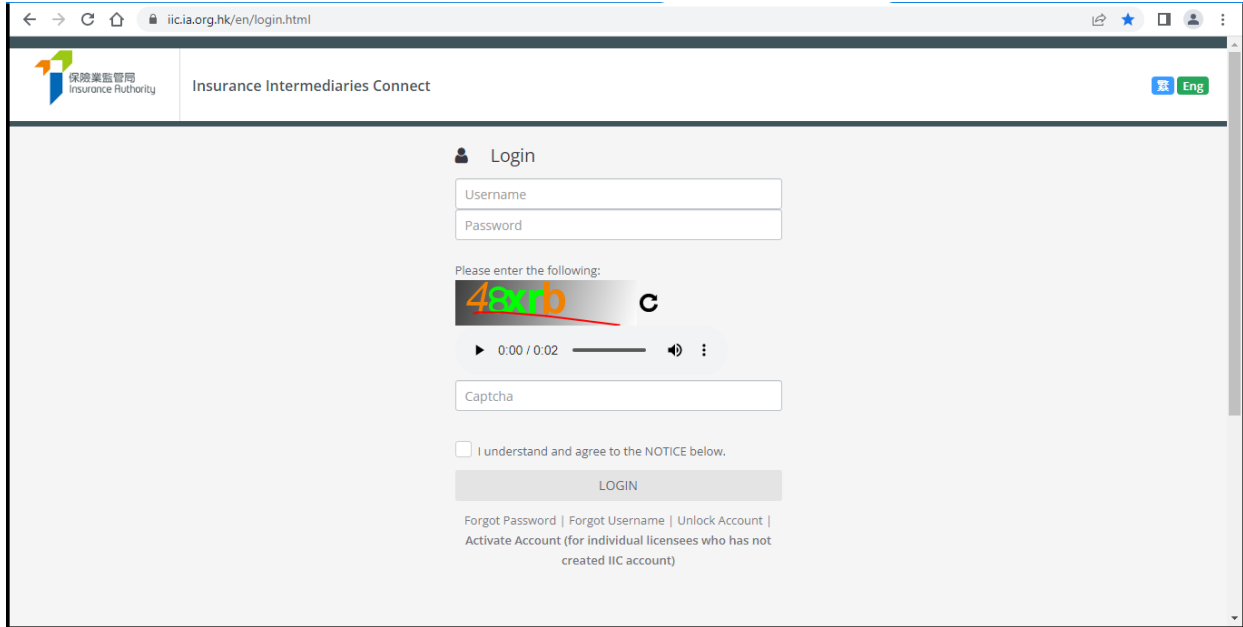


IA CPD Reporting

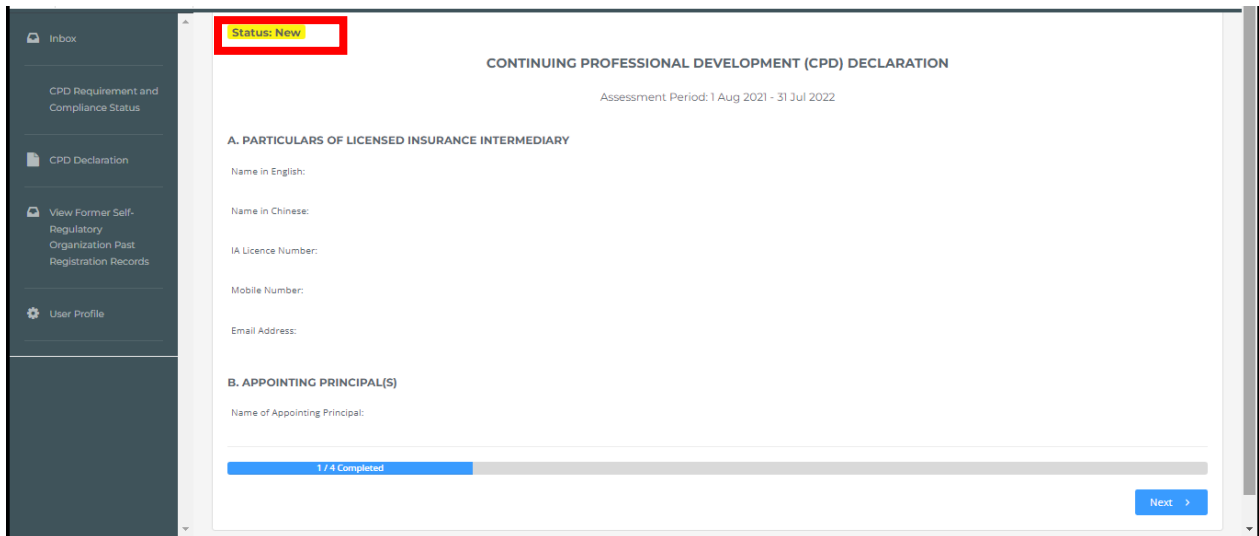
1. Login to your IA portal

<https://iic.ia.org.hk/en/login.html>



2. Click on the CPD Declaration tab on the left side of the page

- Before reporting your status will show "New ", press "Next" once you confirm that details shown on page is correct



- 3. Section C will show the numbers of CPD hours you're required to complete for the assessment period
 - If you have fulfilled your requirements, click "Yes" and "Next"

C. CPD HOURS REQUIRED DURING THE CPD ASSESSMENT PERIOD

	Number of CPD hours Required
Total ¹	12
Ethics or Regulations hours (compulsory)	3

Have you fulfilled the CPD requirements stipulated in Part C above on or before the end of the Assessment Period (i.e. 31 Jul)?

(Please select an appropriate answer. If your answer is 'no', please indicate the shortfall of CPD hours and fill in Part D)

Yes

No

¹This is the total number of CPD hours you are required to earn during the CPD Assessment Period, which includes the compulsory CPD hours required on 'Ethics or Regulations'. If you are in doubt, please consult your appointing principal(s). The Insurance Authority (IA) provides all principals with a list indicating the number of CPD hours required for each individual license they appoint for reference.

²This is the total number of CPD hours, including the CPD hours on 'Ethics or Regulations' (if any), that you are required to have earned (but not yet earned) during the CPD Assessment Period in order to be CPD-compliant.

D. SHORTFALL OF CPD HOURS (IF ANY)

If you were unable to earn all the required number of CPD hours (including the CPD hours required on 'Ethics or Regulations' (if any)) during the CPD Assessment Period, please explain why you were unable to do so and what action(s) you propose to take in order to become CPD-compliant.

