

# **User Guide of the Insurance Intermediaries Connect for Principals**

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

***Last update: May 2022***

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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.

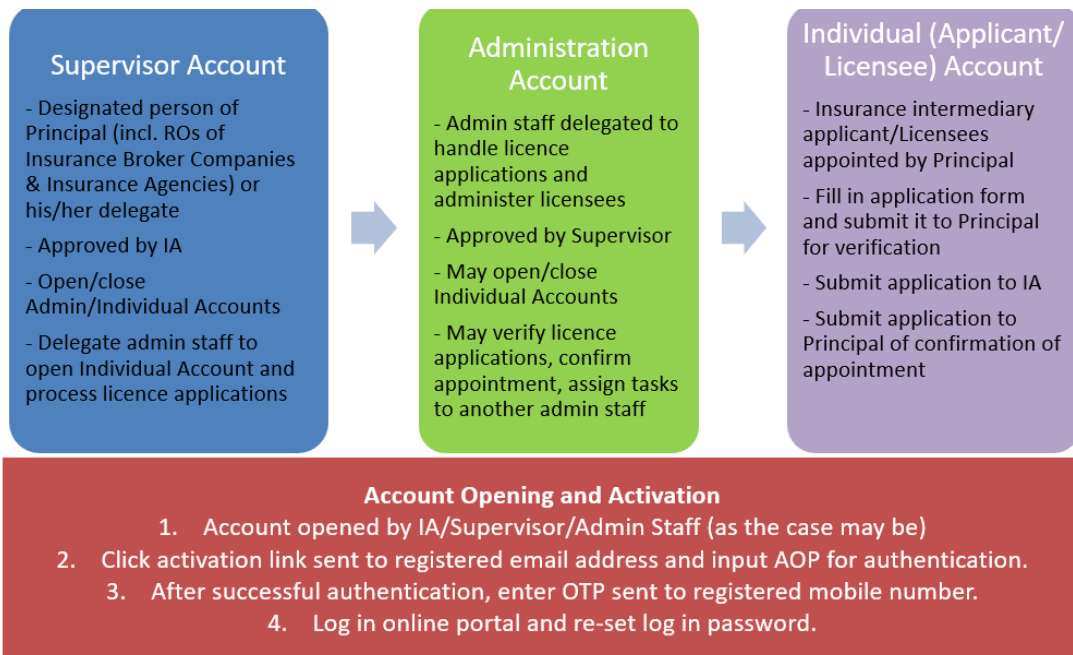
## 1.1 Users of the Insurance Intermediaries Connect

- 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

<b>IIC Account Type</b>	<b>Available Functions</b>
<b>Supervisor Account (Refer to Section 2)</b>	<ul style="list-style-type: none"><li>• Perform all functions available on IIC for a principal.</li></ul>
<b>Alternate Supervisor Account (Refer to Section 3)</b>	<ul style="list-style-type: none"><li>• Created by Supervisor Account (if considered necessary)</li><li>• 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)</li><li>• Served as a back-up of Supervisor Account</li></ul>
<b>Administration Account (Refer to Section 3)</b>	<ul style="list-style-type: none"><li>• Created by Supervisor Account (if considered necessary) with selected rights assigned by Supervisor</li></ul>

	<ul style="list-style-type: none"> <li>○ Create Individual Account for Individual insurance agents, Technical representatives (agent) or Technical representatives (broker)</li> <li>○ Verify licence application submitted by individual applicants</li> <li>○ Confirm appointment of individual applicants</li> <li>● Able to assign tasks from one Administration Account to another Administration Account</li> <li>● Handle the creation of Individual Accounts in bulk upload – account creation</li> <li>● Prefill individual licence application forms in bulk upload – application creation</li> </ul>
<p><b>Individual Account</b>  - Individual insurance agents  - Technical representatives (agent)  - Technical representatives (broker)    <b>(Refer to Section 4 and 5)</b></p>	<ul style="list-style-type: none"> <li>● Created by Supervisor/ Administration staff for individual licence applicant or licensee</li> <li>● Responsible for completing the licence application form and submitting the application to principal for endorsement</li> <li>● Responsible for submission of licence application to IA</li> <li>● Able to view individual’s information (e.g. CPD, SRO past registration record)</li> </ul>



## 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.

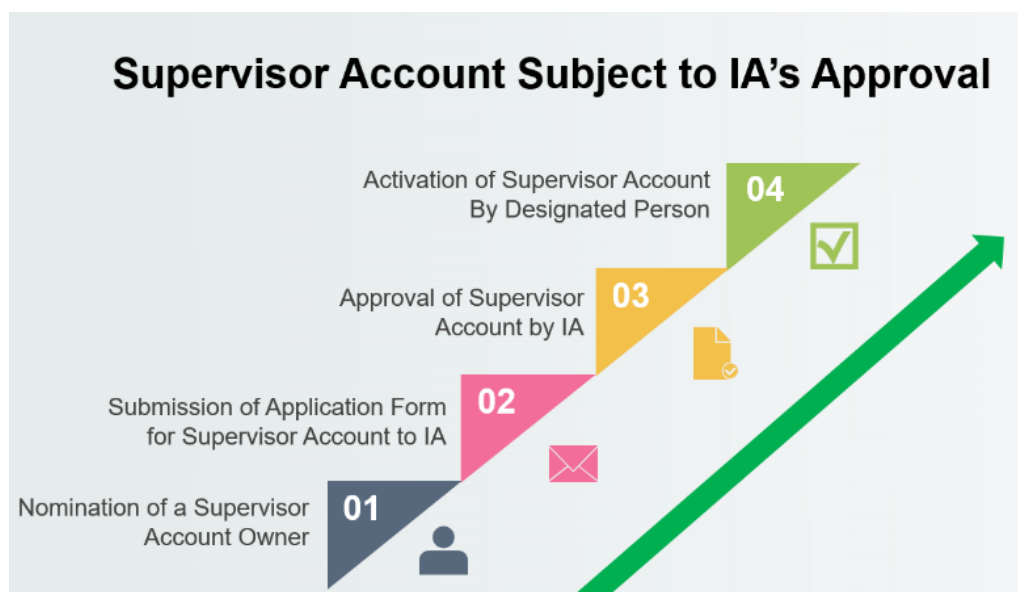
**The principal must register for an IIC Supervisor Account with the IA before the individual applicant is able to submit his/ her licence applications through the IIC.**

This user guide is to provide supervisors, alternative supervisor 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>).



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

Form A2

For Official Use						Date of Receipt	
1 <sup>st</sup> Review		2 <sup>nd</sup> Review		Approved			
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**

<b>Name in English</b>	
<b>Name in Chinese (if any)</b>	
	<input type="checkbox"/> 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.

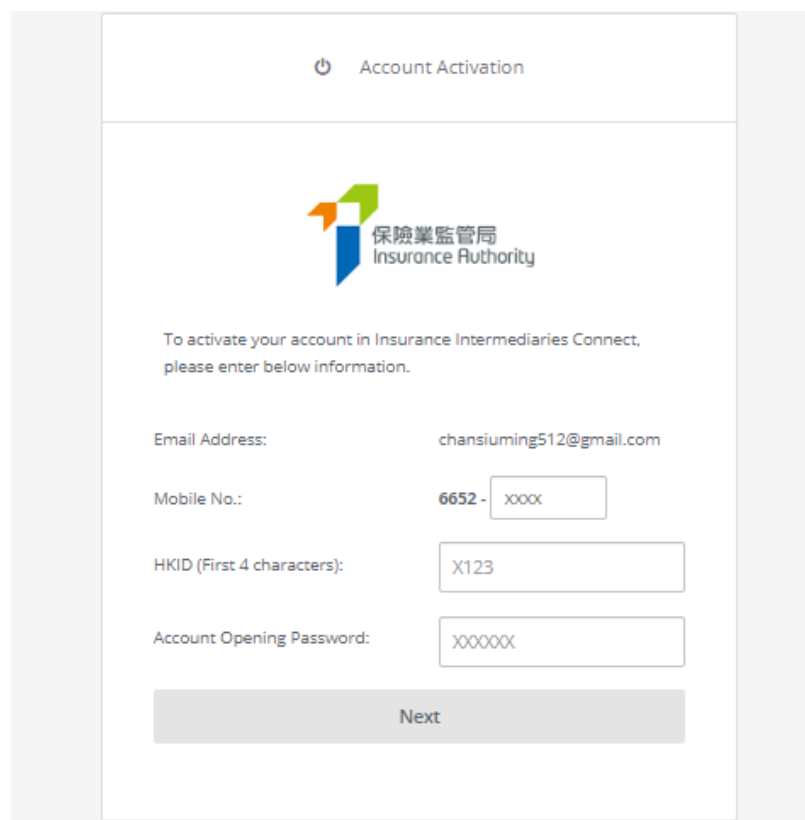
## 2.3 Step 3 – Approval of Supervisor Account

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.



Account Activation

 保險業監管局  
Insurance Authority

To activate your account in Insurance Intermediaries Connect, please enter below information.

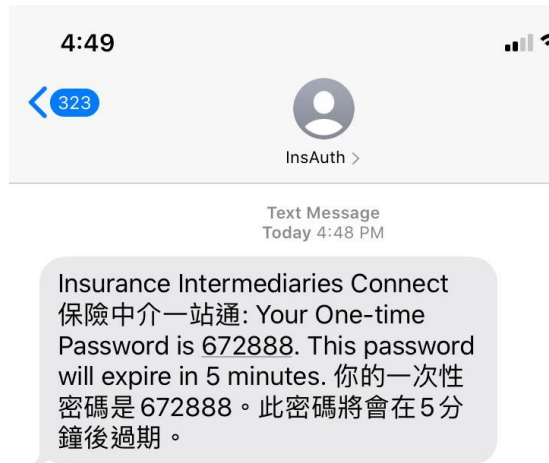
Email Address: chansiuming512@gmail.com

Mobile No.: 6652 -

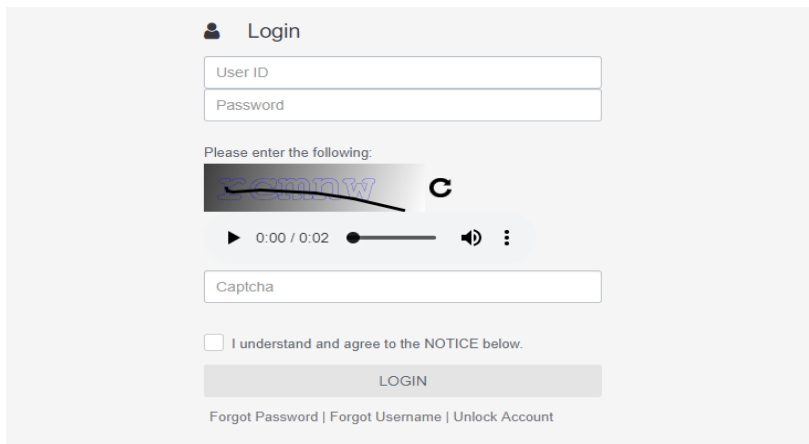
HKID (First 4 characters):

Account Opening Password:

- 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.

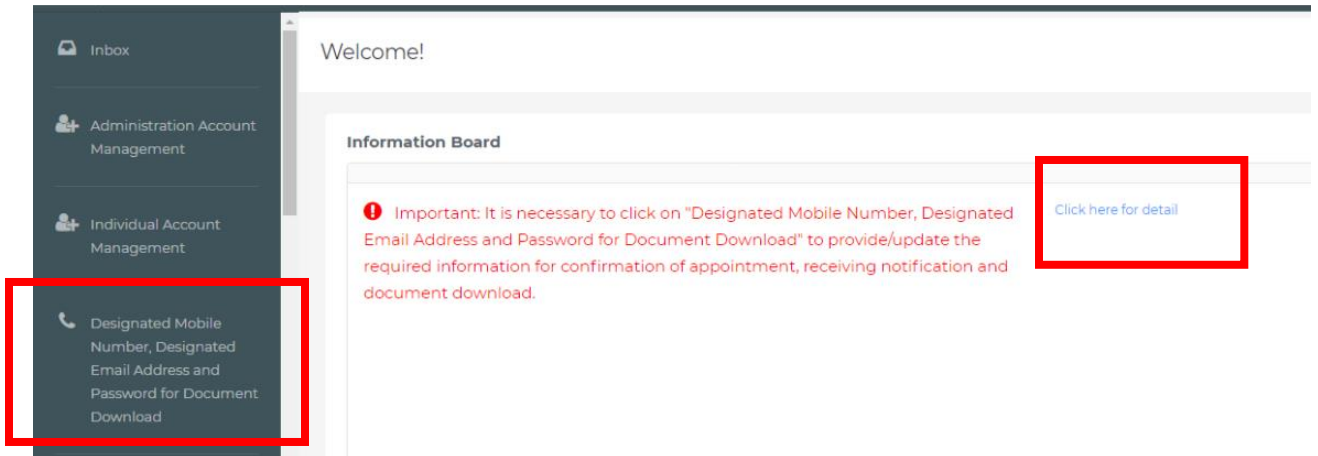


- The supervisor account owner shall enter the self-defined username and new password to complete the account activation process in accordance with the following:
  - The requirements for username:
    - Between 6-20 characters with no space
  - The requirements for password:
    - Minimum of 8 characters
    - 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*”.



