

保險中介一站通 主事人用戶指南

— 牌照續期申請

適用於獲授權保險人、持牌保險代理機構及持牌保險經紀公司

最後更新日期：2022 年 5 月



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重要須知：用戶須具備保險中介一站通內主事人帳戶管理及新牌照申請系統以及申請程序的基本知識。詳情請參閱下列用戶指南。

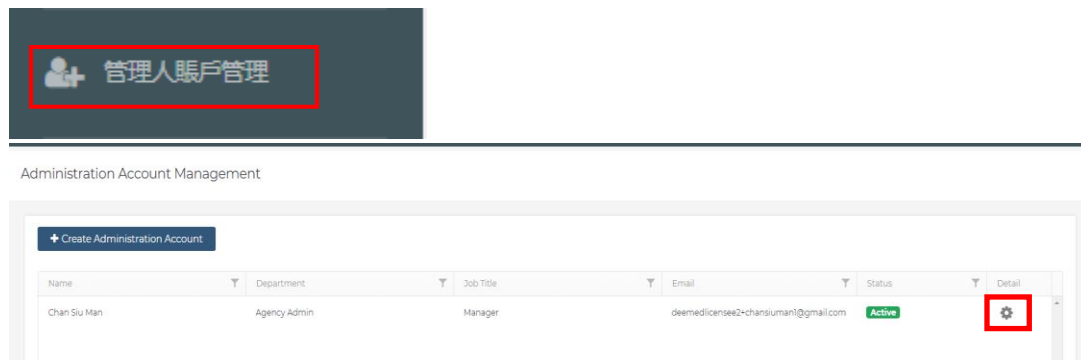
A2 保險中介一站通 - 主事人用戶指南

<https://www.ia.org.hk/tc/infocenter/forms/intermediaries.html>

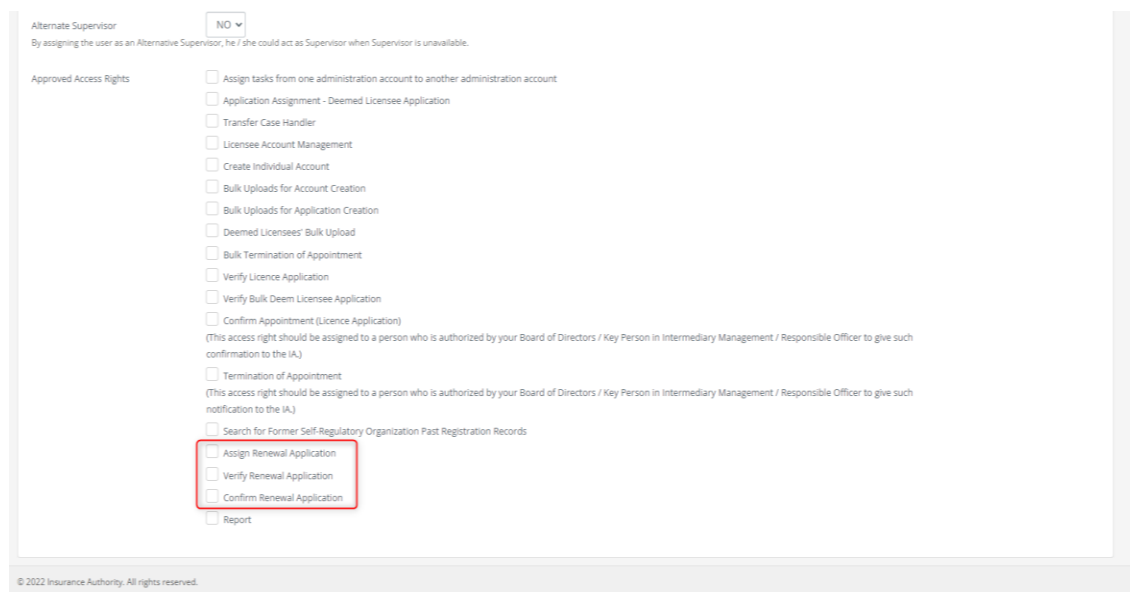
1. 監督人帳戶設定

1.1. 為牌照續期功能設定管理人帳戶的使用權限

- 在「**管理人帳戶管理**」頁面，進入所選的管理人帳戶的「詳情 (Detail)」頁。



- 在「**Access Rights**」一欄剔選「**分配牌照續期申請 (Assign Renewal Application)**」、「**核實牌照續期申請 (Verify Renewal Application)**」，及/或「**確認牌照續期申請 (Confirm Renewal Application)**」，然後在頁面右上角點擊儲存。





