3			
No. of Person(s) (as at 31 July 2023): 人數 (截至2023年7月31日)：	4						
Newly appointed licensees on or after 1 August 2023 於2020年8月1日或之後新委任的持牌人							
KO Ng	IND	IA0002	15	3			
KUO Luk	IND	IA0003	15	3			
TIMMS Chat	IND	IA0001	15	3			
No. of Person(s) newly appoinated on or after 1 August 2023: 於2023年8月1日或之後新委任的人數：	3						

- An appointing principal must, in its CPD List, indicate the compliance status for each of its individual licensees using the following codes (the priority of the codes is listed below in descending order):

Code	Explanation
Y	The individual licensee has completed his/her CPD hours for the current assessment period by 31 July and submitted his/her CPD Declaration Form to the principal by 30 September.
N-1	The individual licensee has not completed the CPD hours required for the current assessment period by 31 July.
N-2	The individual licensee has not submitted a completed CPD Declaration Form to the appointing principal by 30 September.
N/A	The individual licensee has not appointed the principal, as the principal responsible for reporting the individual licensee's CPD compliance to the IA.
NR	The individual licensee was not required to complete any CPD hour for the current assessment period.

- The CPD List will be updated by the IA on a daily basis for appointing principal to keep track of the CPD status of their appointed individual licensees. The final CPD List showing the status of the appointed individual licensees for each appointing principal as at 31 July will be available in IIC on 1 August.

- From 1 August onwards, an additional list of newly appointed individual licensees who are appointed after 31 July (if any), will be appended to the original CPD list of appointed individual licensees as at 31 July, in order to facilitate appointing principal to monitor the CPD compliance status of their newly appointed individual licensees who are appointed after 31 July. Appointing principals may also report the CPD compliance status for these newly appointed individual licensees as appropriate.

Name 姓名	**Type of Licence**[1] 牌照類型*	**IA Licence No.** 保監局牌照號碼	**Total number of CPD hours required**[2] 所需的持續專業培訓總時數*	**Compulsory CPD Hours on "Ethics or Regulations"** 強制性的「道德或規例」時數	**Compliance Code**[3] 合規代碼*
Au Yat	IND	IA0007	15	3	
CHIM Yee	IND	IA0008	15	3	
CHOY Sarm	IND	IA0009	15	3	
LAU Sze	IND	IA0010	15	3	
No. of Person(s) (as at 31 July 2023): 人數 (截至2023年7月31日)：	4				
Newly appointed licensees on or after 1 August 2023 於2020年8月1日或之後新委任的持牌人					
KO Ng	IND	IA0002	15	3	
KUO Luk	IND	IA0003	15	3	
TIMMS Chat	IND	IA0001	15	3	
No. of Person(s) newly appoinated on or after 1 August 2023: 於2023年8月1日或之後新委任的人數：	3				

- Please note that when submitting a CPD List to IA via IIC, an appointing principal should only include in the CPD List the appointed individual licensees that it is reporting on with compliance code completed for each of these licensees.

- Please also note that if an appointing principal is reporting on any of its individual licensees on or before 31 July, it will only be able to do so if their compliance code is "Y" i.e. they have completed the CPD hours they were required to complete.

- For those individual licensees with reported compliance code "N-1", an appointing principal may only report these after 31 July. When doing so, please fill in the total CPD hour(s) shortfall as at 31 July for each such licensee in the column next to the compliance code.

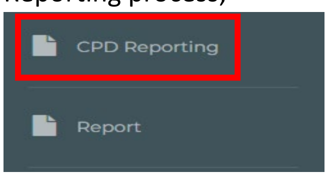
- Note that for individual licensees who are not required to earn any CPD hour for the relevant assessment period, the compliance code 'NR' has been pre-populated in the CPD Lists. These individual licensees are not required to report their CPD Declarations to the IA for the corresponding assessment period.

- For individual licensees who have self-reported their CPD Declaration via IIC directly to the IA, their reported compliance status will also be pre-populated in the CPD Lists. Appointing principals should verify the pre-populated compliance stats self-reported by their individual licensees against the principal's own internal records and advise any individual licensee who has reported the wrong information to amend their CPD Declaration if necessary.

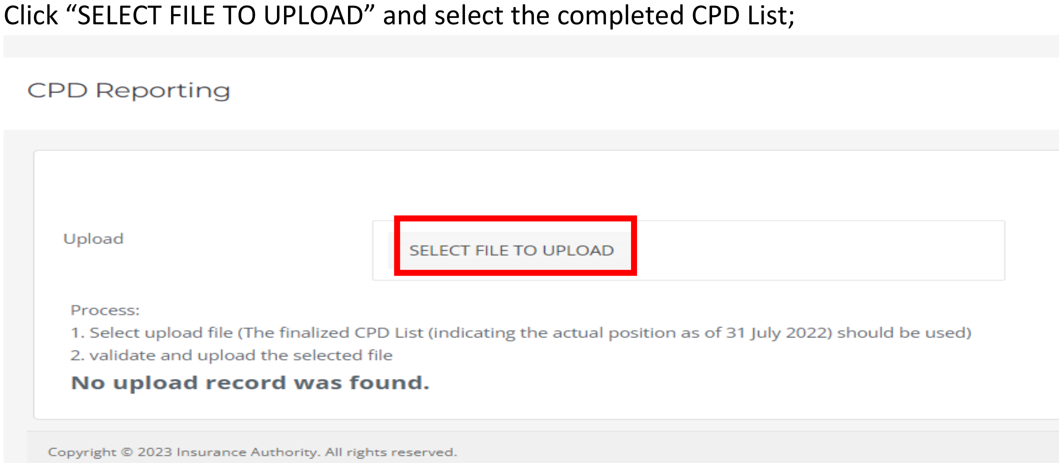
- An appointing principal may delete from the CPD List it submits to the IA, the records of individual licensees (i) who are not required to earn any CPD hours during the current Assessment Period; or (ii) who have already self-reported their CPD Declarations directly to the IA via IIC; or (iii) whose compliance status have been reported by another appointing principal.