The screenshot shows a form for setting user details. The fields are: 'Designated Email Address' (empty), 'Password for document download' (containing 'password'), 'Add Designated Mobile Number' (a green button), 'Designated Mobile Number' (empty), and 'Detail' (containing 'Detail.'). Each of these five elements is enclosed in a red rectangular box.

## 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 11 related to internal email server setting.

Administration Account Management

Please complete all sections in this form.

Company Name	
User Name	
Surname	Chan
First / Other Names	Dai Ming
Department	Risk
Job Title	Manager
Email Address	chandaiming512@hotmail.com

[Resend activation email](#)

## 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**”.

Access Rights

- Assign tasks from one administration account to another administration account
- Create Individual Account
- Bulk Uploads of Account
- Bulk Uploads of Application
- Verify Licence Application
- Confirm Appointment (Licence Application)

(For an authorized insurer, this access right should only be assigned to a Key Person in Intermediary Management Function, Director, or a person authorized by its Board of Directors. For a licensed insurance agency or a licensed broker company, this access right should only be assigned to a Responsible Officer, Director, or a person authorized by its Board of Directors/Sole Proprietor/Partner (where applicable).)

Current Status

Active

Inactive

[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.

Administration Account Creation

Please fill in the information of the administration account user.

Company Name: Galaxy Insurance Company Limited

Surname:

First / Other Names:

Department:

Job Title:

Email Address: email@domain.com  
Notification will be sent to this email address.

Mobile Phone No.:   
One-time passwords will be sent to this mobile phone number.

Account Opening Password: 319392   
Please provide this Accounting Opening Password (AOP) to the user confidentially for account activation.

**Alternate Supervisor** YES ▾  
By assigning the user as an Alternative Supervisor, he / she could act as Supervisor when Supervisor is unavailable.

Approved Access Rights

- Assign tasks from one administration account to another administration account
- Create Individual Account
- Bulk Uploads for Account Creation
- Bulk Uploads for Application Creation
- Verify Licence Application
- Confirm Appointment (Licence Application)

- 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

Account Activation

保險業監管局  
Insurance Authority

To activate your account in Insurance Intermediaries Connect, please enter below information.

Email Address: chandaiming512@hotmail.com

Mobile No.: 6652 - [XXXX]

Account Opening Password: [XXXXXX]

Next

- 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:

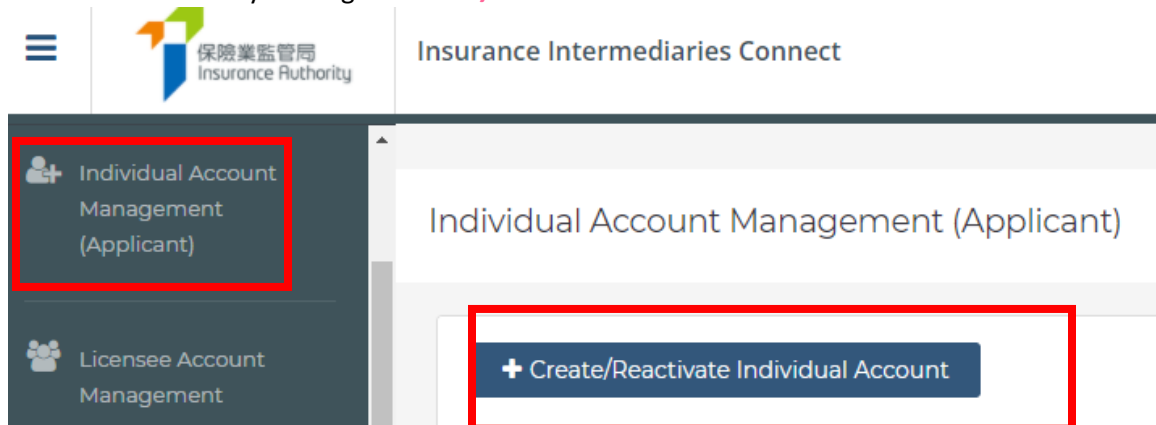
### 4.1 Step 1 - Submission of Application Form for Individual Account

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 be 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 <a href="#">Resend activation email</a>
Mobile Phone No.	67703970
AQP	*****
Date Of Application	15/05/2019
Status	<input type="radio"/> Active <input type="radio"/> 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.

### Individual Account Opening Record

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

Please complete all sections in this form.

Company Name	
Surname	Chan
First / Other Names	Tai Ming
HK Identity Card No.	Y3828237
Date of Birth	01/10/1979
Email Address	chantaimin512@hotmail.com
	<a href="#">Resend activation email</a>
Mobile Phone No.	
Account Opening Password	929476 
Date Of Application	27/03/2020

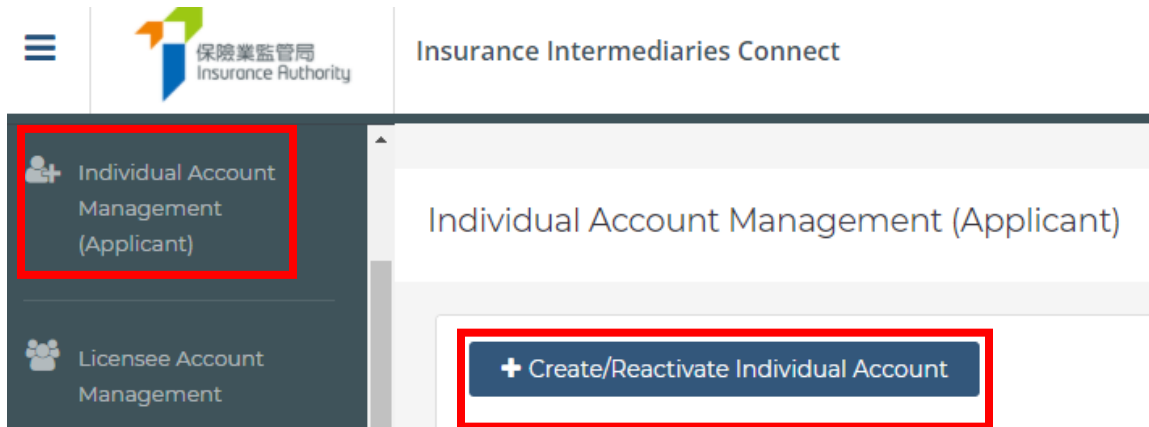
- Please be reminded that the AOP is of high important in the account opening process. The PAA shall pass the designated AOP to individual account owner **after verification of his/her identity** in a secure manner to avoid any misuse/ unauthorized use of the account. It is the principal's responsibility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

### 4.3 Step 2 – 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.

Surname

First / Other Names

Licence No. (if any)   
To reactivate an existing account, please input both Licence No and HKID No.

HK Identity Card No.

Date of Birth

Email Address   
Notification will be sent to this email address.

Mobile Phone No.   
One-time passwords will be sent to this mobile phone number.

Account Opening Password    
Please provide this Account Opening Password (AOP) to the user confidentially for account activation. For account reactivation, AOP is not required.

Date of Application

Administration Account responsible for Verification of Licence Application

## 5. Reviewing Individual Application

### Individual Licence Application Workflow

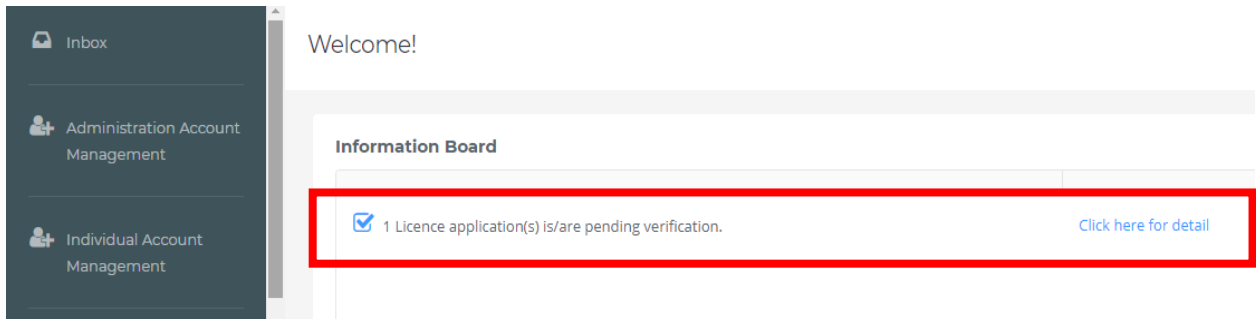


#### 5.1 Step 1 – Input by the Individual Account Owner

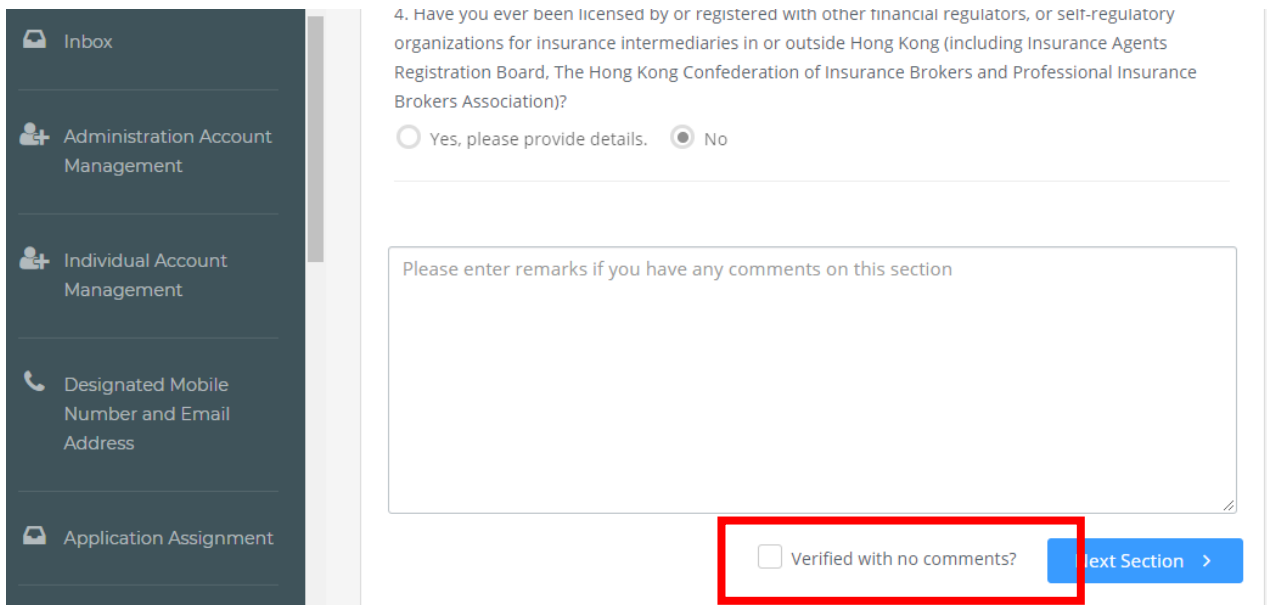
- Individual account owner shall fill in the application form and upload relevant supporting documents through the IIC. He/ she shall then submit the application form to the principal through the IIC for verification with the input of OTP. Please refer to section 3 of Individual Account Owner’s User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

Status: Pending Verification

Application form - Individual Insurance Agent Licence

IV. Insurance Intermediaries Qualifying Examination (IIQE)

(I) Principles & Practice of Insurance

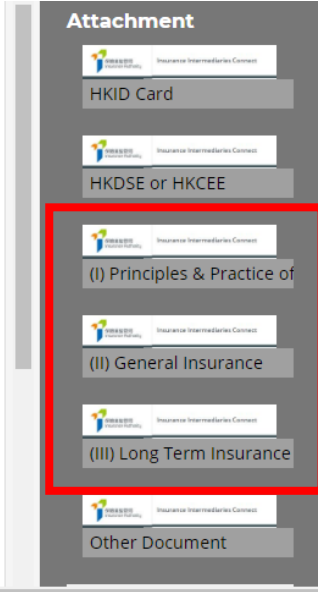
- Passed
- Exempt
- Grandfathered

You are deemed to have passed an IIQE Paper if you achieve an examination result of 70% or above.