2. 主事人分配牌照續期申請

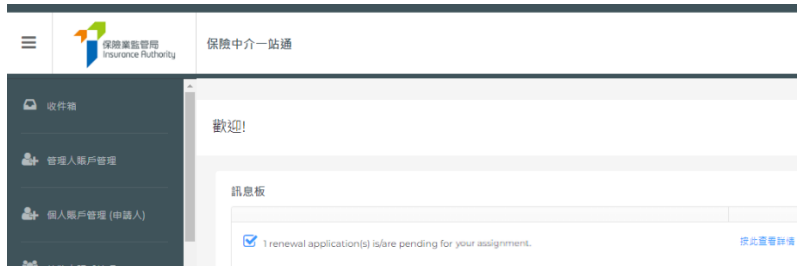
2.1. 分配牌照續期申請

- 當持牌人提交牌照續期申請予主事人核實，主事人指定的電郵地址會收到每日報告，附有當天有待核實之牌照續期申請之列表。如主事人希望更改指定電郵地址接收上述電郵通知，請選擇「[指定公司手機號碼，指定的電子郵件地址及下載文件的密碼 Designated Mobile Number, Designated Email Address and Password for Document Download](#)」進入設定界面。詳情請參閱主事人用戶指南 2.5 部分。
- 主事人在核實之牌照續期申請之前，須先分配該牌照續期申請予一名個案負責人。此步驟可由監督人帳戶 / 備用監督人帳戶 / 擁有相關權限的管理人帳戶持有人（統稱“獲主事人授權的管理人”，簡稱「**管理人**」）進行。有關設定使用權限詳情，請參閱此用戶指南 1.1 部分。
- 以監督人或管理人帳戶登入電子服務站。





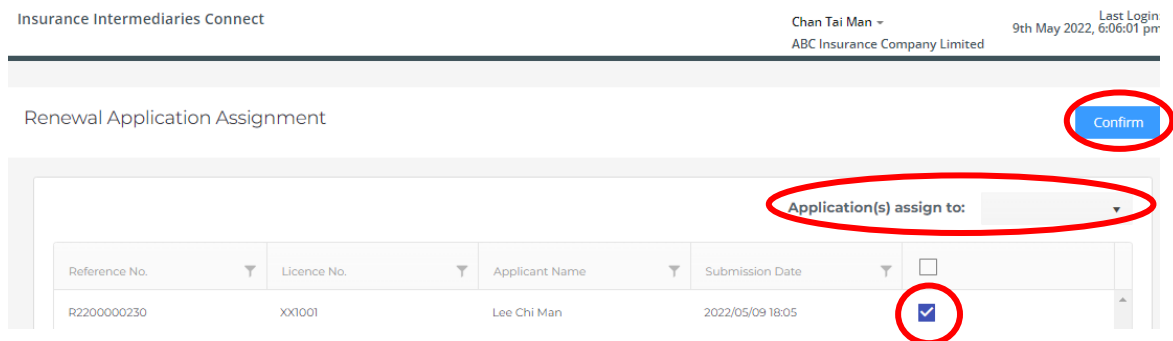
- 擁有相關權限的帳戶持有人登入後，提示訊息會出現於訊息板。



- 選擇位於垂直選單的「牌照申請分配- 牌照續期申請」。



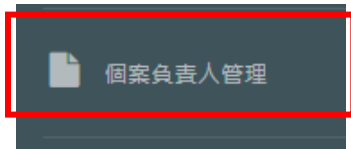
- 剔選申請，然後從下拉式選單中選擇「個案負責人」，點擊「*確認 Confirm*」。





2.2. 重新分配牌照續期申請

- 當一個牌照續期申請獲分配到某位個案負責人後，管理人仍然可以於「個案負責人管理」將該牌照續期申請分配予另一名個案負責人。



Case Handler Management Cancel Confirm

Type of Application/Account to be reassigned: Renewal Application

Original Case Handler: Chan Tai Man

Search

New Case Handler:

<input type="checkbox"/>	IIC Ref No.	Application Type	Applicant Name	Case Officer	Status
<input type="checkbox"/>	R2200000230	Renewal Application	Lee Chi Man	Chan Tai Man	Pending for Verification

- 個案負責人會收到每日報告列出當日獲分配而未審閱之牌照續期申請。



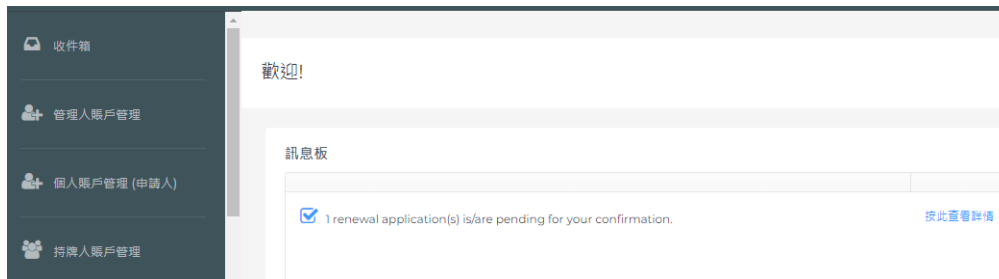
3. 主事人核實

3.1. 主事人核實牌照續期申請

- 以監督人帳戶或指定為個案負責人的管理人帳戶登入電子服務站。有關設定使用權限詳情，請參閱此用戶指南 1.1 部分。



- 擁有相關權限的帳戶持有人登入後，提示訊息會出現於訊息板。



- 選擇位於垂直選單的「核對申請 - 牌照續期申請」。





- 以下的牌照續期申請會以黃色標示：
 - 非香港永久性居民；
 - 於有關「與獲授權保險人/持牌保險代理機構/持牌經紀公司的關係」問題的任何一條，回答為「是」(第 II 部份)；及/或
 - 於有關「品格、財務狀況、紀律行動與調查」問題的任何一條，回答為「是」(第 IV 部份)

Verify Renewal Application

If the application has been verified with comments, bulk verification will not be available. Please click "Detail" to continue your verification. Bulk Verify ▼