11.2 Uploading of CPD List

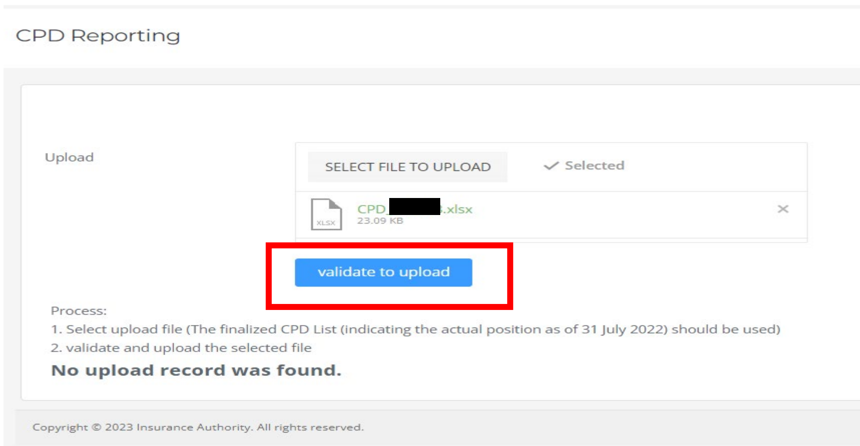
- To submit completed CPD List to IA, please follow the steps below:
  1) After logging into the IIC, the PAA may click "***CPD Reporting***" to start the CPD Reporting process;

  2) Click "SELECT FILE TO UPLOAD" and select the completed CPD List;

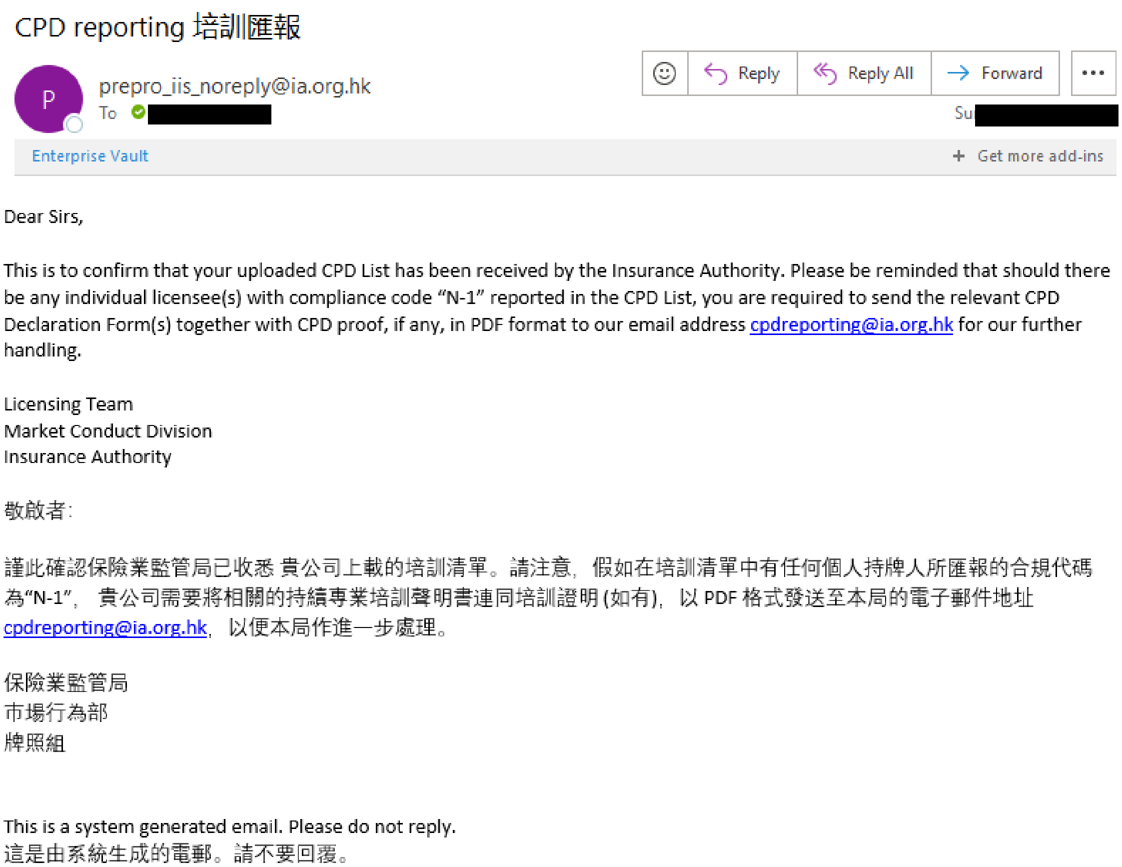
  

  3) Click "Validate to upload" to check the format and version of the CPD List, and upload the select CPD List to IA.



4) An OTP will be sent to the designated mobile number selected via SMS and the PAA is required to provide the OTP within 5 minutes. If the PAA is unable to receive the OTP, he/ she can click the "*Re-send*" button to request a new OTP.

- After the upload of CPD List, an email with Subject "**CPD reporting**" will be generated by system and sent to the Principal's Designated Email Address, which is stored in the function "Designated Mobile Number, Designated Email Address and Password for Document Download", to confirm the CPD List has been received by the Insurance Authority. Below is a specimen of the email:



CPD reporting 培訓匯報

prepro_iis_noreply@ia.org.hk
To [redacted]
Reply Reply All Forward
Su[redacted]
Enterprise Vault
Get more add-ins

Dear Sirs,

This is to confirm that your uploaded CPD List has been received by the Insurance Authority. Please be reminded that should there be any individual licensee(s) with compliance code "N-1" reported in the CPD List, you are required to send the relevant CPD Declaration Form(s) together with CPD proof, if any, in PDF format to our email address cpdreporting@ia.org.hk for our further handling.

Licensing Team
Market Conduct Division
Insurance Authority

敬啟者:

謹此確認保險業監管局已收悉 貴公司上載的培訓清單。請注意，假如在培訓清單中有任何個人持牌人所匯報的合規代碼為"N-1"， 貴公司需要將相關的持續專業培訓聲明書連同培訓證明 (如有)，以 PDF 格式發送至本局的電子郵件地址 cpdreporting@ia.org.hk，以便本局作進一步處理。

保險業監管局
市場行為部
牌照組

This is a system generated email. Please do not reply.
這是由系統生成的電郵。請不要回覆。

- If the reported CPD Compliance Code of the licensee(s) is/ are not accepted, e.g. the Compliance Code was already reported by other principal or a Compliance Code with higher priority was self-reported by the licensee, an exception list will be appended to the aforesaid email with subject "**CPD reporting (with exception list)**" and sent to the Principal's Designated Email Address. Principal should utilize the exception list, clarify the compliance status with the licensee, and update the Compliance Code with the IA (if necessary). Below is a specimen of the email:

CPD reporting (with exception list) 培訓匯報 (連例外列表)

P prepro_iis_noreply@ia.org.hk

To [redacted]

Reply | Reply All | Forward | ...

[redacted] PM

Enterprise Vault | + Get more add-ins

Dear Sirs,

This is to confirm that your uploaded CPD List has been received by the Insurance Authority. Please be reminded that should there be any individual licensee(s) with compliance code "N-1" reported in the CPD List, you are required to send the relevant CPD Declaration Form(s) together with CPD proof, if any, in PDF format to our email address cpdreporting@ia.org.hk for our further handling.