If you have ceased to be engaged in insurance-related work in the insurance industry in Hong Kong for two consecutive years, or if you have passed the IIQE Paper(s) but have not been engaged in insurance-related work in the insurance industry in Hong Kong for any two consecutive years, your previous IIQE results will

(II) General Insurance

- Passed
- Exempt
- Grandfathered



- 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.

Status: Pending Verification

Application form - Individual Insurance Agent Licence

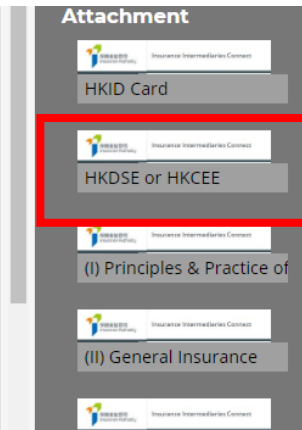
V. Education/ Professional Qualifications

Do you possess any one of the following qualifications?

- Yes
- No

If "Yes", please indicate the qualification(s) your possess.

- Hong Kong Diploma of Secondary Education Examination ("HKDSE")  
Level 2 or above in 5 subjects, including Chinese or English, and Mathematics



- 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.

**Status: Pending Verification**

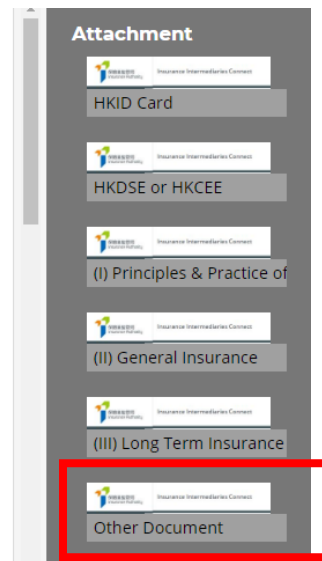
**Application form - Individual Insurance Agent Licence**

**VI. Character, Financial Status, Disciplinary Action & Investigation**

If you answer "Yes" to any of the questions below, please provide details of the relevant case/matter in the box generated, including date of the relevant event, name of regulatory/criminal investigatory/professional body (if applicable), description of the case/matter, your role/involvement in the case/matter, and outcome and current status of the case/matter.

1. Have you ever failed to comply with any requirements while carrying  Yes  No on any regulated activities?

2. Have you ever been found by a court or other competent authority in Hong Kong or elsewhere to be liable for fraud, dishonesty or misfeasance?  Yes  No



- 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.

**VII. Appointing Principal(s) (i.e. Authorized Insurer, Licensed Insurance Agency or Licensed Broker Company as applicable)**

Name of Appointing Principal  Appointment principal 1

**Line of Business\***

\*Please choose the relevant line of business which the Appointing Principal has authorized/will authorize you to carry on.

**Attachment**

- HKID Card
- HKDSE or HKCEE
- (I) Principles & Practice of
- (II) General Insurance

- 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.

**Supporting documents**

Please upload supporting documents. Please ensure the documents provided by you to support your application are correct and complete.

**HKID Card**

Only support JPG, JPEG, PNG, PDF file, maximum allowed file size is 2MB.

**(I) Principles & Practice of Insurance Result**

Only support JPG, JPEG, PNG, PDF file, maximum allowed file size is 2MB.

**(II) General Insurance Result**

**Attachment**

- HKID Card
- HKDSE or HKCEE
- (I) Principles & Practice of Insu
- (II) General Insurance
- (III) Long Term Insurance



- 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.

Verify Application

\*The Qualification must be granted by a degree-awarding higher education institution established or registered under an ordinance registered or exempted under the Non-local Higher and Professional Education (Regulation) Ordinance (Cap. 493); in the subject of i business, risk management or other disciplines considered acceptable by the IA.

Please tick this box if you are eligible to be exempted from the education requirements. (If you were a specified person immediately before the commencement been granted a licence; or was a specified person at any time within the two-year period before the commencement date, and that you have not ceased to enga work in the insurance industry in Hong Kong for two consecutive years or more and have submitted the application for the licence within the transitional period for education requirements , please click the button below :

Information on Exemptions for Education Requirements

Please enter remarks if you have any comments on this section

< Previous  Verified with no comments?

- Click “Finish” to complete the verification.

IA. Please complete a "Data Access Request Form" (Which is available at the IA's website) and send it by post to the Data Privacy Officer of the IA at 19/F, 41 Heung Yip Road, Wong Chuk Hang, Hong Kong for processing of your request. The IA has the right to charge a reasonable fee for processing any such request.

Enquiries

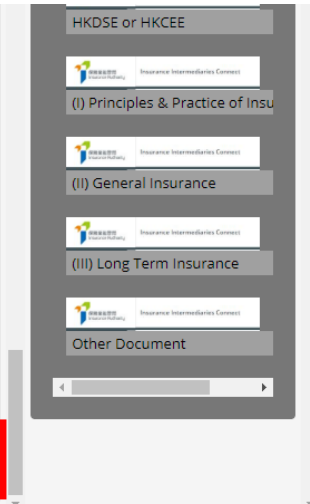
- Any enquiries regarding the personal data collected, used or transferred by the IA, or requests for access to and/or correction of, your personal data held by the IA should be made in writing to:  
The Data Privacy Officer  
Insurance Authority  
19/F, 41 Heung Yip Road  
Wong Chuk Hang  
Hong Kong
- A copy of the IA's Privacy Policy is made available at the IA's website.

<sup>1</sup>"matching procedure" is defined in section 2 of the PDPO.

I understand and agree to the declaration above.

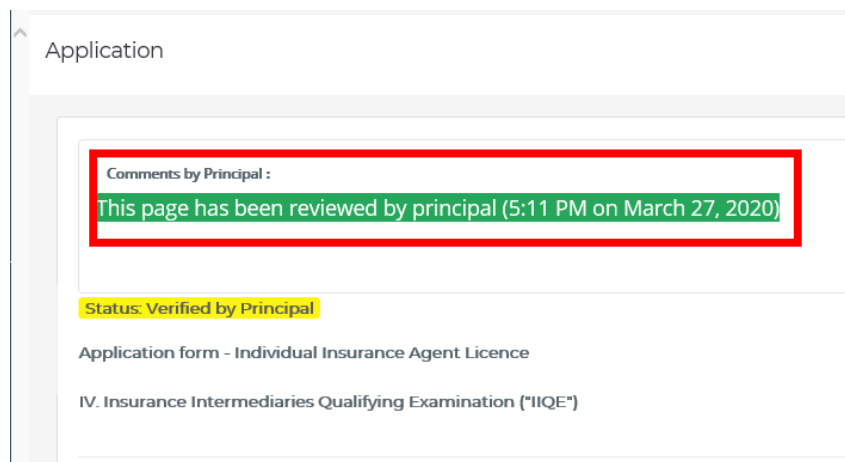
< Previous

Finish >

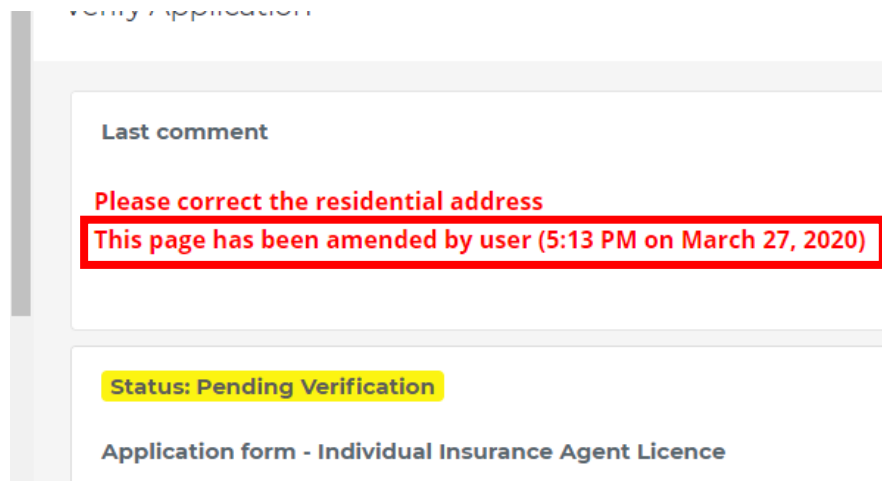


- **Re-verification of Individual Application**

- 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]).**”




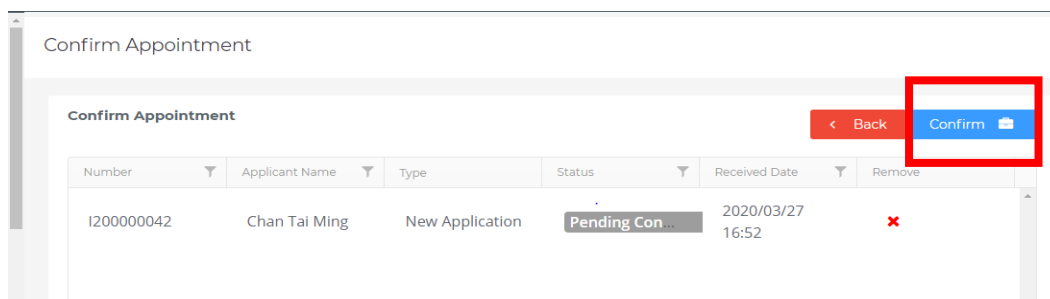
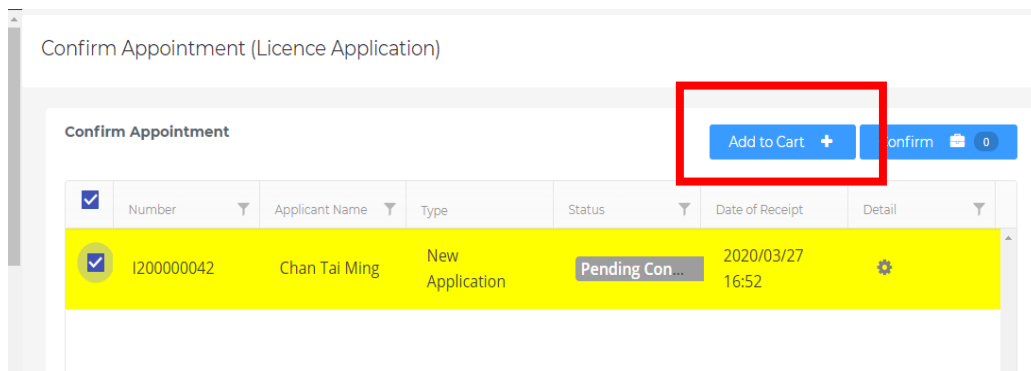
- If the individual account owner has amended the application information, the “*Last comment*” box will be shown as “**This page has been amended by user ([Time] on [Date]).**”



- 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 Form(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

Phone No

Position and Email

**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*”.

Individual Account Management

Please complete all sections in this form

Company Name

Surname

First / Other Names

HK Identity Card No.

Date of Birth

Email Address

Mobile Phone No.

Date Of Application

Current Status

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.

Application Assignment  
- New Licence  
Application

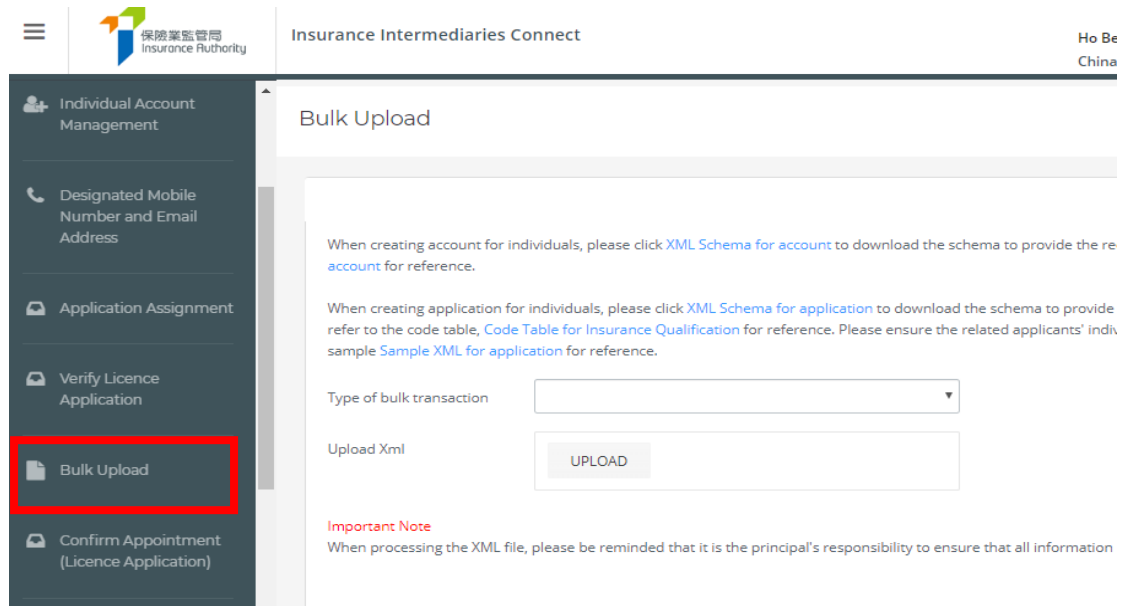
- If principal would like to reassign a batch of new licence application cases/new applicant accounts under a specific Case Handler to another administration account user, PAA (please refer to Section 3.1 for details of access right setting) can use “*Case Handler Management*” for the reassignment.