<input type="checkbox"/>	Reference No. ▼	Licence No. ▼	Applicant Name ▼	Submission Date ▼	Status ▼	NonPermanent... /Yes in Sect II or... ▼	Detail
<input type="checkbox"/>	R2200000230	XX1001	Lee Chi Man	2022/05/09 18:27	First submission	Yes	

- 管理人可選擇多個牌照續期申請並作批量核實 (*Bulk verify*)，而無需於申請的每頁確認或輸入備註。另外，管理人亦可點擊齒輪圖標打開申請並查看詳情。
- 主事人應實施恰當措施以確保在申請內提交的所有資料及與申請相關的任何文件均屬完整、真實及準確。
- 請參閱此用戶指南 3.2 部分有關批量核實多個申請，或參閱此用戶指南 3.3 部分有關核實一個申請。



3.2. 主事人批量核實 — 核實多個申請

- 剔選要經批量核實處理的申請。點擊「**批量核實 Bulk verify**」。

Verify Renewal Application

If the application has been verified with comments, bulk verification will not be available. Please click "Detail" to continue your verification.

<input type="checkbox"/>	Reference No.	Licence No.	Applicant Name	Submission Date	Status	NonPermanent.../Yes in Sect II or...	Detail
<input checked="" type="checkbox"/>	R2200000230	XX1001	Lee Chi Man	2022/05/09 18:05	First submission	No	

- 在彈出式訊息中點擊「是」。

Insurance Intermediaries Connect

Are you sure to verify all the selected application(s)?

- 在彈出式訊息中點擊「確定」。

Verify Renewal Application

If the application has been verified with comments, bulk verification will not be available. Please click "Detail" to continue your verification.

<input type="checkbox"/>	Reference ...	Licence No.	Applicant ...	Submissio...	Status	NonPerma.../Yes in Sec...	Detail
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Insurance Intermediaries Connect

All application(s) has been verified and moved to Confirm Renewal Application successfully.




3.3. 核實一份申請

- 點擊齒輪圖標打開申請並查看詳情。

Verify Renewal Application

If the application has been verified with comments, bulk verification will not be available. Please click "Detail" to continue your verification. [Bulk Verify ✓](#)

<input type="checkbox"/>	Reference No.	Licence No.	Applicant Name	Submission Date	Status	NonPermanent... /Yes in Sect II or...	Detail
<input type="checkbox"/>	R2200000230	XX1001	Lee Chi Man	2022/05/09 18:05	First submission	No	

- 向下捲動頁面，剔選「核對完成並沒有評論？」或輸入適當評論，然後點擊「下頁」。

Please enter remarks if you have any comments on this section

Verified with no comments?

[Next Section >](#)



- 完成核實整個申請後，點擊「完成」。

Status: Pending verification by Principal(s)

Application for Renewal of Insurance Intermediary Licence - Individual Insurance Agent/Technical Representative (Agent)/Technical Representative (Broker) Licence Pursuant to Section 64ZV of the Insurance Ordinance (Cap.41)

Supporting documents

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

Character, Financial Status, Disciplinary Action & Investigation

SELECT FILES

test.pdf

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

Please enter remarks if you have any comments on this section

< Previous Verified with no comments? **Finish** >

- 在彈出式訊息中點擊「是」。

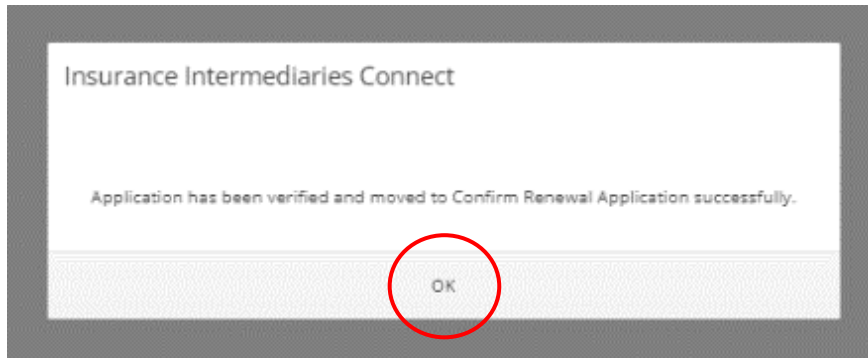
Insurance Intermediaries Connect

Have you completed your review?