Licensing Team
Market Conduct Division
Insurance Authority

敬啟者:

謹此確認保險業監管局已收悉 貴公司上載的培訓清單。請注意，假如在培訓清單中有任何個人持牌人所匯報的合規代碼為"N-1"， 貴公司需要將相關的持續專業培訓聲明書連同培訓證明 (如有)，以 PDF 格式發送至本局的電子郵件地址 cpdreporting@ia.org.hk，以便本局作進一步處理。

保險業監管局
市場行為部
牌照組

Exception List for CPD compliance status reported by your company not accepted
由 貴公司匯報的培訓合規情況沒有被接納的例外列表

Name 姓名	**IA Licence No. 保監局牌照號碼**	**Compliance Code reported by your company 由 貴公司匯報的合規代碼**	**Compliance Code already reported 已匯報的合規代碼**	**Reporting party 匯報方**
[redacted]	[redacted]	N-2	N-1	Self Reported on 21 Jul 2023

No. of Person(s):
人數: 1

This is a system generated email. Please do not reply.
這是由系統生成的電郵。請不要回覆。

- In relation to all individual licensees indicated by the appointing principal to be N-1 (i.e. the individual licensee has not completed the CPD hours required by 31 July) in the CPD List, the appointing principal must also email copies of the individual licensees' CPD Declaration Forms together with the relevant supporting document(s) for the CPD hour(s) earned, if any, to cpdreporting@ia.org.hk for IA's follow-up actions. For each such appointed individual licensee, the appointing principal should include the individual licensee's supporting documents in a separate file in PDF format. Appointing principals should add their Licence Numbers (for Insurance Agencies and Insurance Broker Companies) or File Numbers (for Authorized Insurers) in the subject of the email, e.g. "CPD Reporting for N-1 cases for 2022/2023 (Licence no.: FA9999)" or "CPD Reporting for N-1 cases for 2022/2023 (File no.: 99999999)"

- If, following the submission of a completed CPD List to IA, an appointing principal needs to amend the reported CPD compliance status of any of its appointed individual licensee(s), it should upload the CPD List containing only those individual licensee(s) with revised compliance status in the list, via the IIC.

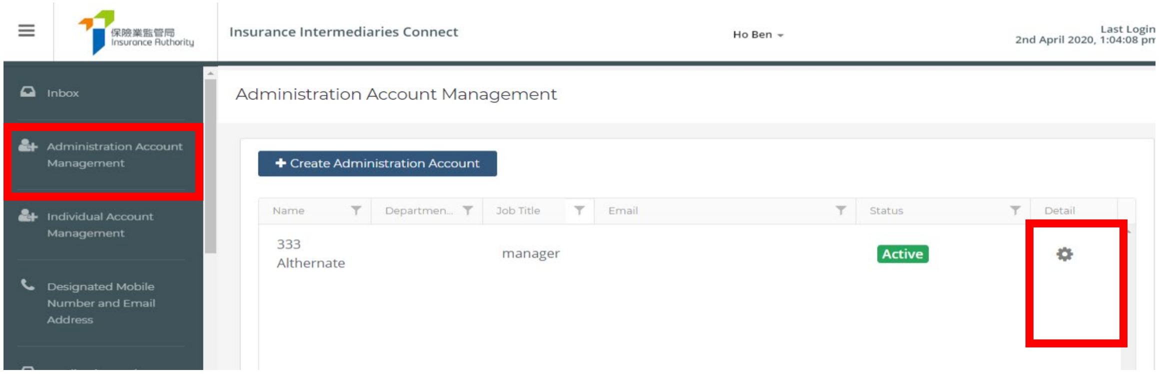
12. Search for Former Self-Regulatory Organization ("SRO") Past Registration Records

PAA with relevant access right can use this function to search for the past registration records of insurance intermediaries who 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 Principal has to obtain a prior written consent from the person appointed or proposed to be appointed as the Principal's licensed insurance intermediary who is subject to the Principal's search to access his/her/its past registration records with the SROs.

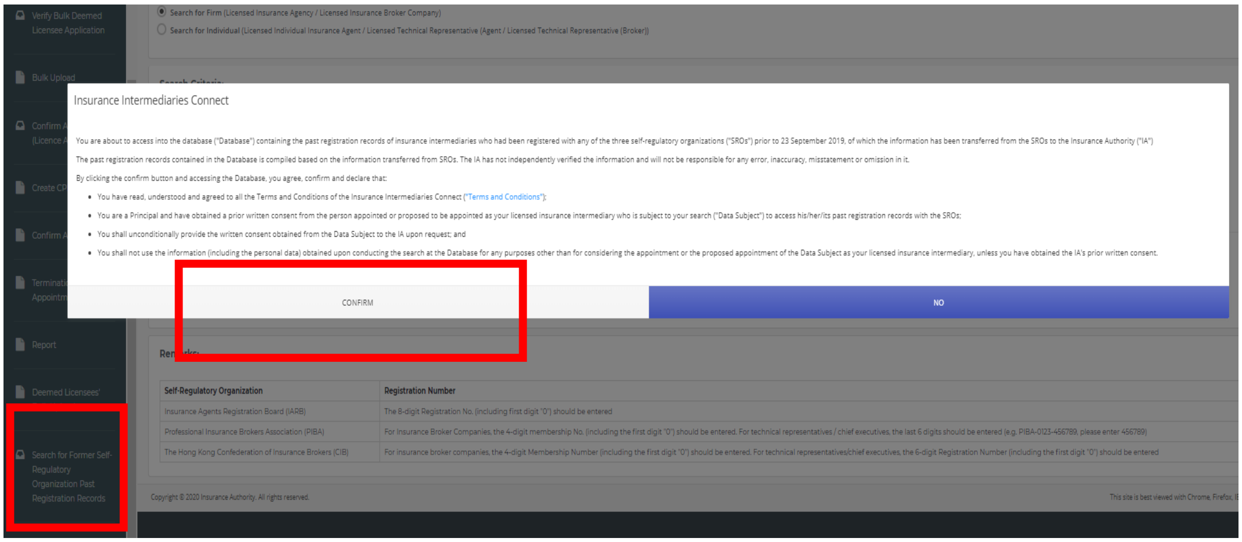
12.1 Grant of Access Right to PAA

If supervisor / alternate supervisor account owner would like to delegate the SRO search function to administration account owner, he/she should click "***Administration Account Management***", select the designated PAA and tick the box "Search for Self-Regulatory Organization Registration Records" to grant the relevant access right to the designated PAA.