Case Handler  
Management

## 6. Bulk Upload

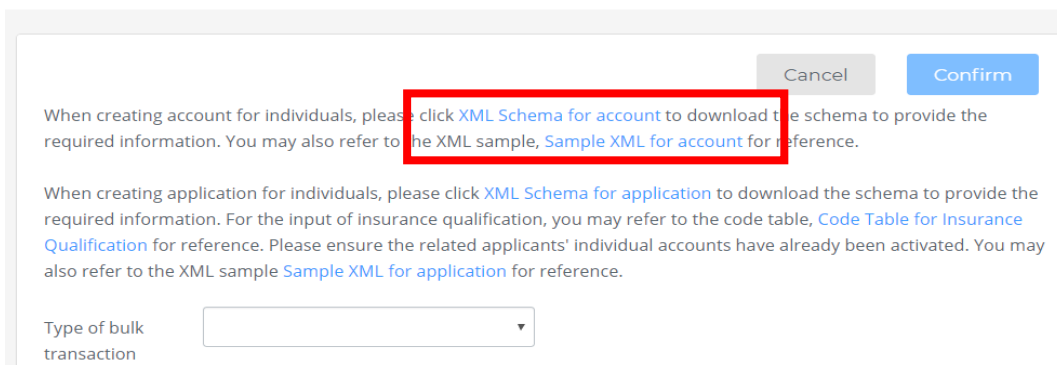
The bulk upload in the IIC is divided into two phases - account creation and application creation. For bulk upload of application creation, the related applicants must have activated their individual accounts.

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".

## Bulk Upload

When creating account for individuals, please click [XML Schema for account](#) to download the schema to provide required information. You may also refer to the XML sample, [Sample XML for account](#) for reference.

When creating application for individuals, please click [XML Schema for application](#) to download the schema to provide required information. For the input of insurance qualification, you may refer to the code table, [Code Table for Insurance Qualification](#) for reference. Please ensure the related applicants' individual accounts have already been activated. You may also refer to the XML sample [Sample XML for application](#) for reference.

Type of bulk transaction: 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.

## Individual Account Management

Licence No.	Name of Individual	Email	Status	Detail
Nil	Agent Ng	.	Active	⚙️
HA1320	Chan Siu Ming	chansiuming512@gmail.com	Active	⚙️
Nil	Chan Tai Man	chandaiming512@hotmail.com	Pending Activation	⚙️



- (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.

The screenshot shows a web interface for uploading XML files. At the top, there is a dropdown menu for 'Type of bulk transaction' set to 'Account'. Below it is an 'Upload Xml' section with an 'UPLOAD' button and a 'Done' status indicator. A file named 'Application.xml' (4.26 KB) is shown with a red error icon. Below the upload area is an 'Important Note' section. At the bottom, a red-bordered box contains the following error message:

**Upload Fail:**  
Line No: 0- cvc-elt.1: Cannot find the declaration of element 'IISBulkApplications'.

## 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”.

Bulk Upload

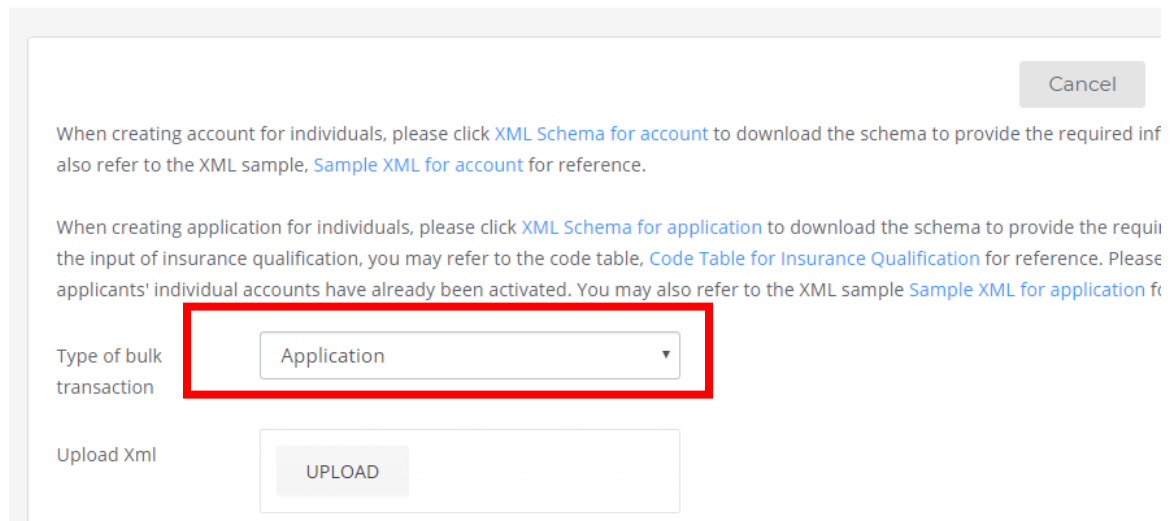
The screenshot shows a confirmation dialog box with 'Cancel' and 'Confirm' buttons. The text inside the dialog reads:

When creating account for individuals, please click [XML Schema for account](#) to download the schema to provide the required information. You may also refer to the XML sample, [Sample XML for account](#) for reference.

When creating application for individuals, please click [XML Schema for application](#) to download the schema to provide the required information. For the input of insurance qualification, please refer to the specific code provided in the [Code Table for Insurance Qualification](#) for reference. Please ensure the related applicants' individual accounts have already been activated. You may also refer to the XML sample [Sample XML for application](#) for reference.

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

## Bulk Upload



Cancel

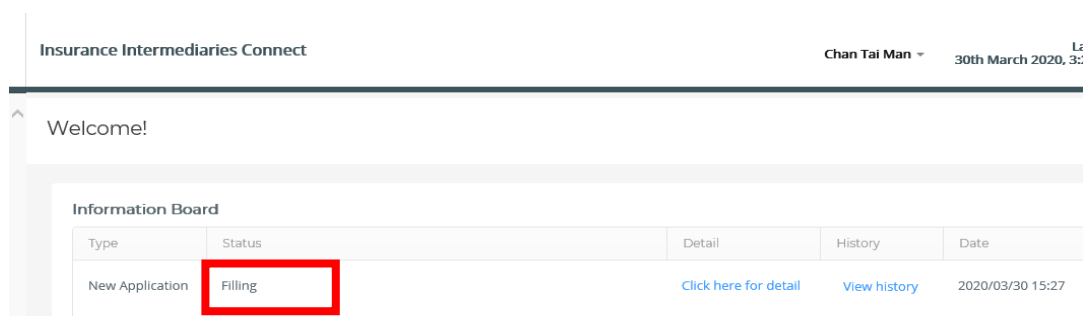
When creating account for individuals, please click [XML Schema for account](#) to download the schema to provide the required information. You may also refer to the XML sample, [Sample XML for account](#) for reference.

When creating application for individuals, please click [XML Schema for application](#) to download the schema to provide the required input of insurance qualification, you may refer to the code table, [Code Table for Insurance Qualification](#) for reference. Please ensure that all applicants' individual accounts have already been activated. You may also refer to the XML sample [Sample XML for application](#) for reference.

Type of bulk transaction:

Upload Xml:

- (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.



Insurance Intermediaries Connect

Chan Tai Man 30th March 2020, 3:00 PM

Welcome!

Type	Status	Detail	History	Date
New Application	Filling	<a href="#">Click here for detail</a>	<a href="#">View history</a>	2020/03/30 15:27

- (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

PAA's 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.

The screenshot displays the 'Administration Account Management' interface. The sidebar on the left contains the following menu items: 'Inbox', 'Administration Account Management' (highlighted with a red box), 'Individual Account Management', and 'Designated Mobile Number and Email Address'. The main content area features a '+ Create Administration Account' button and a table with the following columns: Name, Department, Job Title, Email, Status, and Detail. The table contains one entry: '333 Althernate' with the job title 'manager' and a status of 'Active' (indicated by a green box). A gear icon in the 'Detail' column of this entry is highlighted with a red box. The top of the page includes the Insurance Authority logo, the text 'Insurance Intermediaries Connect', the user name 'Ho Ben', and the last login information: 'Last Login 2nd April 2020, 1:04:08 pm'.

Access Rights

- Assign tasks from one administration account to another administration account
- Create Individual Account
- Bulk Uploads of Account
- Bulk Uploads of Application
- Verify Licence Application
- Confirm Appointment (Licence Application)  
(For an authorized insurer, this access right should only be assigned to a Key Person in Intermediary Management Function, Director, or a person authorized by its Board of Directors. For a licensed insurance agency or a licensed broker company, this access right should only be assigned to a Responsible Officer, Director, or a person authorized by its Board of Directors/Sole Proprietor/Partner (where applicable).)
- Termination of Appointment  
(For an authorized insurer, this access right should only be assigned to a Key Person in Intermediary Management Function, Director, or a person authorized by its Board of Directors. For a licensed insurance agency or a licensed broker company, this access right should only be assigned to a Responsible Officer, Director, or a person authorized by its Board of Directors/Sole Proprietor/Partner (where applicable).)

Current Status

- Active
- Inactive

## 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.

Insurance Intermediaries Connect

Ho Ben


### Termination of Appointment


Please choose the licensee and click "Detail" to submit the notification of termination clicking the icon ▼ next to the labels (Name of Licensee/Licence No./Status).

Name of Licensee ▼	Licence No. ▼	Status
Chan Siu Ming	HA1320	Active

## Termination of Appointment

Please choose the licensee and click "Detail" to submit the notification of termination of appointment. You may use the filter by clicking the icon ▼ next to the labels (Name of Licensee/Licence No./Status).

Name of Licensee ▼	Licence No. ▼	Status ▼	Detail
Chan Siu Ming	HA1320	Active	

- 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.

#### Notification of Termination of Appointment

[Specified under section 64R of the Insurance Ordinance (Cap. 41)]

Please complete all sections in this form.

#### I. Particulars of the Licensee

Licence No. HA1320

Type of Licence Individual Insurance Agent

Termination Date

Full Name in English Chan Siu Ming

#### Detail of Termination of Appointment

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 with Notification.

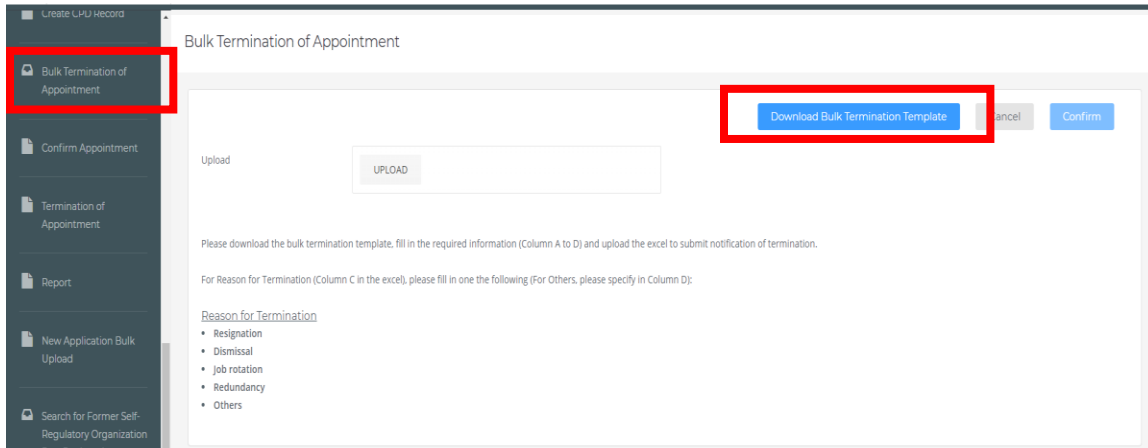
### Important Notes:

- 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 licensed insurance broker company (collectively, "Appointing Principal") terminates the appointment of a licensed insurance agency, a licensed individual insurance agent, a licensed technical representative (agent), a licensed technical representative (broker) or a responsible officer (as the case may be), the Appointing Principal must notify the IA of the termination.