YES NO

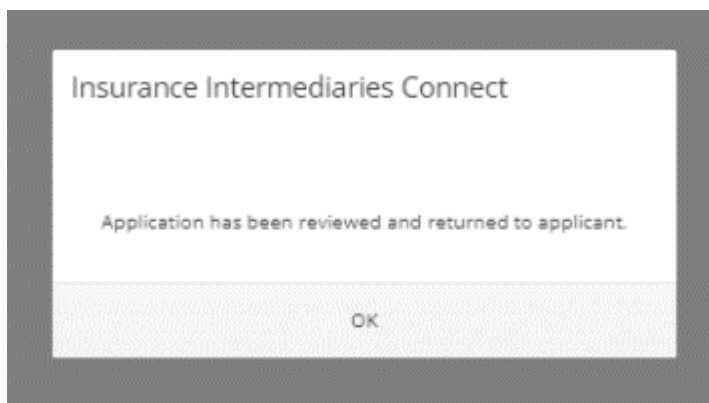


- 在彈出式訊息中點擊「確定」。



3.4. 退回牌照續期申請予申請人

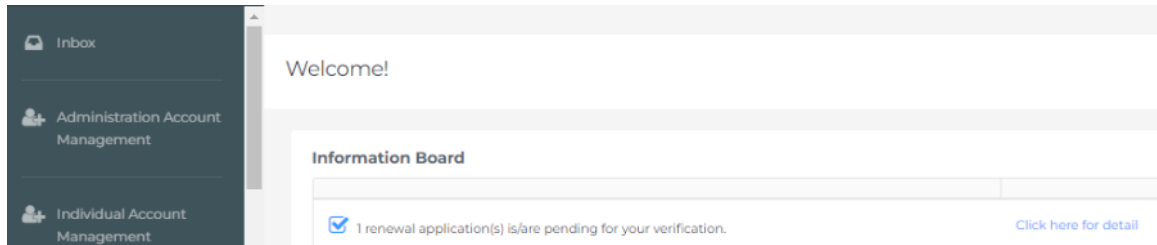
- 如管理人於牌照續期申請任何一部分曾輸入評論，該申請會在被完成核實後退回予申請人。





3.5. 再次遞交的牌照續期申請

- 若持牌人修改資料後重新提交申請，管理人須再次核實經修改後的牌照續期申請。
- 個案負責人會收到每日報告列出當日再次遞交的牌照續期申請。
- 登入後，提示訊息會出現於訊息板。



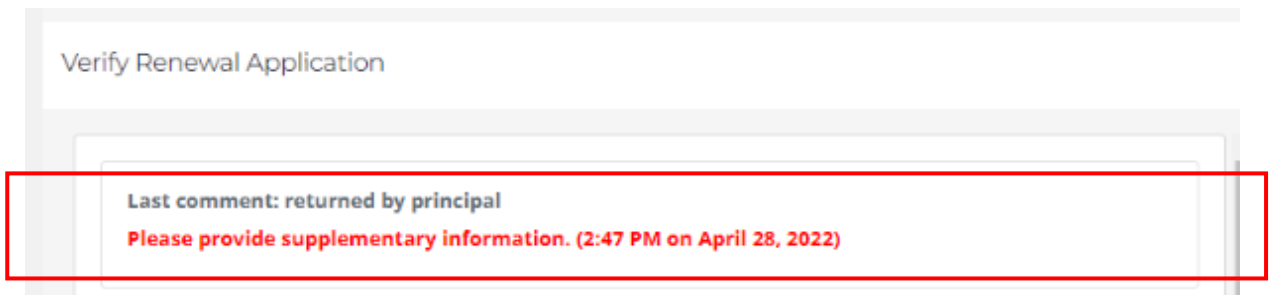
- 再次遞交的牌照續期申請會於狀態列中顯示。

Verify Renewal Application

If the application has been verified with comments, bulk verification will not be available. Please click "Detail" to continue your verification. [Bulk Verify](#)

<input type="checkbox"/>	Reference No.	Licence No.	Applicant Name	Submission Date	Status	NonPermanent... /Yes in Sect II or...	Detail
<input type="checkbox"/>	R220000230	XX1001	Lee Chi Man	2022/05/09 18:27	Re-submitted with updates	Yes	

- 個案負責人再次核實申請時，頂部最後評論框格中會顯示有關該申請上一次被退回之評論。





- 若持牌人修改了申請資料，該頁頂部會顯示「此頁已由申請人修改」，而被修改之欄目會以黃色顯示。

Verify Renewal Application

Last comment: returned by principal
Please provide supplementary information. (2:47 PM on April 28, 2022)

This page has been amended by applicant

Status: Pending verification by Principal(s)

Application for Renewal of Insurance Intermediary Licence - Individual Insurance Agent/Technical Representative (Agent)/Technical Representative (Broker) Licence
Pursuant to Section 64ZV of the Insurance Ordinance (Cap.41)

IV. Character, Financial Status, Disciplinary Action & Investigation

If you answered "Yes" to any of the questions below, please provide details of the case or matter in a separate document including date of the relevant event, name of regulatory, criminal investigatory or professional body (if applicable), description of the case/matter, your role or involvement in the case/matter, outcome or current status of the case/ matter, together with the relevant supporting documents.

1. In the past 3 years, have you failed to comply with any requirements while carrying on any regulated activities? Yes No

2. In the past 3 years, have you been found by a court or other competent authority in Hong Kong or elsewhere to be liable for fraud, dishonesty or misfeasance? Yes No

3. In the past 3 years, have you been disqualified by a court in Hong Kong or elsewhere from being a director of a company? Yes No