12.2 Search for SRO Registration Records

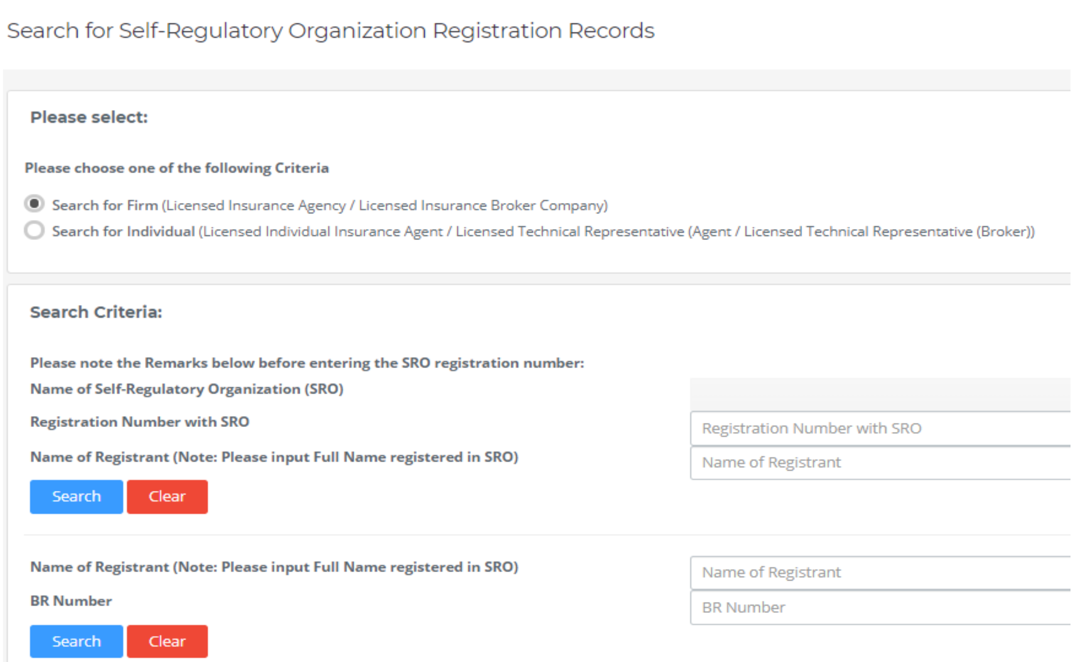
- PAA with relevant access right can click "***Search for Self-Regulatory Organization Registration Records***" for the search. Before accessing into the Database, PAA will be required to read, understand and agree to all the terms and conditions and make relevant declaration by clicking the "Confirm" button.



- PAA can conduct the search by the following search criteria:

  (a) Name of SRO, SRO Registration Number and Registrant's English Full Name registered in SRO.

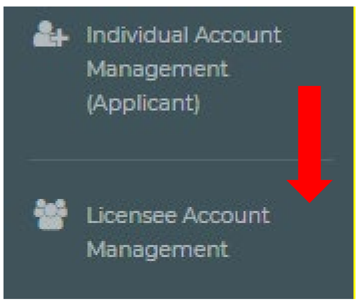
  (b) HKID Number (if the HKID No. is A123456(7), please input A1234567) for individual or the Business Registration Number for Company and Registrant's English Full Name registered in SRO.



13. Licensee Account Management

13.1 Individual Account (Applicant) to Licensee Account

- Upon approval of an individual's licence application, the individual account will no longer be found in "***Individual Account Management (Applicant)***". PAA shall click "***Licensee Account Management***" in order to view the details of the individual. Information such as name of license, appointment details, licence period can be found in "***Licensee Account Management***".



13.2 Appointment and Termination of Appointment

- When principal terminates the appointment of an individual licensee, principal will not be required to delete the licensees' IIC account. After the termination record has been updated, the licensee details will not be found in "***Licensee Account Management***".

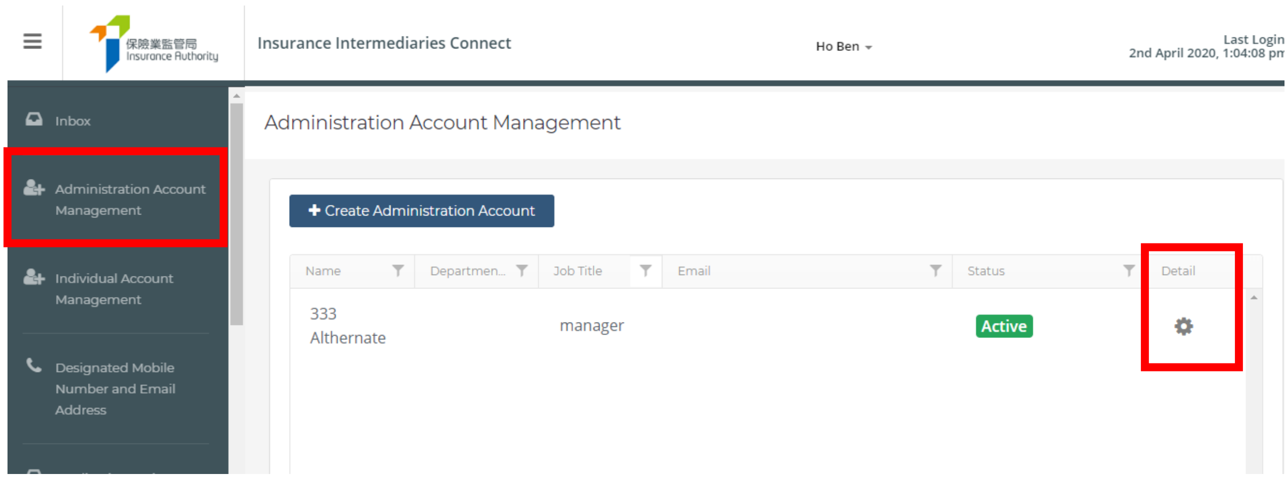
- When principal appoints an individual licensee who has a valid IIC account, principal will not be required to create the IIC account for him/her again. After the appointment record has been updated, the licensee details can be found in "***Licensee Account Management***".