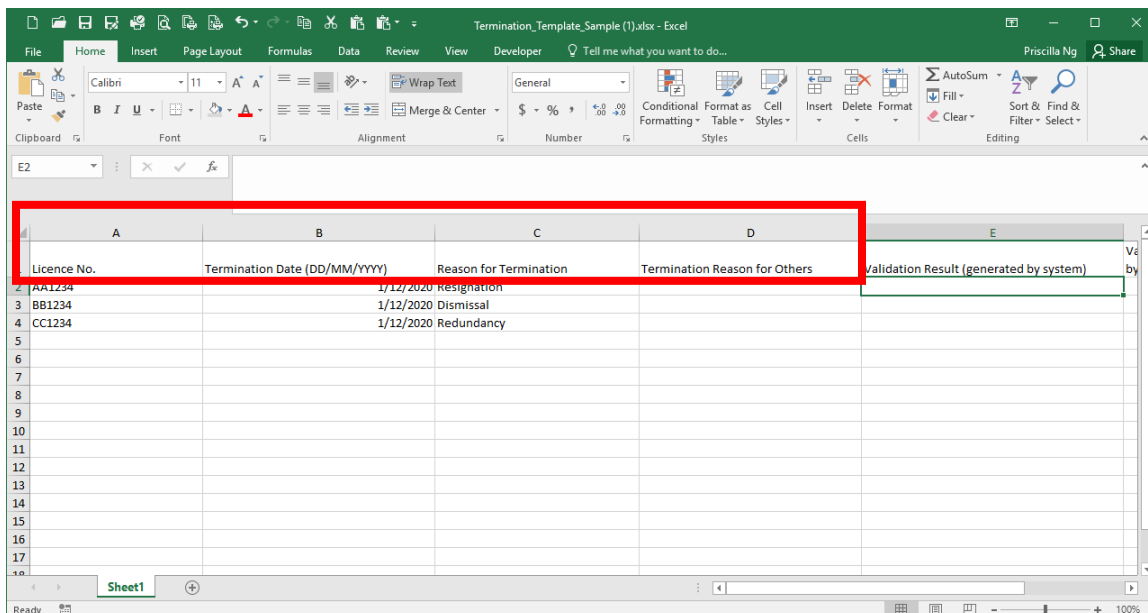
- The PAA will also be required to make relevant declarations before submission of the notification.
- The PAA will have to select the company designated mobile number (set by the supervisor account owner) from the drop down menu for receiving the OTP. Once the OTP is inputted into the system, the notification 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

- 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.

Bulk Termination of Appointment

The screenshot shows the 'Bulk Termination of Appointment' interface. At the top right, there are buttons for 'Download Bulk Termination Template', 'Cancel', and 'Confirm'. Below these is an 'Upload' section with a text input field and an 'UPLOAD' button highlighted with a red box. Below the input field, there is instructional text: 'Please download the bulk termination template, fill in the required information (Column A to D) and upload the excel to submit notification of termination. For Reason for Termination (Column C in the excel), please fill in one of the following (For Others, please specify in Column D):'. A list of reasons for termination is provided: Resignation, Dismissal, Job rotation, Redundancy, and Others.

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

Bulk Termination of Appointment

The screenshot shows the 'Bulk Termination of Appointment' interface after the file has been uploaded. The 'UPLOAD' button is now disabled and shows a checkmark and the word 'Done'. Below the upload area, a file named 'Termination\_Template\_Sample (1).xlsx' (10.12 KB) is listed. A 'Validate' button is highlighted with a red box. The 'Download Bulk Termination Template', 'Cancel', and 'Confirm' buttons remain at the top right.

- 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).

Bulk Termination of Appointment

The screenshot shows the 'Bulk Termination of Appointment' interface after validation. The 'UPLOAD' button is disabled and shows a checkmark and 'Done'. The file 'Termination\_Template\_Sample (1).xlsx' (10.12 KB) is still listed. A link labeled 'Click here to view validation result' is highlighted with a red box. The 'Download Bulk Termination Template', 'Cancel', and 'Confirm' buttons remain at the top right.



- 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.

	A	B	C	D	E	F
1	Licence No.	Termination Date (DD/MM/YYYY)	Reason for Termination	Termination Reason for Others	Validation Result (generated by system)	Validation Result Remark (generated by system)
2	HA1360	17/12/2020	Others	No business need	OK	
3						
4						

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

	A	B	C	D	E	F
1	Licence No.	Termination Date (DD/MM/YYYY)	Reason for Termination	Termination Reason for Others	Validation Result (generated by system)	Validation Result Remark (generated by system)
2	HA1355	23/12/2020	Others	UAT TestingUAT TestingUAT TestingUAT Testing	FAIL	Termination Date cannot be later than today. Please input Termination Reason within 1000 characters
3						
4						
5						

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

Bulk Termination of Appointment

Download Bulk Termination Template
Cancel
Confirm

Upload

UPLOAD Done

Termination\_Template\_Sample (1).xlsx  
10.00 KB

X

[Click here to view validation result](#)

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

**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.

**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 licensed insurance broker company (collectively, “Appointing Principal”) terminates the appointment of a licensed insurance agency, a licensed individual insurance agent, a licensed technical representative (agent), a licensed technical representative (broker) or a responsible officer (as the case may be), the Appointing Principal must notify the IA of the termination.

**Licensed Insurance Agency/Individual Insurance Agent/Technical Representative (Agent)/Technical Representative (Broker)**

- Under section 64ZH/section 64ZJ of the IO, if a licensed insurance agency/individual insurance agent ceases to be appointed by at least one authorized insurer, the licence of the agency/agent is suspended on and from the date on which the cessation takes effect, and where the suspension continues for 180 days, the licence will be **revoked**.
- Under section 64ZJ of the IO, if a licensed technical representative (agent) ceases to be appointed by a licensed insurance agency, the licence of the technical representative (agent) is suspended on and from the date on which the cessation takes effect, and where the suspension continues for 180 days, the licence will be **revoked**.
- Under section 64ZK of the IO, if a licensed technical representative (broker) ceases to be appointed by at least one licensed insurance broker company, the licence of the technical representative (broker) is suspended on and from the date on which the cessation takes effect, and where the suspension continues for 180 days, the licence will be **revoked**.

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

- You may download and view the PICS [here](#).

I understand and agree to the declaration above.

[< Previous](#) [Submit >](#)

Copyright © 2020 Insurance Authority. All rights reserved. This site is best viewed with Chrome, Firefox, IE 11.0 or above.

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

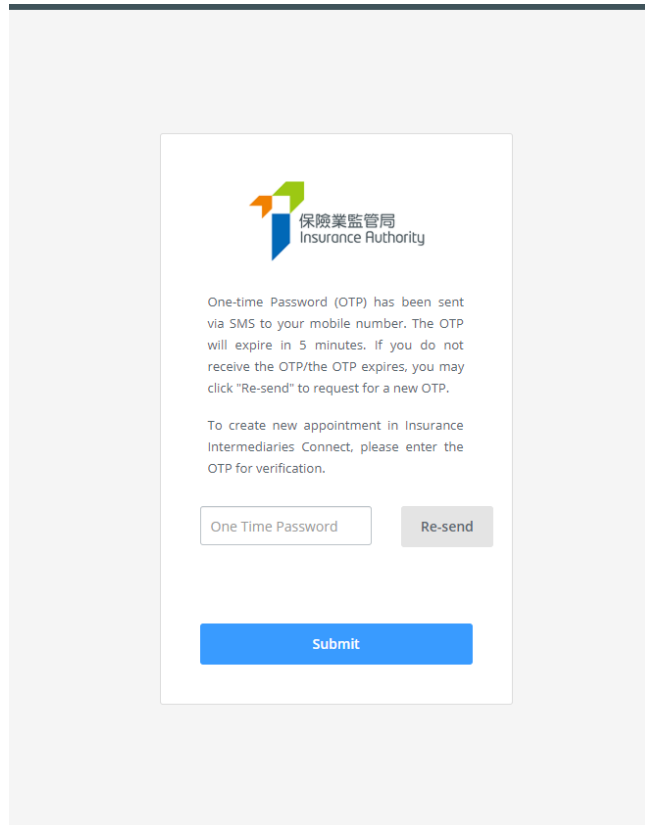
**保險業監管局  
Insurance Authority**

To terminate appointment(s) in Insurance Intermediaries Connect, please select company mobile number.

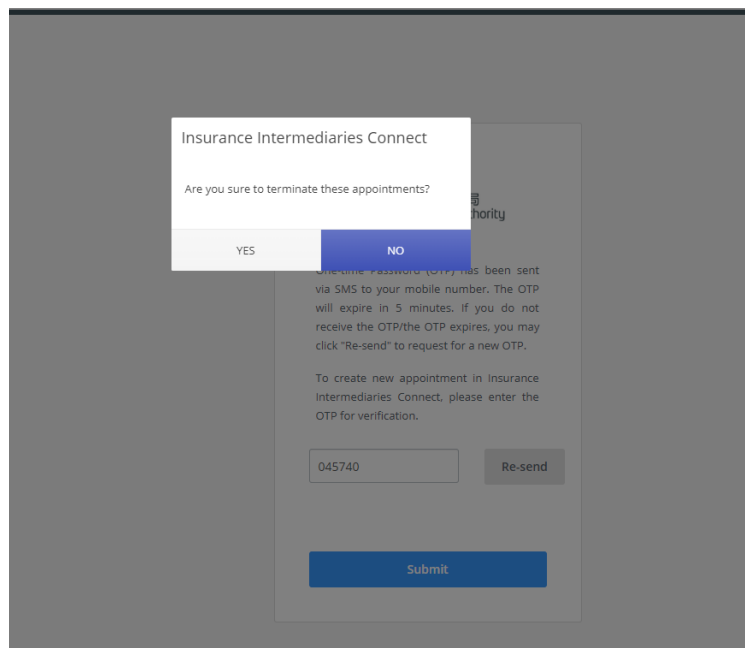
Mobile No.:

[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.

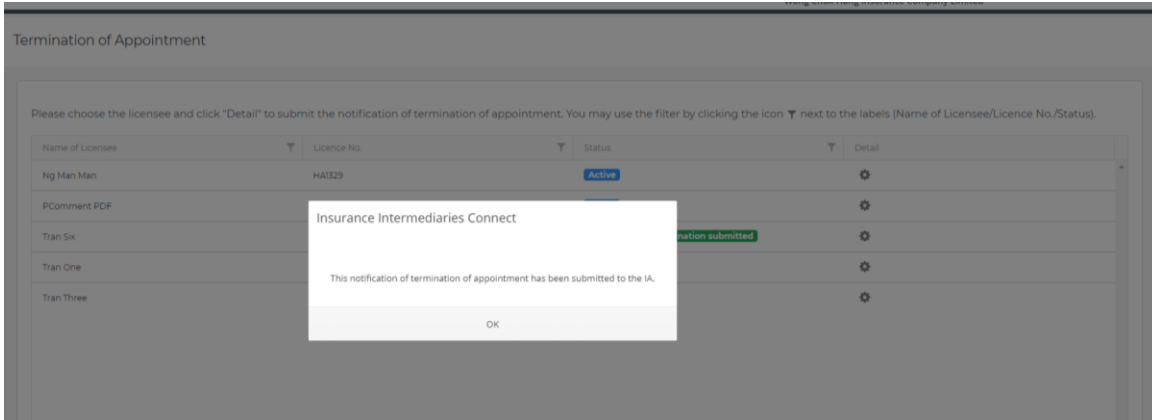


The screenshot shows a web page from the Insurance Authority. At the top left is the logo, which consists of four colored squares (green, blue, orange, and red) arranged in a cross pattern, followed by the text "保險業監管局" and "Insurance Authority". Below the logo, there is a paragraph of text: "One-time Password (OTP) has been sent via SMS to your mobile number. The OTP will expire in 5 minutes. If you do not receive the OTP/the OTP expires, you may click 'Re-send' to request for a new OTP." This is followed by another paragraph: "To create new appointment in Insurance Intermediaries Connect, please enter the OTP for verification." Below the text, there is a text input field labeled "One Time Password" and a "Re-send" button. At the bottom of the form is a large blue "Submit" button.

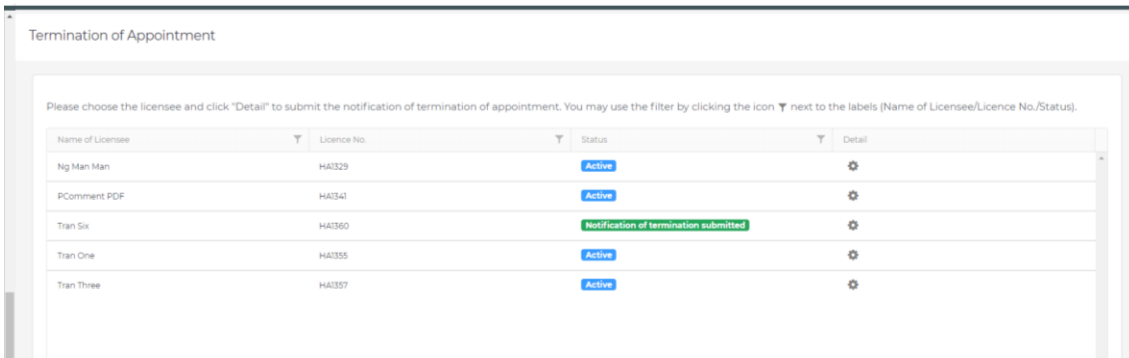


The screenshot shows a confirmation dialog box titled "Insurance Intermediaries Connect" with the question "Are you sure to terminate these appointments?". There are two buttons: "YES" and "NO". The "NO" button is highlighted in blue. In the background, a blurred version of the OTP verification page is visible, showing the same text and buttons as the first screenshot, but with the "One Time Password" field containing the value "045740".