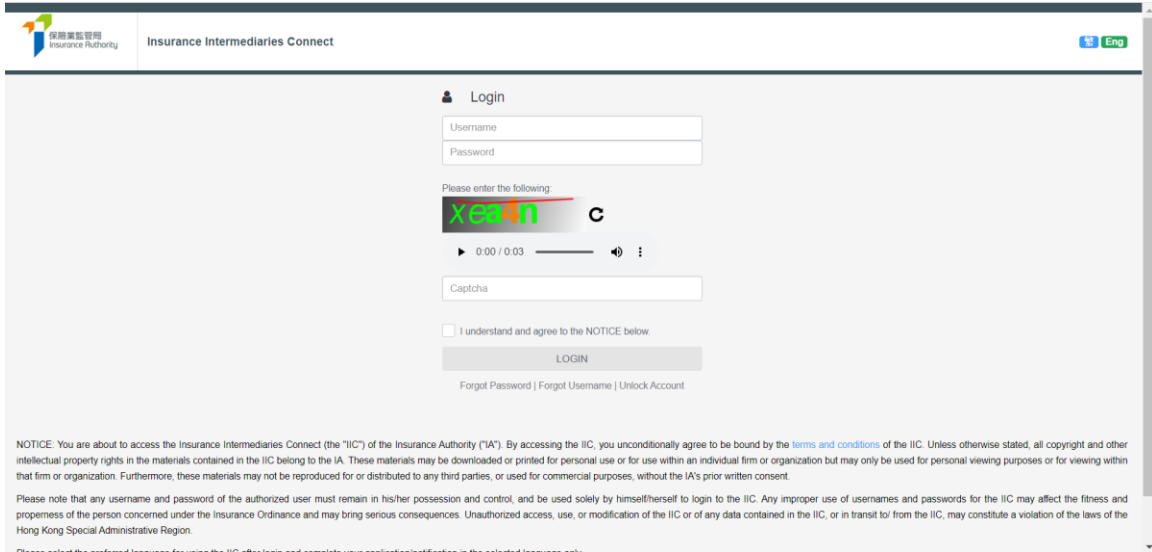
- 請參閱此用戶指南 3.3 部分有關核實申請。



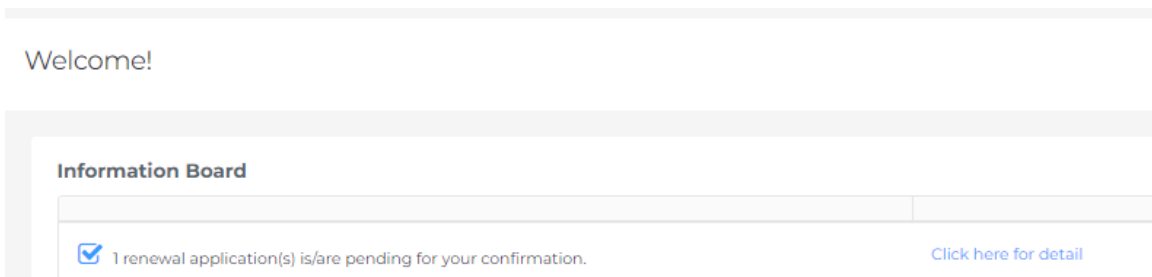
4. 主事人確認委任

4.1. 主事人確認牌照續期申請

- 主事人指定的公司電郵地址會收到每日報告，附有當天有待核實委任之牌照續期申請之列表。
- 以監督人帳戶或擁有確認牌照續期申請權限的管理人帳戶登入電子服務站。有關設定使用權限詳情，請參閱此用戶指南 1.1 部分。

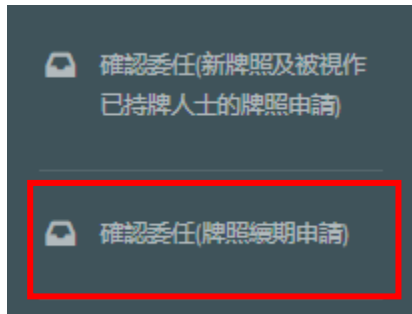


- 擁有相關權限的帳戶持有人登入後，提示訊息會出現於訊息板。



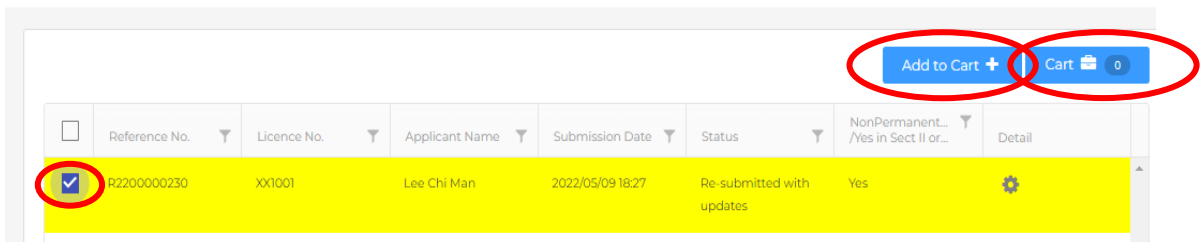


- 選擇位於垂直選單的「確認委任(牌照續期申請)」。



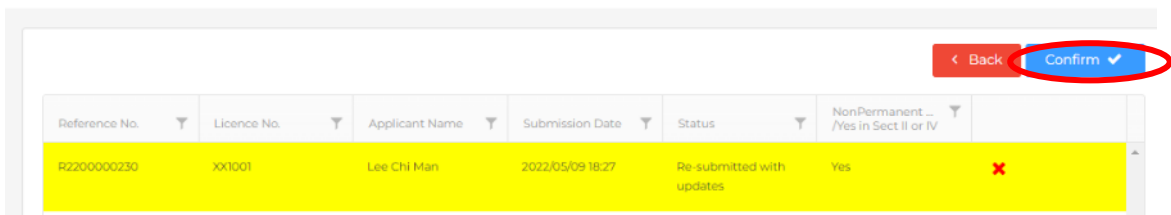
- 管理人須點擊齒輪圖標以審核待確認的委任關係。若管理人認為委任資料並無不妥，他/她便可以選擇確認有關的申請，並點擊「**加入待確認清單 Add to Cart +**」。

Confirm Renewal Application



- 點擊「**Cart**」，已加入待確認清單之申請數量顯示於「**Cart**」旁邊。
- 點擊「**確認 Confirm**」。

Confirm Renewal Application





- 管理人須作出相關聲明，並提供該牌照續期申請個案的聯絡人資料，該聯絡人將會是保監局處理該牌照續期申請時主事人的聯絡人。然後點擊「**確認 Confirm**」。

Declaration by Appointing Principal

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

Name of Contact Person


Position of Contact Person

Email of Contact Person

Phone No of Contact Person

Confirm

- 管理人須從下拉式選單中選擇主事人的指定手機號碼，用以接收一次性密碼。然後點擊「**提交 Submit**」。

 保險業監管局
Insurance Authority

Please select a designated mobile number to confirm appointment.