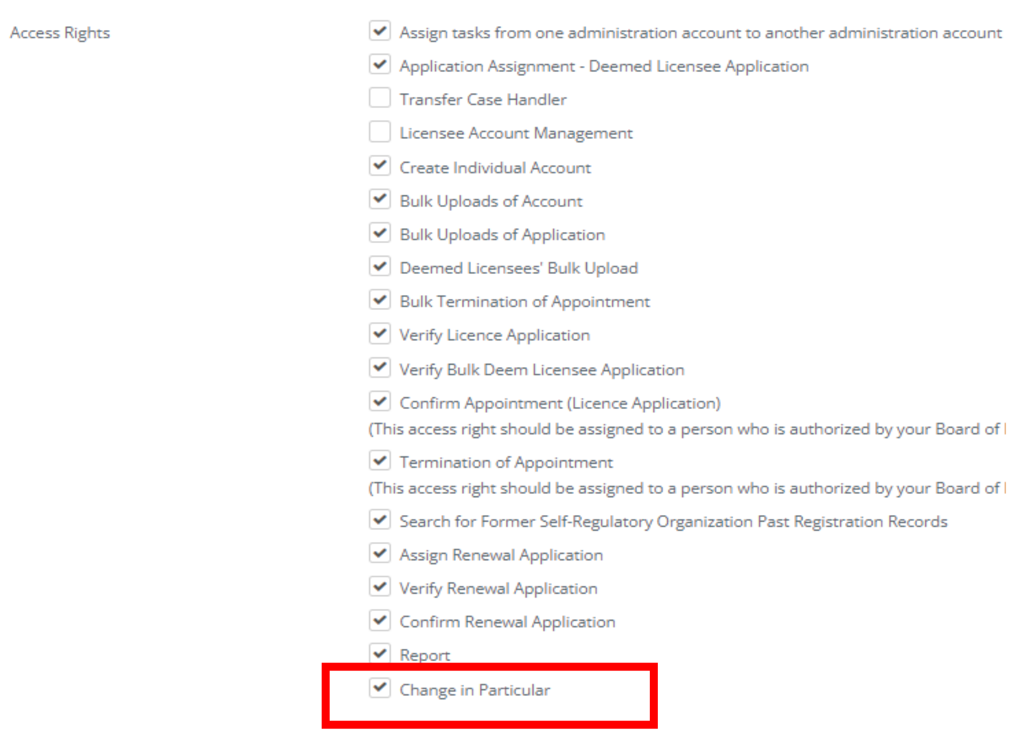
14. Change in Particulars

[Applicable to **Licensed Insurance Agencies** and **Licensed Insurance Broker Companies** only]

14.1 Grant of Access Right to PAA

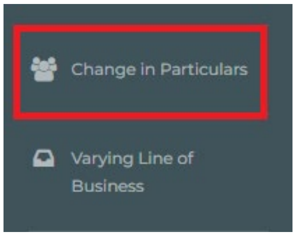
If supervisor / alternate supervisor account owner would like to delegate the change in particulars function to administration account owner, he/she should click "***Administration Account Management***", select the designated PAA and tick the box "Change in Particulars" to grant the relevant access right to the designated PAA.



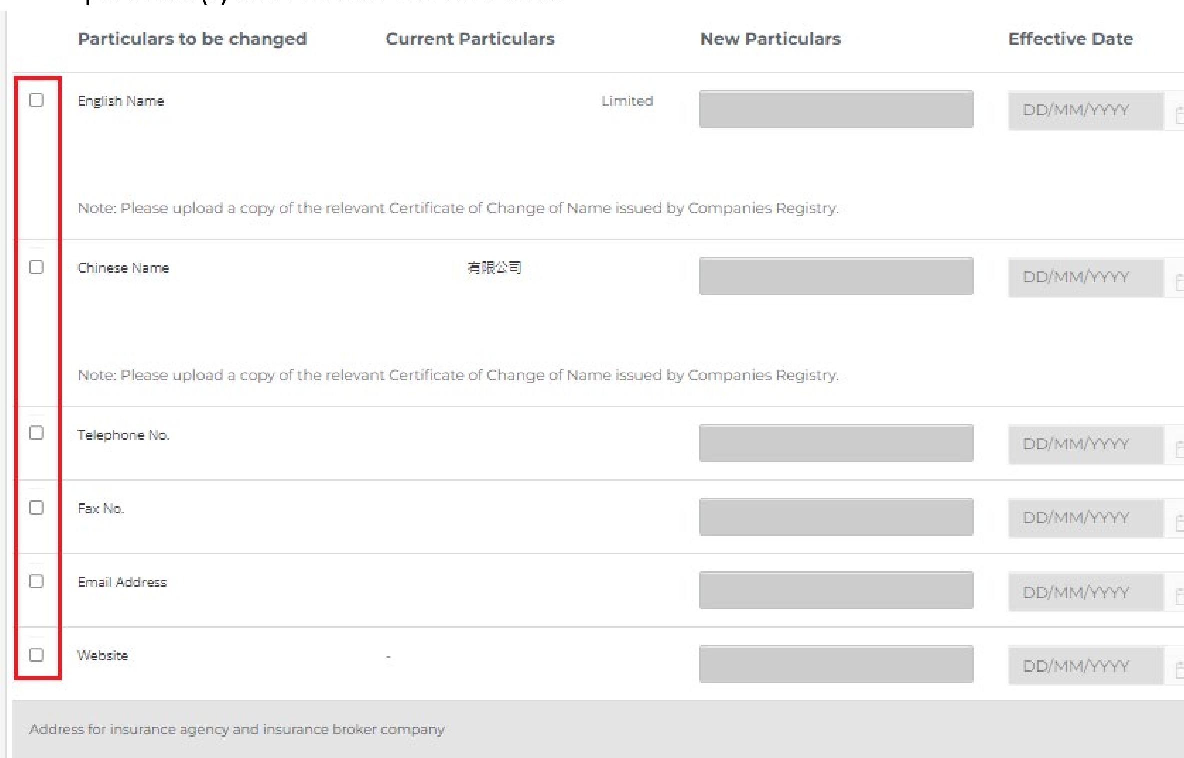


14.2 Notification of Change in Particulars

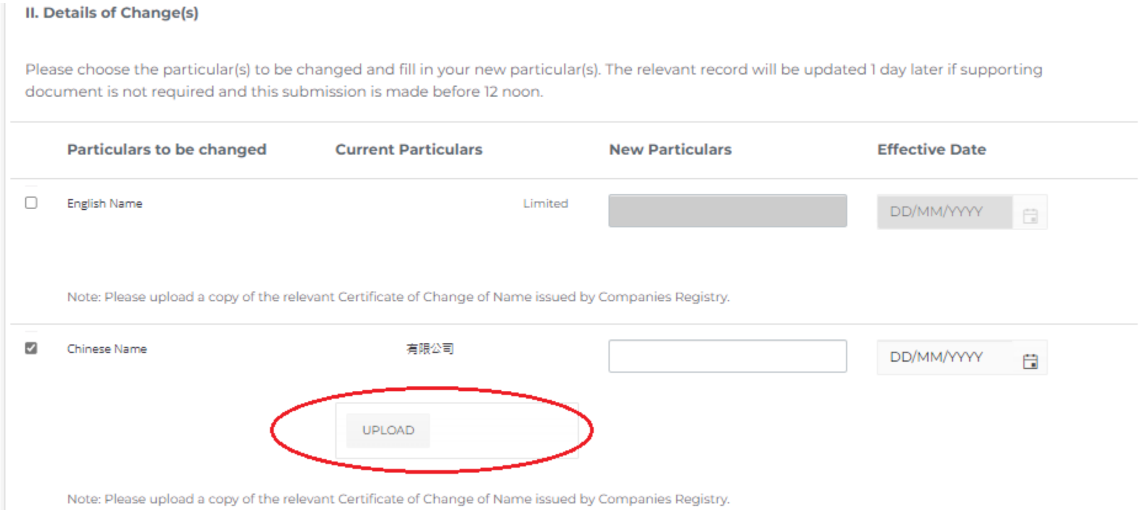
- After logging into the IIC, PAA may click "***Change in Particulars***" to start the change of particulars process.