- 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”.

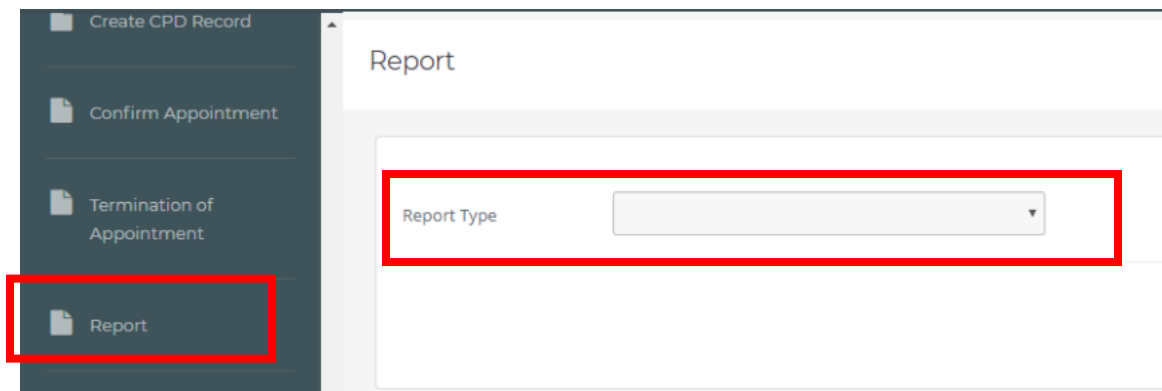


## 8. Report

Currently, there are 2 types of reports that are available in the IIC:

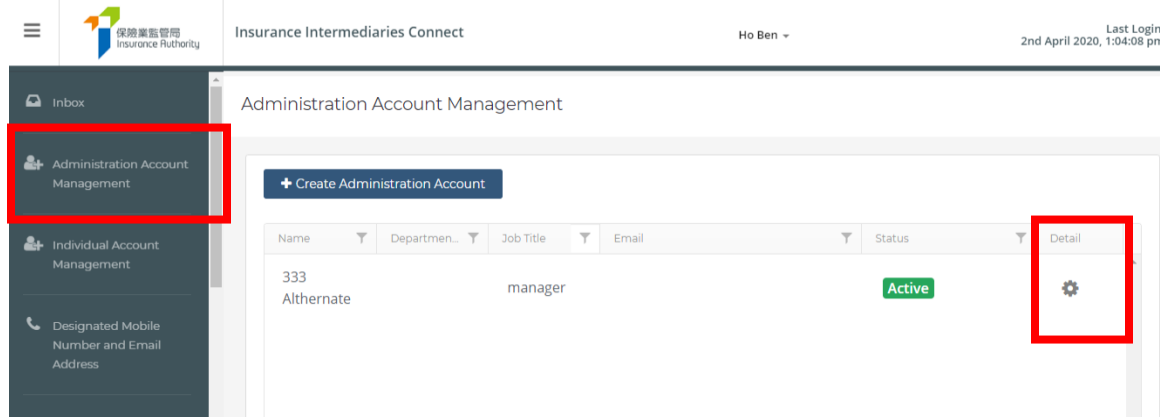
- 1) Application form PDF
- 2) CPD hours required

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



### 8.1 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.



Confirm Appointment (Licence Application)

(For an authorized insurer, this access right should only be assigned to a Key Person in Intermediary Management Function, Director, or a person authorized by its Board of Directors. For a licensed insurance agency or a licensed broker company, this access right should only be assigned to a Responsible Officer, Director, or a person authorized by its Board of Directors/Sole Proprietor/Partner (where applicable).)

Termination of Appointment

(For an authorized insurer, this access right should only be assigned to a Key Person in Intermediary Management Function, Director, or a person authorized by its Board of Directors. For a licensed insurance agency or a licensed broker company, this access right should only be assigned to a Responsible Officer, Director, or a person authorized by its Board of Directors/Sole Proprietor/Partner (where applicable).)

Search for Self-Regulatory Organization Registration Records

Report

## 8.2 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.

Report

Report Type: (5) Application Form pdf

Licence No.

HKID No.

IIC Ref No.

English Name

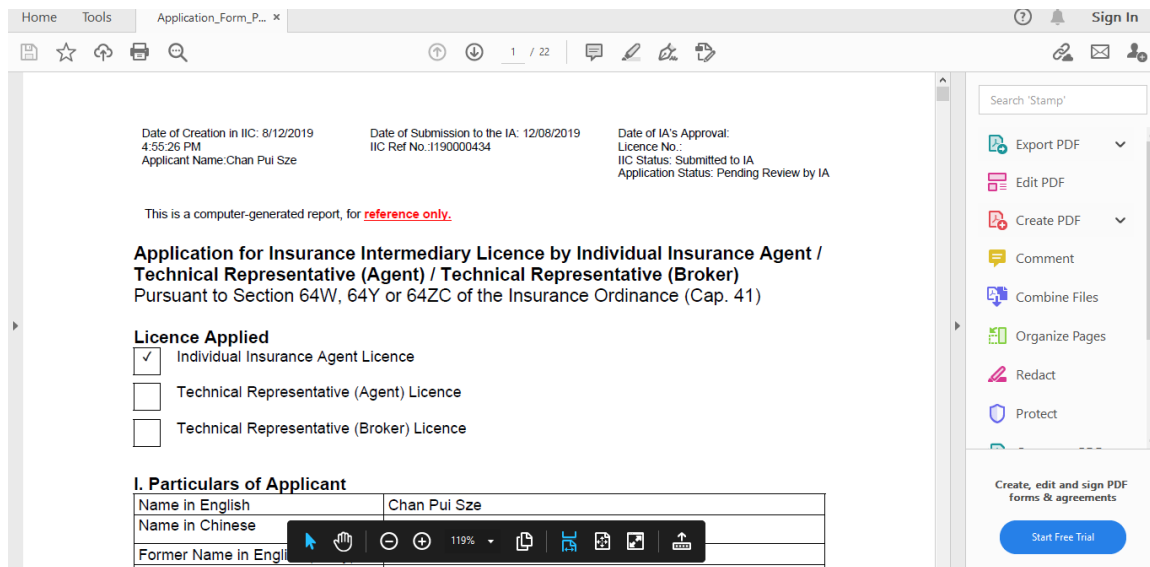
Chinese Name

Administration Account responsible for Verification of Licence Application:

Application Creation Date: Start  End

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.

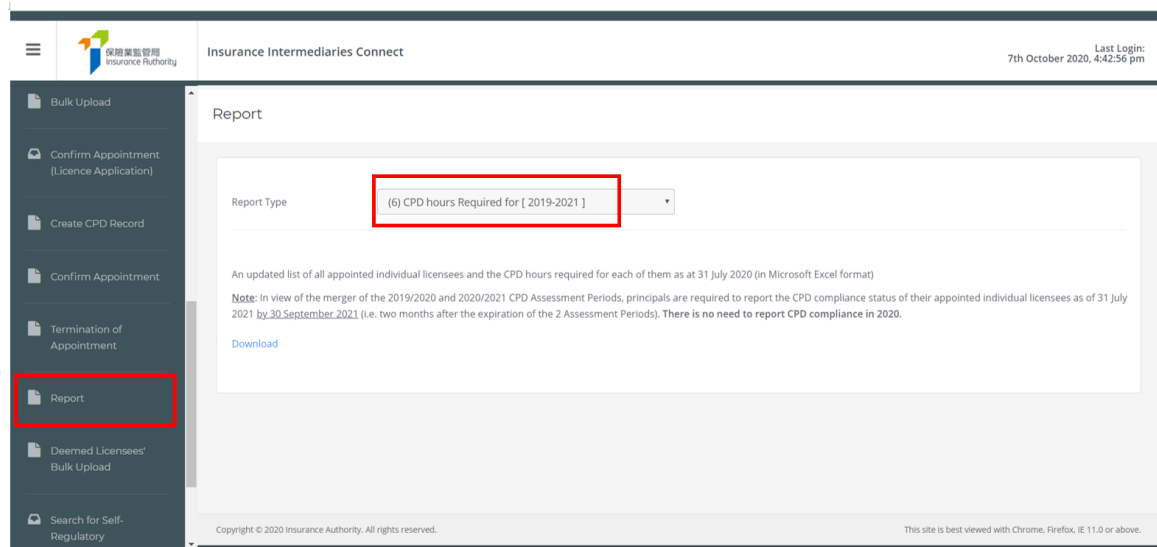
Licence No.	IIC Ref No.	English Name	Chinese Name	Download(English)	Download(Chinese)
	I190000434	Chan Pui Sze	陳佩詩	<b>Download PDF</b>	<b>Download PDF</b>
	I190000443	Chow Wai Man		Download PDF	Download PDF
	I200000057	Lo Yuen Man	盧婉文	Download PDF	Download PDF



### 8.3 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 8.1.*
- To download the CPD List:

  - Select “Report” from the menu on the left
  - Select “(6) CPD hours Required for (YYYY-YYYY)” for “Report Type”
  - Press “Download”
- Technical Issues:** If users cannot see the report function or the CPD List 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 11 for details.



## 9. 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>).

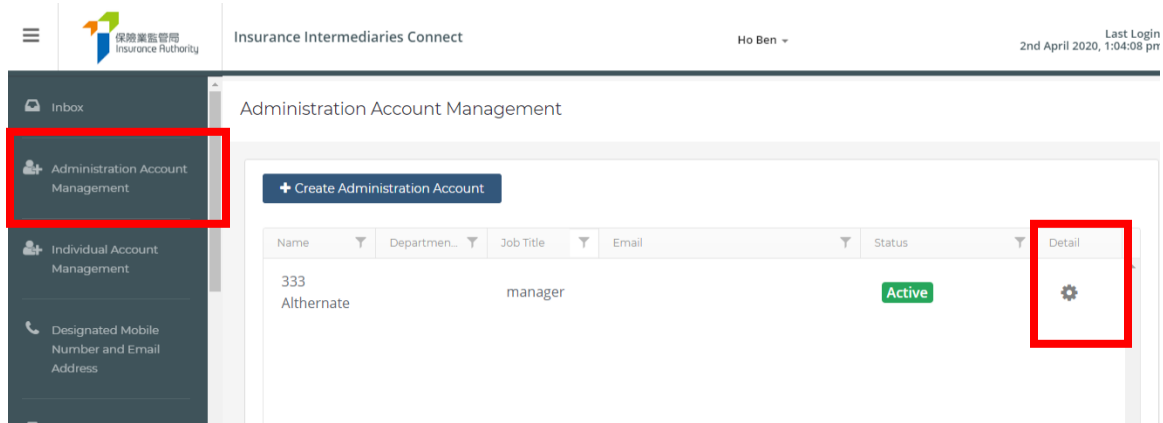
The Principal has to obtain a prior written consent from the person appointed or proposed to be appointed as the Principal’s licensed insurance intermediary who is subject to the Principal’s search to access his/her/its past registration records with the SROs.

### 9.1 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.



Confirm Appointment (Licence Application)

(For an authorized insurer, this access right should only be assigned to a Key Person in Intermediary Management Function, Director, or a person authorized by its Board of Directors. For a licensed insurance agency or a licensed broker company, this access right should only be assigned to a Responsible Officer, Director, or a person authorized by its Board of Directors/Sole Proprietor/Partner (where applicable).)

