**FORM C**

[para. 3, Sch. 2]

**Particulars Required under Section 14(2) of Insurance Ordinance (Cap. 41) in Respect of Person Becoming Controller within Meaning of Section 13A(12) or 13B(1) of the Ordinance, Director Pursuant to Section 13AC(1) of the Ordinance, Key Person in Control Functions within Meaning of Section 13AE(12) of the Ordinance Pursuant to Section 13(AE)(1) of the Ordinance or Authorized Representative of Lloyd’s Pursuant to Section 50B of the Ordinance, or Ceasing to be Controller, Director, Key Person in Control Functions or Authorized Representative**

1. Name of †authorized insurer/ Lloyd’s of which person has—

†(a) become a controller within the meaning of section †13A(12)/ 13B(1) of the Insurance Ordinance (Cap. 41);

†(b) become a director pursuant to section 13AC(1) of the Insurance Ordinance (Cap. 41);

†(c) become a key person in control functions (within the meaning of section 13AE(12) of the Insurance Ordinance (Cap. 41)) pursuant to section 13AE(1) of the Insurance Ordinance (Cap. 41);

†(d) become an authorized representative of Lloyd’s pursuant to section 50B of the Insurance Ordinance (Cap. 41);

†(e) ceased to be a † controller/ director/ key person in control functions/ authorized representative.

2. Name of person.\*  
  
3. Date on which person—

†(a) became a controller within the meaning of section †13A(12)/ 13B(1) of the Insurance Ordinance (Cap. 41);

†(b) became a director pursuant to section 13AC(1) of the Insurance Ordinance (Cap. 41);

†(c) became a key person in control functions (within the meaning of section 13AE(12) of the Insurance Ordinance (Cap. 41)) pursuant to section 13AE(1) of the Insurance Ordinance (Cap. 41);

†(d) became an authorized representative of Lloyd’s pursuant to section 50B of the Insurance Ordinance (Cap. 41);

†(e) ceased to be a † controller/ director/ key person in control functions/ authorized representative.

†4. Confirmation that person has become, or, after becoming, is—

†(a) a controller within the meaning of section †13A(12)/ 13B(1) of the Insurance Ordinance (Cap. 41);

†(b) a director pursuant to section 13AC(1) of the Insurance Ordinance (Cap. 41);

†(c) a key person in control functions (within the meaning of section 13AE(12) of the Insurance Ordinance (Cap. 41)) pursuant to section 13AE(1) of the Insurance Ordinance (Cap. 41);

†(d) an authorized representative of Lloyd’s pursuant to section 50B of the Insurance Ordinance (Cap. 41),

and that there has been no change in any information provided under that section in respect of that person.   
  
†5. Reason for ceasing to be †controller/ director/ key person in control functions/ authorized representative.  
  
Date ..................................................

Signed ......................................................  
†(†Director/Secretary of the Authorized Insurer)/(Chairman of Lloyd’s)

† Delete as necessary.  
\* Insert name of individual, body corporate or partnership.

**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)