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



- For change of name or address, please also upload relevant supporting documents as stated in the Note.


II. Details of Change(s)

Please choose the particular(s) to be changed and fill in your new particular(s). The relevant record will be updated 1 day later if supporting document is not required and this submission is made before 12 noon.

Particulars to be changed	Current Particulars	New Particulars	Effective Date
English Name	Limited		DD/MM/YYYY
Chinese Name	有限公司		DD/MM/YYYY

UPLOAD

Note: Please upload a copy of the relevant Certificate of Change of Name issued by Companies Registry.

- By confirming all information is true and accurate, PAA may then click the button "***Submit***" for the IA's handling.

- The PAA will have to select the designated mobile number of the principal (as set by the supervisor account owner) from the drop-down menu for receiving the OTP via SMS. He/ she is required to provide the OTP within 5 minutes. If the OTP was not received, licensee can click the "Re-send" button to request a new OTP.

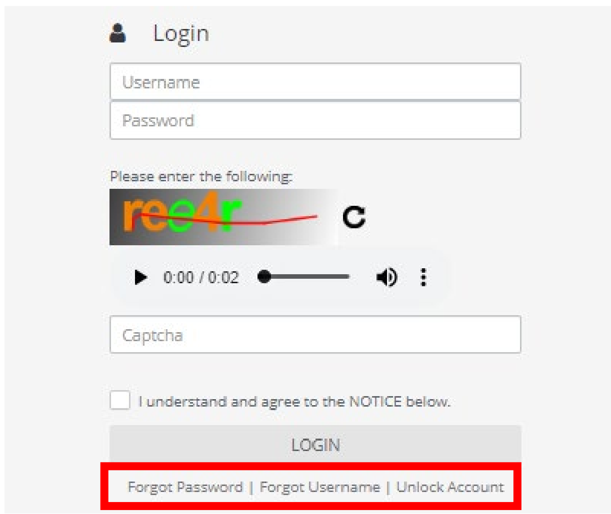
- The relevant record will be updated 1 day later if supporting document is not required and the submission is made before 12 noon.

- 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.

15. Forgot Password, Username and Unlock Account

15.1 Forgot Password

In case that any users, including the PAA, forgot their password, they can reset the password by clicking "***Forgot Password***" button from the login page. An email will be sent to the account owner's registered email address after the account owner's verification.



15.2 Forgot Username

In case that any users, including the PAA, forgot their username, they can obtain the username by clicking "***Forgot Username***" button from the login page. The username will be delivered to the user through their registered email addresses.

15.3 Unlock Account

All IIC accounts, including supervisor, alternative supervisor or administration and individual accounts will be locked after 3 failed login attempts. Account owners can unlock their accounts by clicking "***Unlock Account***" button from the login page. Please note that both "***Forgot Password***" and "***Forgot Password***" buttons cannot be used when the account is locked.

16. Other Technical Issues

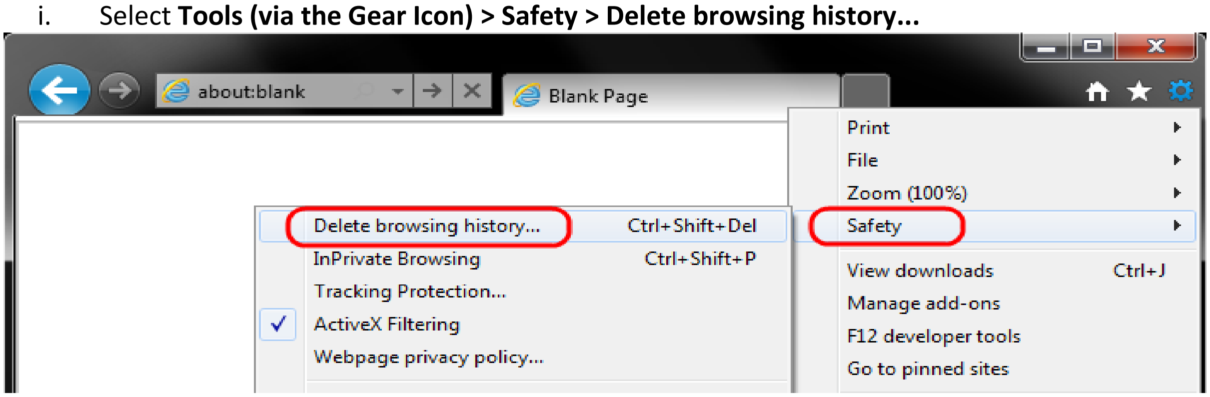
16.1 Webpage Problems

If users encounter 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.

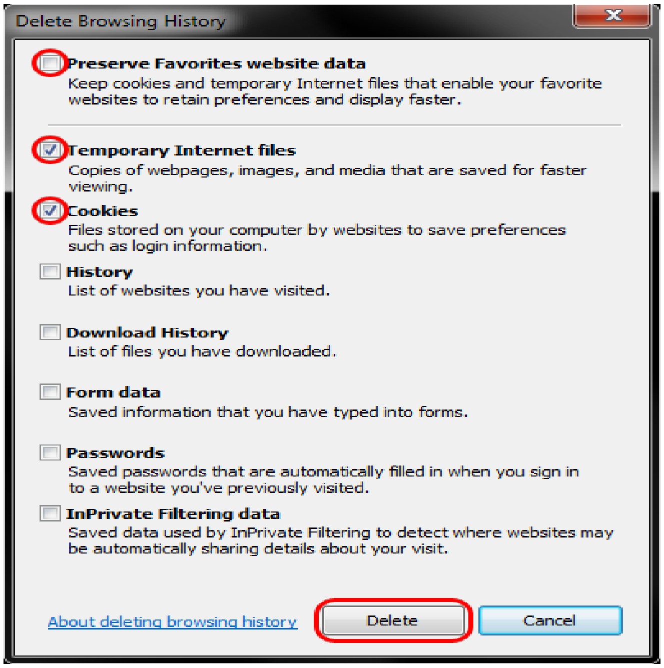
For any other technical issues (e.g. creation of individual account, collection of Account Opening Password, company internet firewall, work e-mail server setting/cannot receive e-mail notifications, etc.), please contact your Principal for further advice.