Mobile No.:

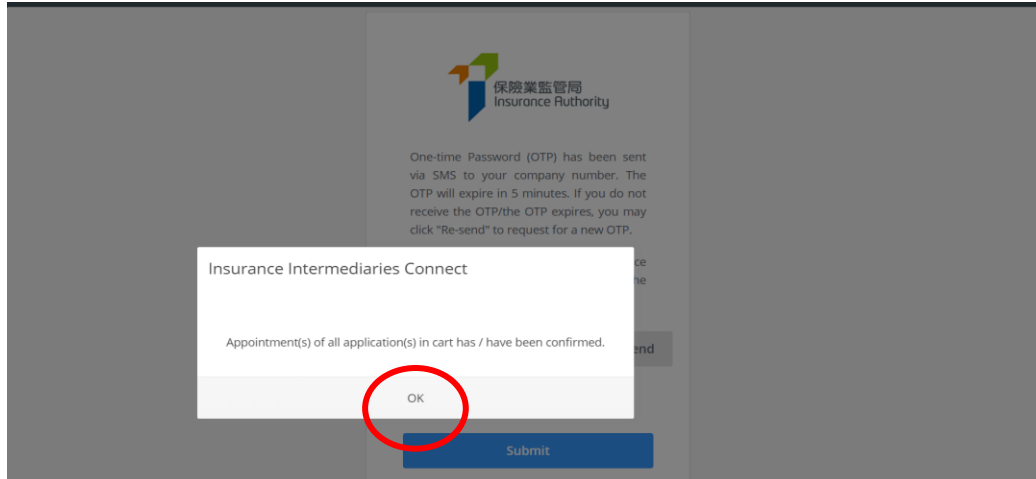
Submit



- 一次性密碼會以短訊形式傳送到該主事人的指定手機號碼。有關設定指定手機號碼，請參閱主事人用戶指南 2.5 部分。
- 輸入收到的一次性密碼，然後點擊「**提交 Submit**」。輸入一次性密碼至系統後，牌照續期申請會正式提交至保監局，以處理有關申請。

The screenshot shows the Insurance Authority's website interface. At the top center is the logo of the Insurance Authority, which consists of three stylized arrows in orange, green, and blue. Below the logo, the text reads: "One-time Password (OTP) has been sent via SMS to your company 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." Below this text, there is a text input field labeled "One Time Password" and a "Re-send" button. At the bottom of the form is a blue "Submit" button.

This screenshot shows the same website interface as the previous one, but with a confirmation dialog box overlaid. The dialog box is titled "Insurance Intermediaries Connect" and contains the question: "Are you sure to confirm all application(s) in cart?". There are two buttons at the bottom of the dialog: "YES" and "NO". The "YES" button is circled in red. In the background, the "One Time Password" field now contains the number "597364".



5. 進度報告

保險中介一站通提供兩份進度報告，以供委任主事人管理及查閱牌照續期情況及進度。

- **(5) 牌照續期申請電子網站狀況報告:**
(Renewal Application E-portal Status Report)
此報告會顯示有關獲委任的個人持牌人(即個人保險代理，業務代表(代理人)及業務代表(經紀))的牌照續期申請進度。
- **(6) 6個月內將期滿的牌照續期狀況報告**
(Status Report of Licences to be Expired in Coming 6 months)
此報告以清單形式列出其牌照將於**6個月內**期滿的個人持牌人，不論相關申請是否已建立或提交予保險業監管局。



- 所有進度報告均設有密碼保護。密碼由監督人帳戶保管，監督人可以於「**指定公司手機號碼，指定的電子郵件地址及下載文件的密碼 Designated Mobile Number, Designated Email Address and Password for Document Download**」界面設定或更新。如未有設定下載文件的密碼，管理人將無法下載文件。管理人應向監督人索取該密碼。以下截圖顯示設定下載文件密碼的頁面，詳情請參閱主事人用戶指南 2.5 部分。

Designated Mobile Number, Designated Email Address and Password f

Company Name Insurer 5 Co Ltd

Designated Email Address

Password for Document Download password

Add Designated Mobile Number

5.1. 下載進度報告

- 選擇位於垂直選單的「報告」。





- 點擊下拉列表，選擇需要下載的報告(例如: (5) 牌照續期申請電子網站狀況報告
(Renewal Application E-portal Status Report))。

報告

報告類別

-- 請選擇 --

- (1) 完整持牌中介人清單
- (2) 新申請電子網站狀況報告
- (3) 被視作已持牌人士電子網站狀況報告
- (4) 未完成的被視作已持牌人士報告
- (5) 牌照續期申請電子網站狀況報告
- (6) 6個月內將期滿的牌照續期狀況報告
- (7) PDF格式的申請表
- (8) 2021/2022評核期所需的持續專業培訓時數

