**FORM B**

[para. 2, Sch. 6]

**Particulars Required in Respect of Bodies Corporate which have Become Controllers in Contravention of Section 13B(2) of Insurance Ordinance (Cap. 41)**

Name of Authorized Insurer \*..........................................................................................  
The following are particulars of a body corporate which became a controller within the meaning of section 13B(1) of the Insurance Ordinance (Cap. 41), or which is a partner in †................................................. which became such a controller, of the above-named Insurer on ................................... (date).

1. Name and address of body corporate and address of registered office (where different).

2. Principal business activity.

3. Address of principal place of business established in Hong Kong.

4. Date and place of incorporation.

5. Registered number (if any).

6. Full name and residential address of every director and every controller within the meaning of section 9 of the Insurance Ordinance (Cap. 41).

(Note: In relation to a body corporate which is not an insurer, "controller" (控權人) is to be construed as a reference to a person who would, if the person were a company, be a holding company of that body in accordance with section 13 of the Companies Ordinance (Cap. 622)).

7. Name and address of main bank.

8. Accounts for the last 3 completed financial years and particulars of any reports, resolutions and other circulars issued to shareholders during the last 4 years.

9. Name, place of incorporation and principal activities of all subsidiary companies and of any holding company or ultimate holding company.

(Note: Shares held by a nominee are to be treated as shares held by the nominee’s principal).

‡10. In the case of a non-Hong Kong company as defined by section 2(1) of the Companies Ordinance (Cap. 622)—

(a) name(s) and address(es) of its authorized representative(s) as defined by section 774 of the Companies Ordinance (Cap. 622);

(b) date of the certificate of registration issued under Part XI of the Companies Ordinance (Cap. 32) as in force from time to time before the commencement date\* of section 2 of Schedule 9 to the Companies Ordinance (Cap. 622) or under section 777 of the Companies Ordinance (Cap. 622).

(\* Commencement date: 3 March 2014)

10A. If, in the last 10 years, the above-named body corporate has been—

(a) refused or restricted from the right to carry on any trade, business or profession by any regulatory authority in Hong Kong or elsewhere;

(b) censured, disciplined or publicly criticized by any regulatory authority in Hong Kong or elsewhere; or

(c) the subject of an investigation conducted by any regulatory authority in Hong Kong or elsewhere,

give full particulars.

‡11. Give particulars of circumstances (by reference to section 13B(1) of the Insurance Ordinance (Cap. 41)) by virtue of which the above-named body corporate became a controller within the meaning of section 13B(1) of the Insurance Ordinance (Cap. 41), and attach a shareholding chart of the insurer where applicable.

12. Has any body corporate or insurer with which the above-named body corporate was associated as director or controller (within the meaning of section 9 of the Insurance Ordinance (Cap. 41)) in the last 10 years, in Hong Kong or elsewhere, been compulsorily wound up or made any compromise or arrangement with its creditors or ceased trading in circumstances where its creditors did not receive or have not yet received full settlement of their claims, either while the above-named body corporate was associated with it or within one year after the above-named body corporate ceased to be associated with it? If so, give full particulars.

(Note: In relation to a body corporate which is not an insurer, "controller" (控權人) is to be construed as a reference to a person who would, if the person were a company, be a holding company of that body in accordance with section 13 of the Companies Ordinance (Cap. 622)).

I certify that the above information is complete and correct to the best of my knowledge and belief and I certify that this notice is served with the knowledge and consent of the above-named body corporate.  
  
Date ..........................................

Signed ..........................................................

(‡Director/Secretary of body corporate.)

\* Insert name of Authorized Insurer.  
† Insert name of partnership.  
‡ Delete as necessary.

**Insurance Authority (“IA”)**

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

This PICS is made by the IA to comply with the notification requirements of the Personal Data (Privacy) Ordinance (Cap. 486) (the “**PDPO**”). You are advised to read it carefully as it sets out your rights in relation to your personal data (as defined in the PDPO), the purposes for which the IA may collect and use your personal data and the persons to whom your personal data may be transferred.

**Purpose of Collection**

Your personal data are collected, used and held by the IA for one or more of the following purposes:

1. to administer and enforce the Insurance Ordinance (Cap. 41) (the “**Ordinance**”), regulations, rules, codes and guidelines made or promulgated pursuant to the powers vested in the IA (or its predecessor, the Office of the Commissioner of Insurance) and to carry out its functions as a regulator of the insurance industry, including:
2. to process any application under the Ordinance;
3. to assess and monitor your fitness and properness for appointment or to remain as controllers, directors, key persons in control functions and/or appointed actuaries (as the case may be) under the Ordinance;
4. to investigate complaints and handle enquiries;
5. to display personal information on the public registers (where applicable);

1. to conduct legal proceedings, inspection, investigation and/or other enforcement/disciplinary actions;
2. to co-operate with and assist financial services supervisory authorities of Hong Kong or of any place outside Hong Kong, whenever appropriate, to the extent permitted by the Ordinance;

1. for statistical purposes; and
2. any other purposes as permitted by law.

You are obliged to supply the data where a specified requirement has been imposed upon you under the laws and regulations, including the Ordinance and the Mandatory Provident Fund Schemes Ordinance (Cap. 485). Failure to provide the requested personal data may result in the IA being unable to perform its statutory functions under the Ordinance and/or other relevant laws.

**Transfer/Matching of Personal Data**

In performing the IA’s statutory functions under the relevant laws and regulations, your personal data held by the IA may, for the aforesaid purposes, be disclosed or transferred to third parties, including the relevant industry bodies (e.g. the Insurance Claims Complaints Bureau and The Hong Kong Federation of Insurers), the self-regulatory bodies approved by the IA (i.e. The Hong Kong Confederation of Insurance Brokers, the Professional Insurance Brokers Association and the Insurance Agents Registration Board established under The Hong Kong Federation of Insurers), the relevant professional bodies (e.g. the Law Society of Hong Kong, the Hong Kong Bar Association, the Actuarial Society of Hong Kong and the Hong Kong Institute of Certified Public Accountants), the relevant courts, tribunals and committees and/or other local and/or overseas regulatory/government/judicial bodies as permitted or required under the law, pursuant to any regulatory/supervisory/investigatory assistance arrangements between the IA and other regulators (local/overseas), or persons engaged by the IA to assist it in the performance of its statutory functions.

Personal data may be used by the IA and/or disclosed by the IA to the above organizations/bodies for the purposes of verifying/matching[[1]](#footnote-1) those data.

**Access to Data**

Under the PDPO, you have the right to request access to, and to request the correction of, your personal data held by the IA. If you wish to request access to or correction of your personal data held by the IA, you may do so by filling in a “[Data Access Request Form](http://www.pcpd.org.hk/english/resources_centre/publications/forms/files/Dforme.pdf)”[[2]](#footnote-2) and sending it by post to the Personal Data Privacy Officer of the IA at 19/F., 41 Heung Yip Road, Wong Chuk Hang, Hong Kong. The IA has the right to charge a reasonable fee for processing any data access request.

**Enquiries**

Any enquiries regarding the personal data provided or requests for access to personal data or correction of personal data should be addressed in writing to the Personal Data Privacy Officer of the IA at the above address.

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

**December 2017**

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