For IE Users

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

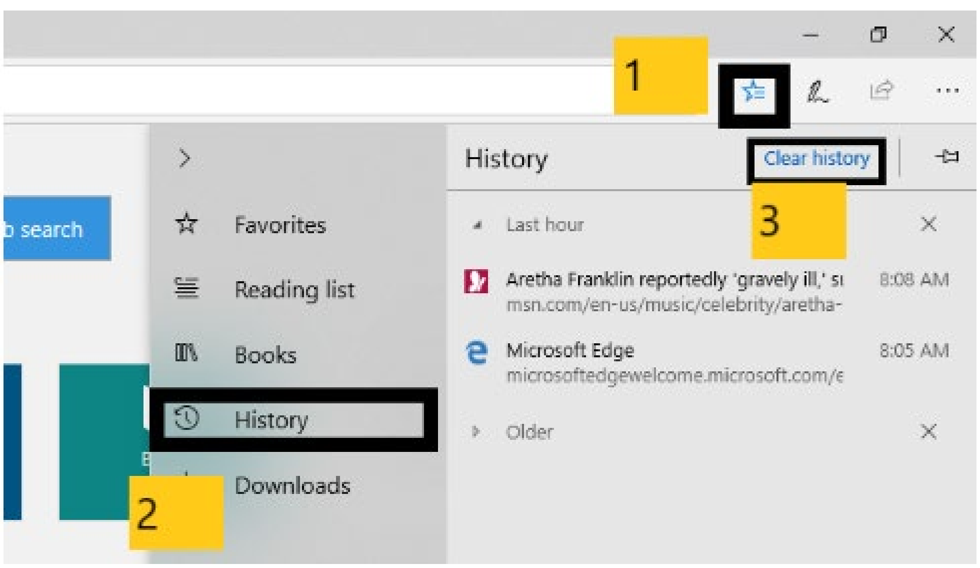


ii. Make sure to uncheck **Preserve Favorites website data** and check both **Temporary Internet Files** and **Cookies** then click **Delete.**

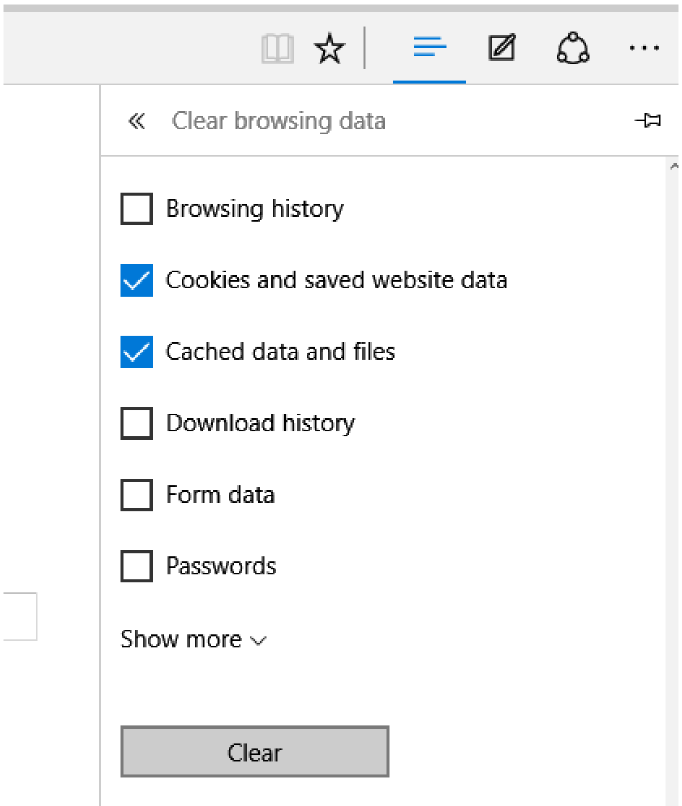


For EDGE Users

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**.



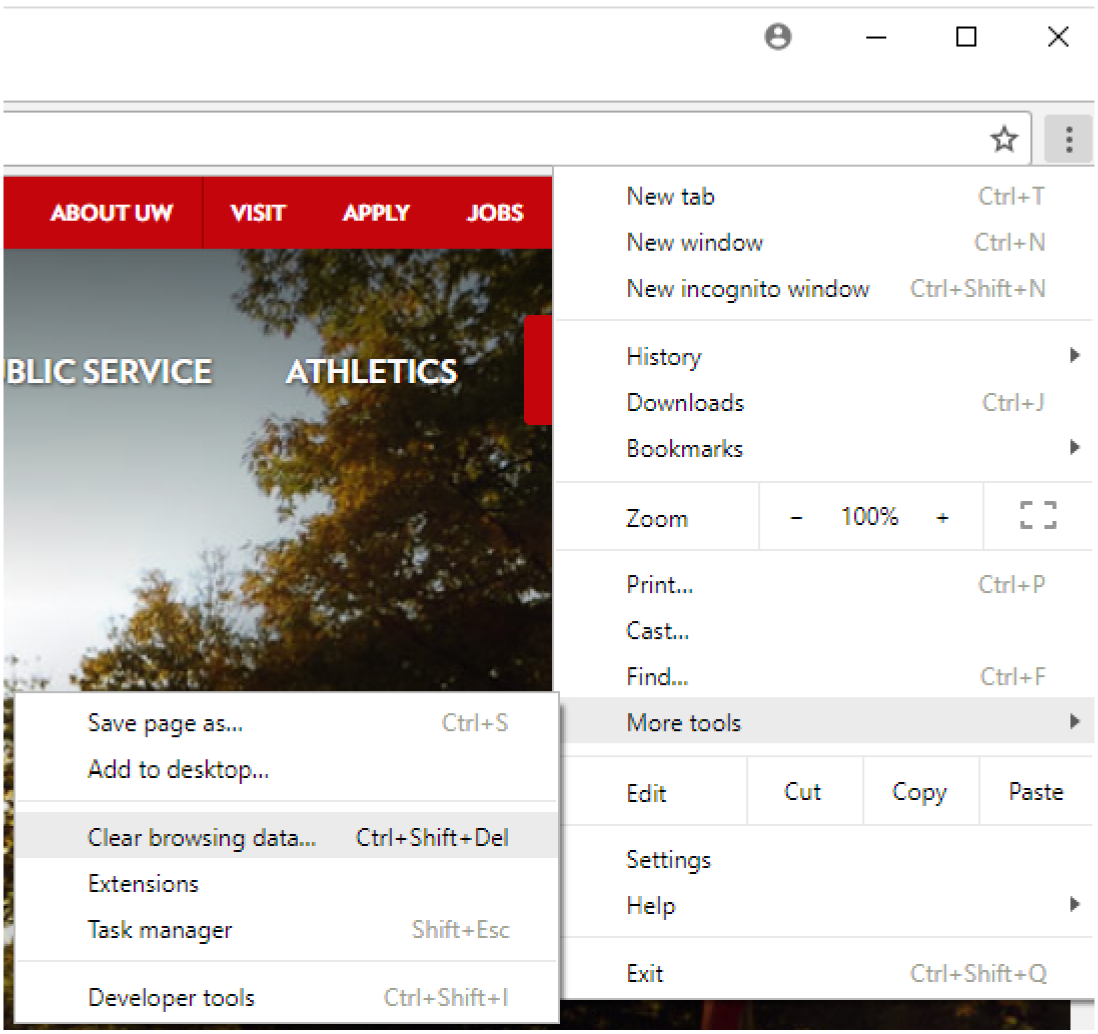
ii. Select "Cookies and saved website data" and "Cached data and files". After the two are marked, click **Clear**.