- 點擊「下載」以下載報告，然後按「儲存」以儲存其壓縮檔案。

Report

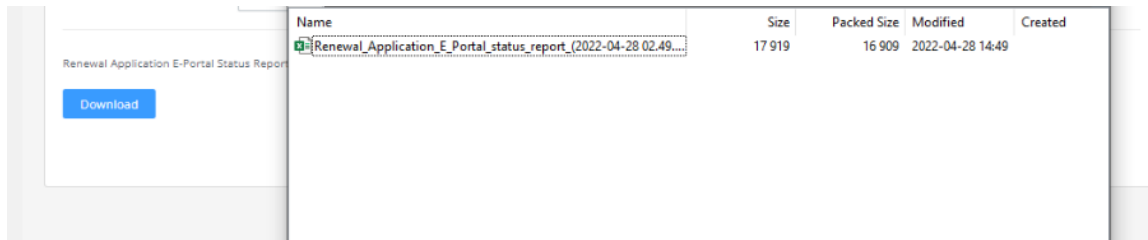
Report Type (5) Renewal Application E-Portal Status Report

Renewal Application E-Portal Status Report

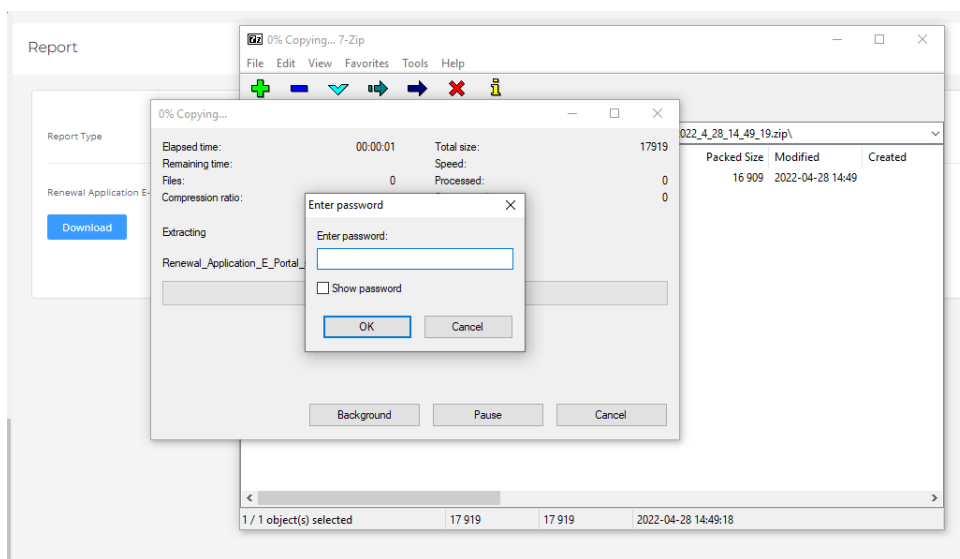
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- 開啟壓縮檔案及點擊報告兩次以開啟報告。



- 輸入「下載文件密碼」，該密碼可從保險中介一站通監督人帳戶找到。



- 以下顯示了相關已提取的報告：

	A	B	C	D	E	F	G	H	I	J	K	
1	AXA China Region Insurance Company (Bermuda) Limited											
2	Renewal Application E-Portal Status Report as at 28/04/2022											
3	Full English Name	Full Chinese Name	Partial HKID No.	IA License No.	Licence Type	Case Handler	Date of Application Submitted to IA	Licence Application Number	Application Status	Review Status	Application Last Update Date	Appointing Principal wh
4	Cheung Chi Keung IH1000	張志強 IH1000	A001	IH1000	Individual Insurance Agent	UAT 3 Test	2022-04-14	R2200000132	Filing	Returned by IA	2022-04-14	AXA China Region Insuran
5	Cheung Chi Keung IH1001	張志強 IH1001	A002	IH1001	Individual Insurance Agent	UAT 3 Test	2022-04-22	R2200000145	Submitted to IA		2022-04-22	AXA China Region Insuran
6	Cheung Chi Keung IH1002	張志強 IH1002	A003	IH1002	Individual Insurance Agent	UAT 3 Test	2022-04-14	R2200000124	Submitted to IA		2022-04-14	AXA China Region Insuran
7	Cheung Chi Keung IH1003	張志強 IH1003	A004	IH1003	Individual Insurance Agent	UAT 3 Test	2022-04-12	R2200000104	Submitted to Principal		2022-04-12	AXA China Region Insuran
8	Cheung Chi Keung IH1004	張志強 IH1004	A005	IH1004	Individual Insurance Agent	UAT 3 Test	2022-04-08	R2200000069	Approved		2022-04-13	AXA China Region Insuran
9	Cheung Chi Keung IH1005	張志強 IH1005	A006	IH1005	Individual Insurance Agent	UAT 3 Test	2022-04-12	R2200000100	Filing	Returned by Principal	2022-04-14	AXA China Region Insuran
10	Cheung Chi Keung IH1006	張志強 IH1006	A007	IH1006	Individual Insurance Agent	UAT 3 Test	2022-04-08	R2200000061	Submitted to IA		2022-04-08	AXA China Region Insuran
11	Cheung Chi Keung IH1007	張志強 IH1007	A008	IH1007	Individual Insurance Agent	UAT 3 Test	2022-04-12	R2200000108	Approved		2022-04-14	AXA China Region Insuran
12	Cheung Chi Keung IH1008	張志強 IH1008	A009	IH1008	Individual Insurance Agent	UAT 3 Test	2022-04-08	R2200000059	Filing		2022-04-08	AXA China Region Insuran
13	Cheung Chi Keung IH1009	張志強 IH1009	A010	IH1009	Individual Insurance Agent	UAT 3 Test	2022-04-08	R2200000065	Withdrawn		2022-04-13	AXA China Region Insuran
14												
15												