2 / 4 Completed

- If you have not completed your CPD hours, click "No". You will be required to fill in the numbers of shortfall and also upload your CPD certificates

Note: Please combine all your CPD certificates to one file as you can upload one file to IA portal

C. CPD HOURS REQUIRED DURING THE CPD ASSESSMENT PERIOD

	Number of CPD hours Required
Total ¹	12
Ethics or Regulations hours (compulsory)	3

Have you fulfilled the CPD requirements stipulated in Part C above on or before the end of the Assessment Period (i.e. 31 Jul)?

(Please select an appropriate answer. If your answer is 'no', please indicate the shortfall of CPD hours and fill in Part D)

Yes

No

Total Shortfall²

No

3

Please upload the supporting document for the CPD hours you have earned.
(Note: any limited to one PDF or PNG or JPG file with a file size not exceeding 2MB)

SELECT FILE

¹This is the total number of CPD hours you are required to earn during the CPD Assessment Period, which includes the compulsory CPD hours required on 'Ethics or Regulations'. If you are in doubt, please consult your appointing principal(s). The Insurance Authority (IA) provides all principals with a list indicating the number of CPD hours required for each individual license they appoint for reference.

²This is the total number of CPD hours, including the CPD hours on 'Ethics or Regulations' (if any), that you are required to have earned (but not yet earned) during the CPD Assessment Period in order to be CPD-compliant.

D. SHORTFALL OF CPD HOURS (IF ANY)

If you were unable to earn all the required number of CPD hours (including the CPD hours required on 'Ethics or Regulations' (if any)) during the CPD Assessment Period, please explain why you were unable to do so and what action(s) you propose to take in order to become CPD-compliant.