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.

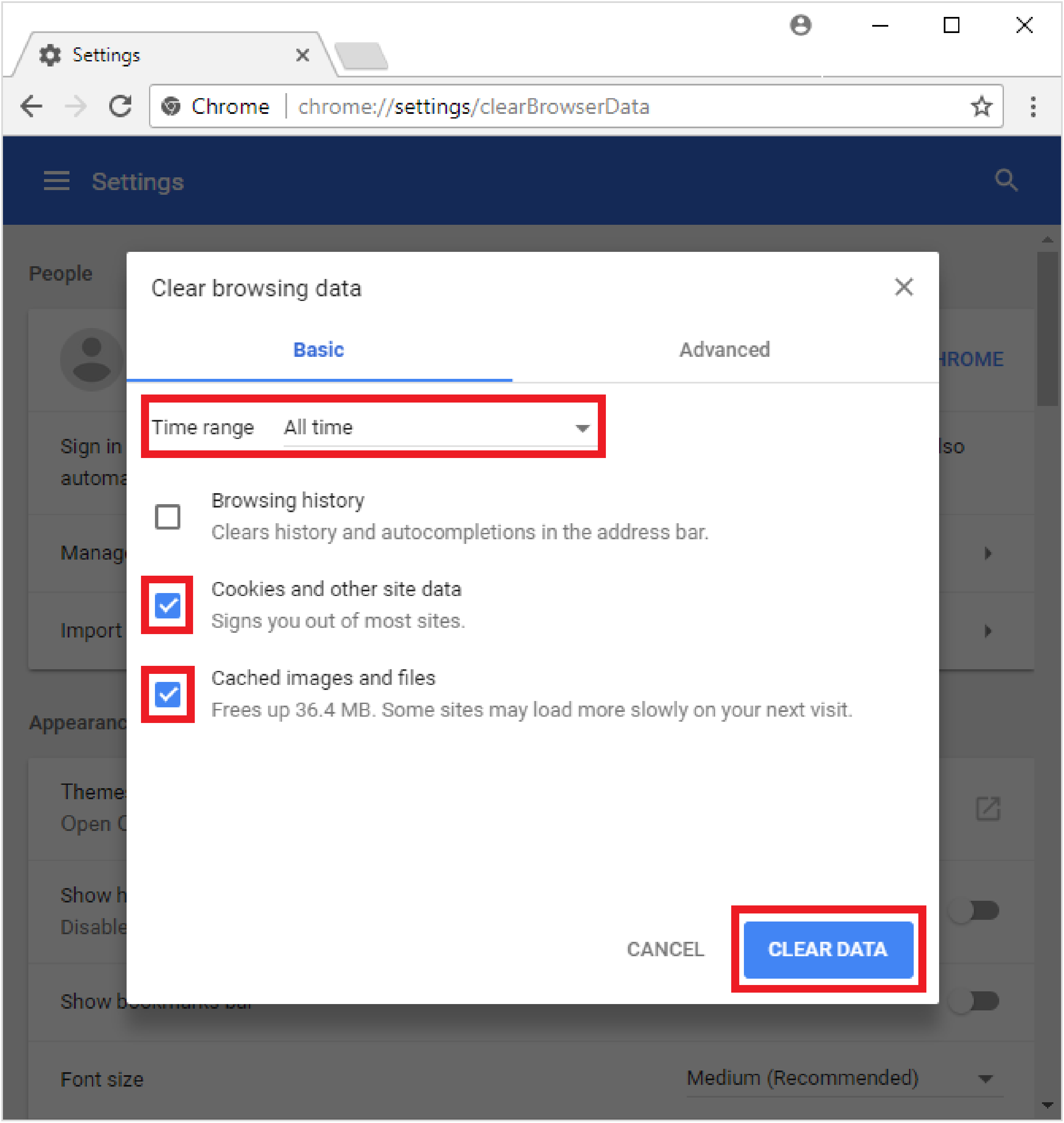
ii. From the menu, select **More tools** > **Clear browsing data...**.



iii. Check the following:

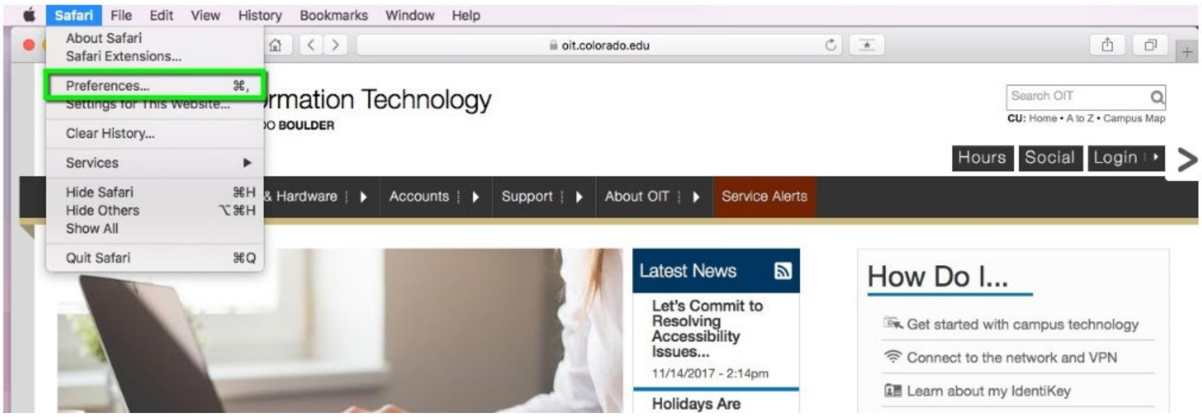
- **Cookies and other site data**
- **Cached images and files**

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.

16.2 Unable to receive Email Notifications

In case notification email (e.g. account activation email, etc.) cannot be received, one of the possible reason may be related to the internal email server setting, which may cause to block emails sent by the IA, or place the emails in the junk/ spam email folder. Please check with your IT team for further details.

16.3 Other Technical Issues

For any other technical issues (e.g. company internet firewall, etc.), please contact your IT team for further advice.

<< END >>