Termination of Appointment

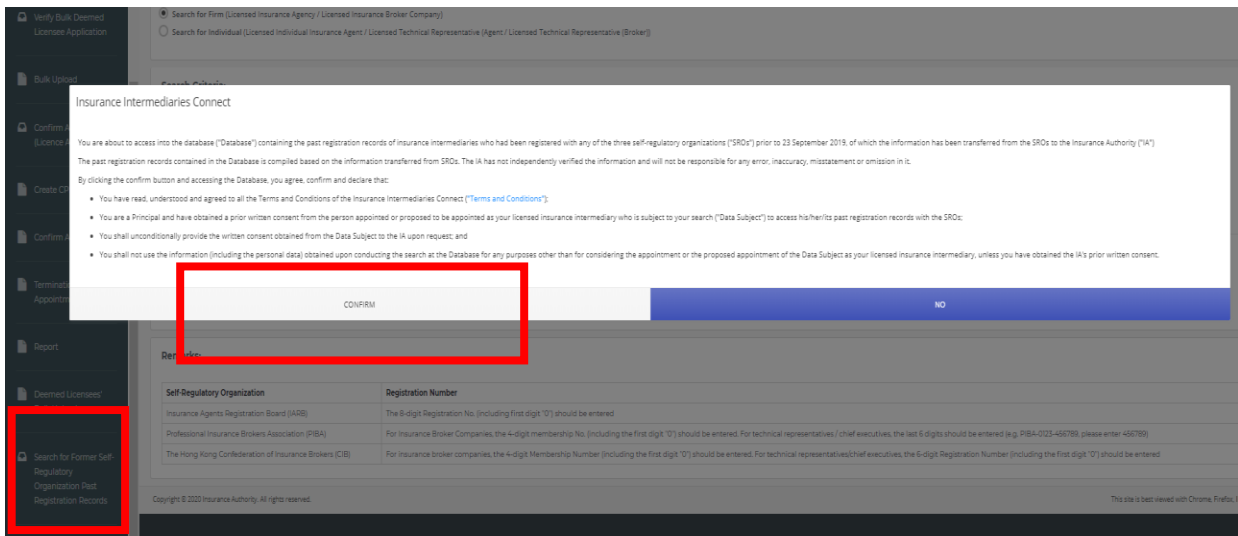
(For an authorized insurer, this access right should only be assigned to a Key Person in Intermediary Management Function, Director, or a person authorized by its Board of Directors. For a licensed insurance agency or a licensed broker company, this access right should only be assigned to a Responsible Officer, Director, or a person authorized by its Board of Directors/Sole Proprietor/Partner (where applicable).)

Search for Self-Regulatory Organization Registration Records

Report

## 9.2 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.

### Search for Self-Regulatory Organization Registration Records

**Please select:**

Please choose one of the following Criteria

Search for Firm (Licensed Insurance Agency / Licensed Insurance Broker Company)

Search for Individual (Licensed Individual Insurance Agent / Licensed Technical Representative (Agent / Licensed Technical Representative (Broker))

---

**Search Criteria:**

Please note the Remarks below before entering the SRO registration number:

**Name of Self-Regulatory Organization (SRO)**

**Registration Number with SRO**

**Name of Registrant (Note: Please input Full Name registered in SRO)**

---

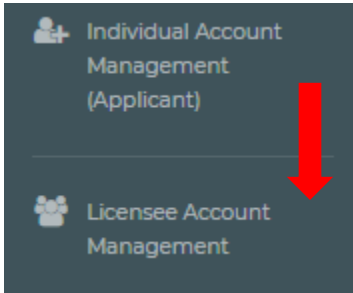
**Name of Registrant (Note: Please input Full Name registered in SRO)**

**BR Number**

# 10. Licensee Account Management

## 10.1 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*".



## 10.2 Appointment and Termination of Appointment

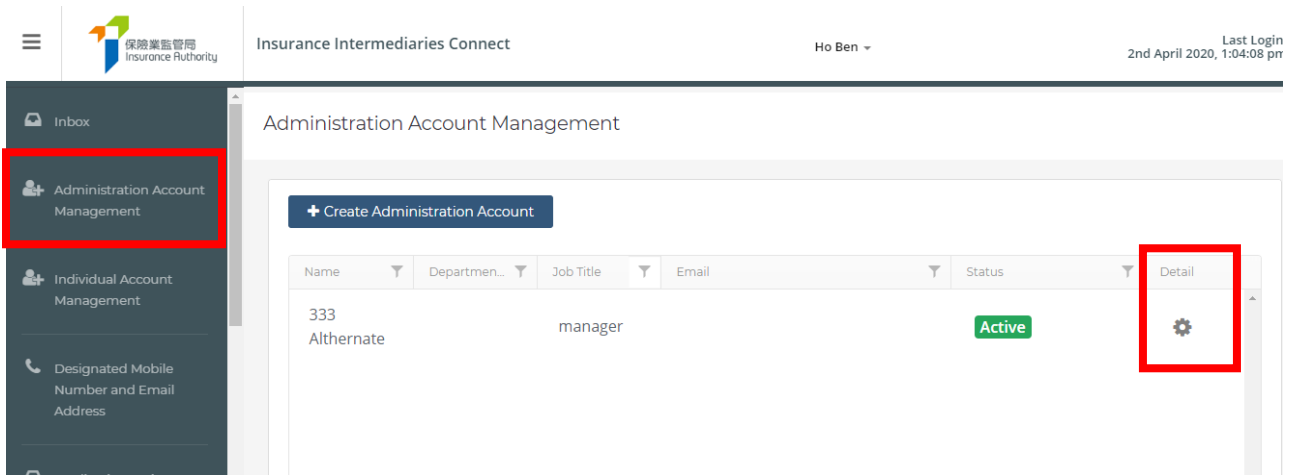
- When principal terminates the appointment of an individual licensee, principal will not be required to delete the licensees' IIC account. After the termination record has been updated, the licensee details will not be found in "*Licensee Account Management*".
- When principal appoints an individual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

# 11. Change in Particulars

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

## 11.1 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.

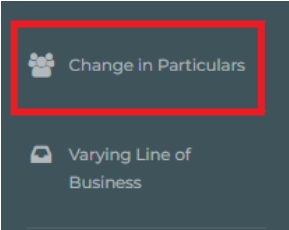


### Access Rights

- Assign tasks from one administration account to another administration account
- Application Assignment - Deemed Licensee Application
- Transfer Case Handler
- Licensee Account Management
- Create Individual Account
- Bulk Uploads of Account
- Bulk Uploads of Application
- Deemed Licensees' Bulk Upload
- Bulk Termination of Appointment
- Verify Licence Application
- Verify Bulk Deem Licensee Application
- Confirm Appointment (Licence Application)  
(This access right should be assigned to a person who is authorized by your Board of I)
- Termination of Appointment  
(This access right should be assigned to a person who is authorized by your Board of I)
- Search for Former Self-Regulatory Organization Past Registration Records
- Assign Renewal Application
- Verify Renewal Application
- Confirm Renewal Application
- Report
- Change in Particular

## 11.2 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.

Particulars to be changed	Current Particulars	New Particulars	Effective Date
<input type="checkbox"/> English Name	Limited	<input type="text"/>	DD/MM/YYYY <input type="button" value="Calendar"/>
Note: Please upload a copy of the relevant Certificate of Change of Name issued by Companies Registry.			
<input type="checkbox"/> Chinese Name	有限公司	<input type="text"/>	DD/MM/YYYY <input type="button" value="Calendar"/>
Note: Please upload a copy of the relevant Certificate of Change of Name issued by Companies Registry.			
<input type="checkbox"/> Telephone No.		<input type="text"/>	DD/MM/YYYY <input type="button" value="Calendar"/>
<input type="checkbox"/> Fax No.		<input type="text"/>	DD/MM/YYYY <input type="button" value="Calendar"/>
<input type="checkbox"/> Email Address		<input type="text"/>	DD/MM/YYYY <input type="button" value="Calendar"/>
<input type="checkbox"/> Website	-	<input type="text"/>	DD/MM/YYYY <input type="button" value="Calendar"/>
Address for insurance agency and insurance broker company			

- 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.

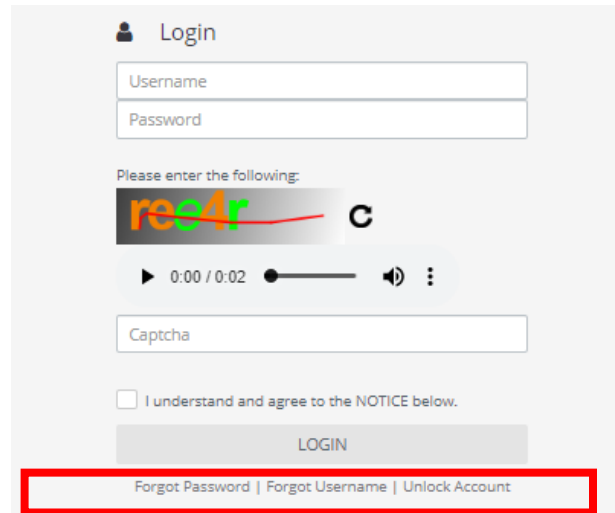
Particulars to be changed	Current Particulars	New Particulars	Effective Date
<input type="checkbox"/> English Name	Limited	<input type="text"/>	DD/MM/YYYY
Note: Please upload a copy of the relevant Certificate of Change of Name issued by Companies Registry.			
<input checked="" type="checkbox"/> Chinese Name	有限公司	<input type="text"/>	DD/MM/YYYY
<div style="border: 1px solid gray; border-radius: 10px; padding: 5px; display: inline-block;"> <input type="button" value="UPLOAD"/> </div>			
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.

## 12. Forgot Password, Username and Unlock Account

### 12.1 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.



The screenshot shows a login form with the following elements:

- Username input field
- Password input field
- Captcha section with a video player showing a CAPTCHA image and a 'C' icon.
- Captcha input field
- Checkbox:  I understand and agree to the NOTICE below.
- LOGIN button
- Footer links: [Forgot Password](#) | [Forgot Username](#) | [Unlock Account](#) (highlighted with a red box)

### 12.2 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.

### 12.3 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.

# 13. Other Technical Issues

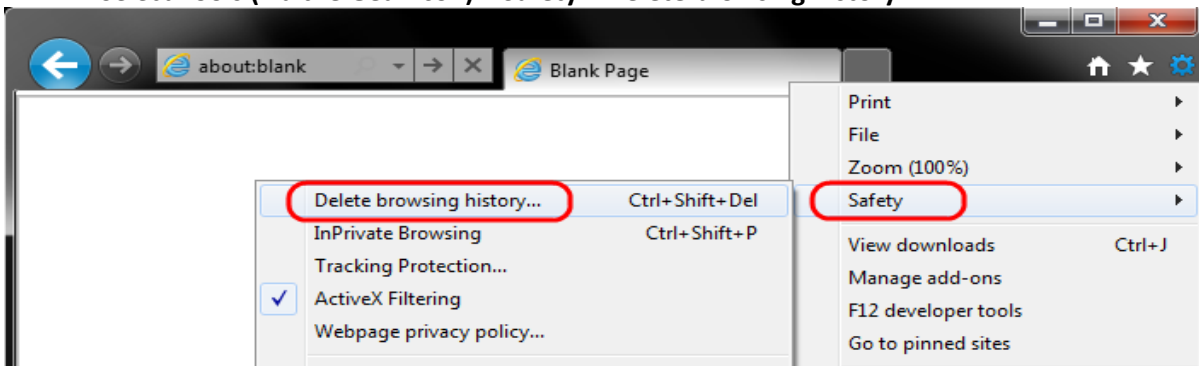
## 13.1 Webpage Problems

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.

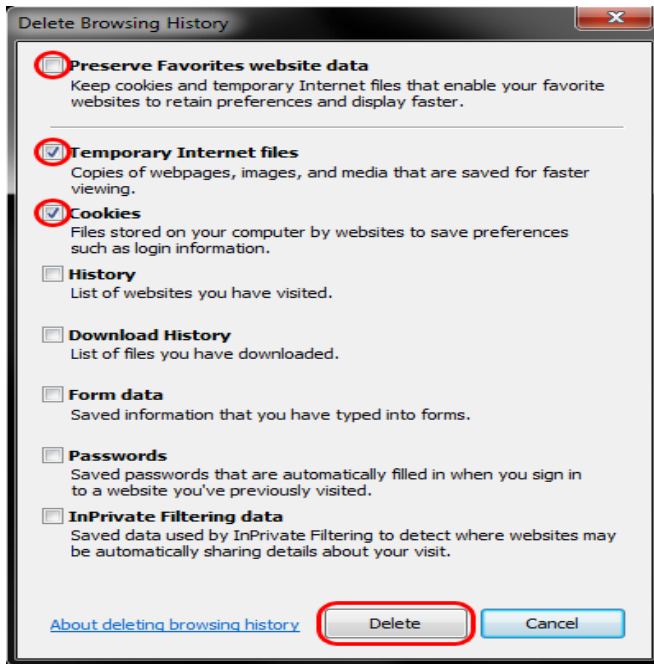
### For IE Users

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



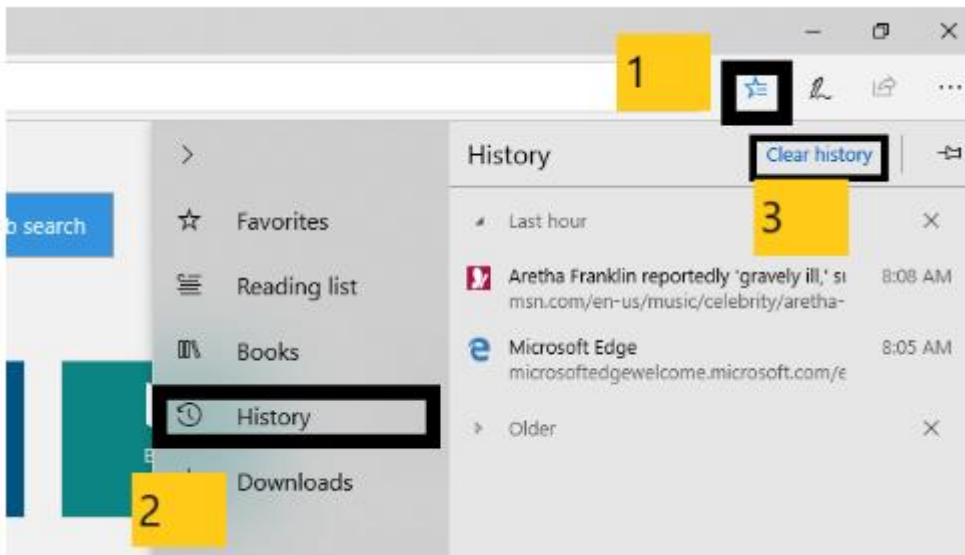


- ii. Make sure to uncheck **Preserve Favorites website data** and check both **Temporary Internet Files** and **Cookies** then click **Delete**.