4. Read the declaration carefully and “tick the box” to declare that you understand and agree to the delcaration then click “Next”

E. DECLARATION:

I hereby declare and confirm that:

1. All the information provided in this CPD Declaration is COMPLETE, TRUE AND CORRECT.
2. I understand the information provided in this CPD Declaration will be used by the Insurance Authority ("IA") in its continued assessment of my fitness and propriety as a licensed insurance intermediary.
3. I understand the information in this CPD Declaration will be referred to and considered by the IA when considering any insurance intermediary licence application or renewal thereof in respect of me under the Insurance Ordinance (Cap. 41).
4. I have read, understood and complied with the CPD requirements specified in GL24.
5. I understand that only Qualified CPD Activities as defined in GL24 attended by me during the CPD Assessment Period count towards the CPD hours required in Part C above.
6. I have read, understood and agree to the attached Personal Information Collection Statement ("PICS").
7. I give consent to all the principals who have (or had) appointed me to act as its licensed insurance intermediary and all providers of Qualified CPD Activities as defined in GL24 to disclose, transfer and/or release to the IA any personal data belonging to me, including but not limited to, details of the course(s) attended to earn CPD hours(s).
8. I understand the IA may take disciplinary actions against me if I have failed to comply with any CPD requirements as specified by the IA and/or I have made any false declaration in this CPD Declaration.
9. I understand I am required to retain sufficient documentary evidence in support of my attendance or completion of all the CPD hours stated on this CPD Declaration for a minimum of 3 years after the end of the CPD Assessment Period and to produce such documentary evidence to my appointing principal who is responsible for reporting my CPD compliance or to the IA upon request.

I understand and agree to the declaration above.

Warning

Making a false declaration or failing to comply with the CPD requirements under GL24 may adversely affect the IA's view of the continued fitness and propriety of the person, non-compliance with GL24 may also be prejudicial to the interests of policy holders, potential policy holders or the general public, which may result in disciplinary actions to be taken by the IA against that person.

3 / 4 Completed

Previous Next

5. Read the PICS and then click “Next”

Personal Information Collection Statement ("PICS")

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

Purpose of Collection

The personal data provided in (and to support off) this CPD Declaration Form may be used and held by the IA for one or more of the following purposes:

- to administer and/or enforce the provisions of any relevant ordinances (including the Insurance Ordinance (Cap. 41) (the "Ordinance") and any regulations, rules, codes, guidelines and circulars made or promulgated pursuant to the powers vested in the IA as in force at the relevant time and to carry out its functions as a regulator of the insurance industry, including:
 - (i) to process any application(s) you may make to or received by the IA under the Ordinance;
 - (ii) to assess your fitness and propriety in relation to any of your application(s) for licensing or approval (as the case may be) under the Ordinance;
 - (iii) to monitor your fitness and propriety and your status to remain licensed or approved (as the case may be) under the Ordinance;
 - (iv) to consider any application(s) under the Ordinance where you may otherwise have a connection;
 - (v) to display and publish personal data on the public registers maintained under the Ordinance (where applicable);
 - (vi) to investigate complaints and handle enquiries;
 - (vii) to conduct legal proceedings, inspection, investigation, and taking enforcement or disciplinary actions;
 - to co-operate with and assist any other regulatory body and/or law enforcement body of Hong Kong, or of any place outside Hong Kong, whenever appropriate, and to the extent permitted by the laws of Hong Kong;
 - for any statistical and research purposes; and/or
 - for any other purposes as permitted by the laws of Hong Kong.

You are obliged to supply the requested personal data in response to any request from the IA in exercising its powers or carrying out its functions (including processing your application(s)). Failure to provide the requested personal data may result in the IA being unable to exercise its powers or carrying out its functions and may affect the IA's assessment of your fitness and propriety under the Ordinance.