5.2. 檢查牌照續期申請進度

5.2.1. 牌照續期申請電子網站狀況

進度報告 – (5) 牌照續期申請電子網站狀況報告 (“進度報告(5)”) 包括了個人持牌人已遞交之牌照續期申請進度，即：

進度報告(5)

ABC Insurance Company Limited Renewal Application E-Portal Status Report as at 10/05/2022													
Full English Name	Full Chinese Name	Partial HKID No.	IA Licence No.	Licence Type	Case Handler	Date of Application Submitted to IA	Licence Application Number	Application Status	Review Status	Application Last Update Date	Appointing Principal who Handles the Application	Appointment Principal (1)	Line of Business Licensee May Carry On (1)
								Filing	Returned by IA				
LEE CHI MAN	李志文	B012	XX1001	Individual Insurance Agent	Chan Tai Man	2022-05-03	R22000001	Submitted to IA		2022-05-05	ABC Insurance Company Limited	ABC Insurance Company Limited	G
LEE CHI MAN 2	李志文 2	B012	XX1002	Individual Insurance Agent	Chan Tai Man	2022-04-27	R22000001	Submitted to IA		2022-04-27	ABC Insurance Company Limited	ABC Insurance Company Limited	L(I)
LEE CHI MAN 3	李志文 3	B014	XX1003	Individual Insurance Agent	Chan Tai Man	2022-04-27	R22000001	Submitted to Principal		2022-04-27	ABC Insurance Company Limited	ABC Insurance Company Limited	G
LEE CHI MAN 4	李志文 4	B014	XX1004	Individual Insurance Agent	Chan Tai Man	2022-04-06	R22000001	Approved		2022-04-09	ABC Insurance Company Limited	ABC Insurance Company Limited	G
LEE CHI MAN 5	李志文 5	C015	XX1005	Individual Insurance Agent	Chan Tai Man	2022-04-06	R22000000	Filing	Returned by Principal	2022-04-09	ABC Insurance Company Limited	ABC Insurance Company Limited	L(X)
LEE CHI MAN 6	李志文 5	C015	XX1005	Individual Insurance Agent	Chan Tai Man	2022-05-03	R22000000	Submitted to IA		2022-05-05	ABC Insurance Company Limited	ABC Insurance Company Limited	G+L(X)
								Approved					
								Filing					
								Withdrawn					

5.2.2. 牌照續期申請進度

進度報告 – (6) 6 個月內將期滿的牌照續期狀況報告 (“進度報告(6)”) 包括了其牌照將於 6 個月內期滿的個人持牌人之詳情，不論相關申請是否已建立或提交予保險業監管局。

進度報告(6)

- 牌照到期日列載於 F 欄「牌照期滿日」(Licence expiry date) 上。
- 牌照到期天數列載於 G 欄「到期日數」(No. of days to be expired) 上。
- 牌照續期功能可用性列載於 H 欄「牌照續期功能可用性」(Renewal Application Function Available):
 - Y=持牌人可使用牌照續期功能 (即牌照到期日前 135 日開始);
 - N=牌照續期功能不適用於該持牌人



- 保險中介一站通帳戶情況列載於「已激活的保險中介一站通帳戶」(E-Portal Account Activated) (「I」欄) 上:
 - Y=持牌人的保險中介一站通帳戶已被激活
 - N=持牌人的保險中介一站通帳戶未被激活

ABC Insurance Company Limited												
Outstanding Report of Licences to be Expired in coming 6 months as at 10/05/2022												
		Partial			Licence Expiry		Renewal Application		E-Portal Account		Date of Renewal	
Full English Name	Full Chinese Name	HKID No.	Licence No.	Licence Type	Date	No. of Days to be Expired	Function Available	Activated	Submitted to IA	Application Number	Application Status	Review Status
LEE CHI MAN	李志文	B012	XX1001	Individual Insurance Agent	2022-09-21	134	Y	Y	2022-05-03	R2200000187	Approved	
LEE CHI MAN 2	李志文 2	B012	XX1002	Individual Insurance Agent	2022-06-27	48	Y	Y	2022-04-27	R2200000166	Submitted to IA	
LEE CHI MAN 3	李志文 3	B014	XX1003	Individual Insurance Agent	2022-08-06	88	Y	Y	2022-04-27	R2200000167	Submitted to Principal	
LEE CHI MAN 4	李志文 4	B014	XX1004	Individual Insurance Agent	2022-08-02	84	Y	Y	2022-04-06	R2200000039	Approved	
LEE CHI MAN 5	李志文 5	C015	XX1005	Individual Insurance Agent	2022-07-03	54	Y	Y	2022-04-06	R2200000040	Filing	Returned by Principal
LEE CHI MAN 6	李志文6	C016	XX1006	Individual Insurance Agent	2022-10-17	160	N	N	2022-05-03	R2200000041	Withdrawn	

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