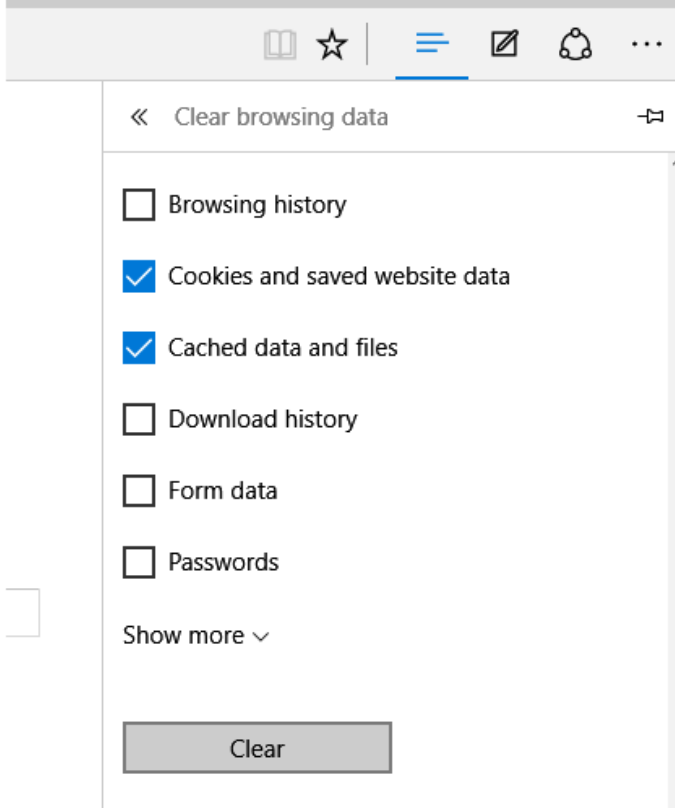


### For EDGE Users

- 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**.

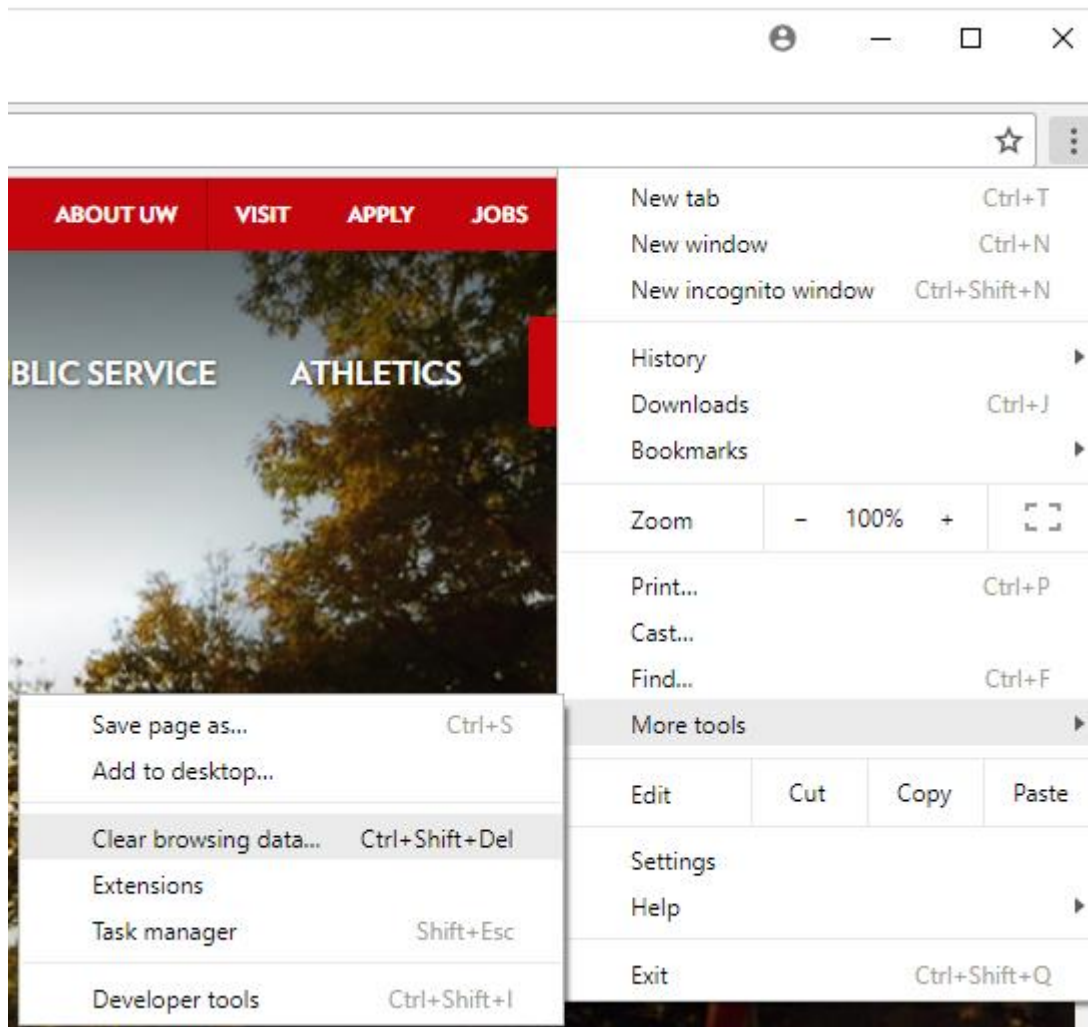


- ii. Select "Cookies and saved website data" and "Cached data and files". After the two are marked, click **Clear**.



## For Chrome Users

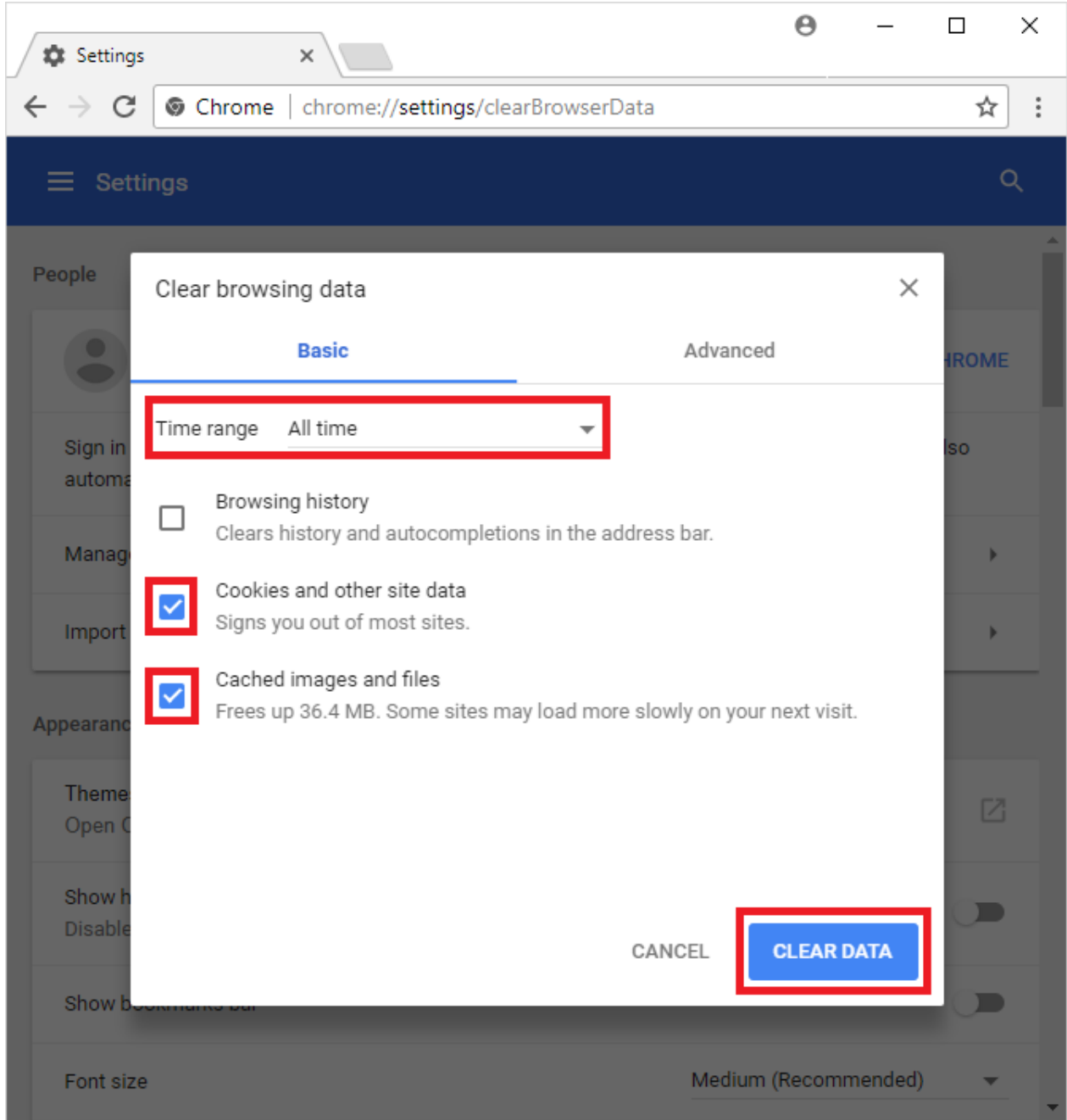
- i. Click on the settings icon that appears to the right of the address bar. In the newest versions of Chrome, this appears as three vertical dots and in older versions will be three horizontal lines or a wrench icon.
- ii. From the menu, select **More tools > Clear browsing data...**



iii. Check the following:

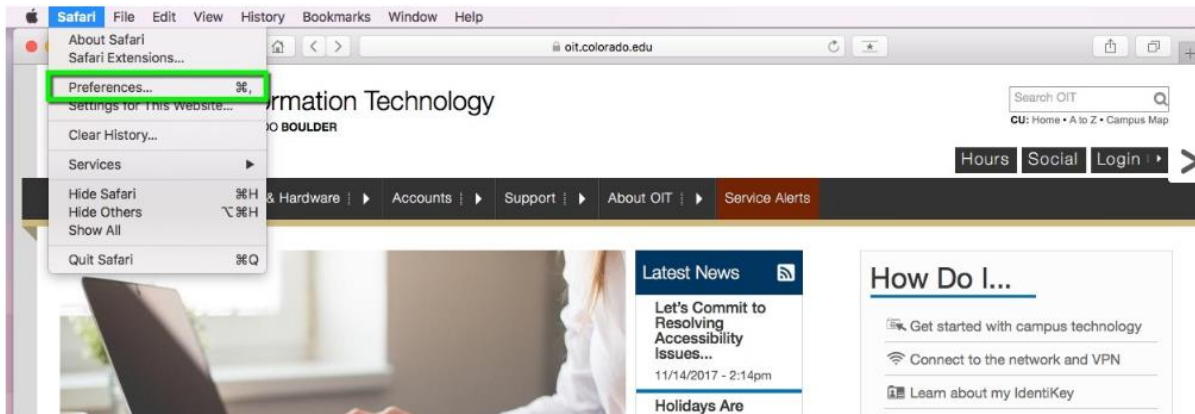
- **Cookies and other site data**
- **Cached images and files**

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.



## 13.2 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.

## 13.3 Other Technical Issues

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

<< END >>