Transfer/Matching of Personal Data

In performing the IA's functions under the relevant laws and regulations, your personal data held by the IA may, for such purposes, be disclosed or transferred to any third parties, including financial regulators in Hong Kong (including but not limited to the Mandatory Provident Fund Schemes Authority, the Securities and Futures Commission and the Hong Kong Monetary Authority), educational institutions/examination bodies in or outside of Hong Kong (for the purpose of conducting qualifying examinations or verifying academic/professional qualifications), relevant appointing principals (authorized insurer, licensed insurance agency and/or licensed insurance broker company (as the case may be)), providers of any Qualified CPD Activities as defined in GL24, the Travel Agents Registry, the Travel Industry Council of Hong Kong, law enforcement agencies, law courts, tribunals and committees and/or other regulators or regulatory/government/judicial bodies as permitted and/or required under the laws of Hong Kong, pursuant to any regulatory/supervisory/investigatory assistance arrangements between the IA and such regulator(s)/bodies (within or outside of Hong Kong) or persons engaged by the IA to assist it in the performance of its functions.

Personal data may also be used by the IA and/or disclosed or transferred by the IA to the parties listed above for the purposes of comparing, verifying and/or carrying out a matching procedure^[1] of those data.

Transfer/Matching of Personal Data

In performing the IA's functions under the relevant laws and regulations, your personal data held by the IA may, for such purposes, be disclosed or transferred to any third parties, including financial regulators in Hong Kong (including but not limited to the Mandatory Provident Fund Schemes Authority, the Securities and Futures Commission and the Hong Kong Monetary Authority), educational institutions/examination bodies in or outside of Hong Kong (for the purpose of conducting qualifying examinations or verifying academic/professional qualifications), relevant appointing principals (authorized insurer, licensed insurance agency and/or licensed insurance broker company (as the case may be)), providers of any Qualified CPD Activities as defined in GL24, the Travel Agents Registry, the Travel Industry Council of Hong Kong, law enforcement agencies, law courts, tribunals and committees and/or other regulators or regulatory/government/judicial bodies as permitted and/or required under the laws of Hong Kong, pursuant to any regulatory/supervisory/investigatory assistance arrangements between the IA and such regulators/bodies (within or outside of Hong Kong) or persons engaged by the IA to assist it in the performance of its functions.

Personal data may also be used by the IA and/or disclosed or transferred by the IA to the parties listed above for the purposes of comparing, verifying and/or carrying out a matching procedure^[1] of those data.

Public Registers

The IA is required to maintain public registers with specified data related to licensed insurance intermediaries under the Ordinance or any related subsidiary legislation. Any member of the public can inspect the public registers free of charge for the purposes of ascertaining whether he/she is dealing with a licensed insurance intermediary or an approved responsible officer of a licensed insurance agency/insurance broker company in respect of any regulated activity, and the particulars of the licensing of a person as a licensed insurance intermediary and/or the approval of such person as a responsible officer.

Access to Personal Data

Under the PDPO, you have the right to request access to and/or for correction of your personal data held by the IA. Please complete a "Data Access Request Form" (which is available on 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 on the IA's website.

^[1] "Matching procedures" is defined in section 2 of the PDPO.

4 / 4 Completed

Previous Submit

Transfer/Matching of Personal Data

In performing the IA's functions under the relevant laws and regulations, your personal data held by the IA may, for such purposes, be disclosed or transferred to any third parties, including financial regulators in Hong Kong (including but not limited to the Mandatory Provident Fund Schemes Authority, the Securities and Futures Commission and the Hong Kong Monetary Authority), educational institutions/examination bodies in or outside of Hong Kong (for the purpose of conducting qualifying examinations or verifying academic/professional qualifications), relevant appointing principals (authorized insurer, licensed insurance agency and/or licensed insurance broker company (as the case may be)), providers of any Qualified CPD Activities as defined in GL24, the Travel Agents Registry, the Travel Industry Council of Hong Kong, law enforcement agencies, law courts, tribunals and committees and/or other regulators or regulatory/government/judicial bodies as permitted and/or required under the laws of Hong Kong, pursuant to any regulatory/supervisory/investigatory assistance arrangements between the IA and such regulators/bodies (within or outside of Hong Kong) or persons engaged by the IA to assist it in the performance of its functions.

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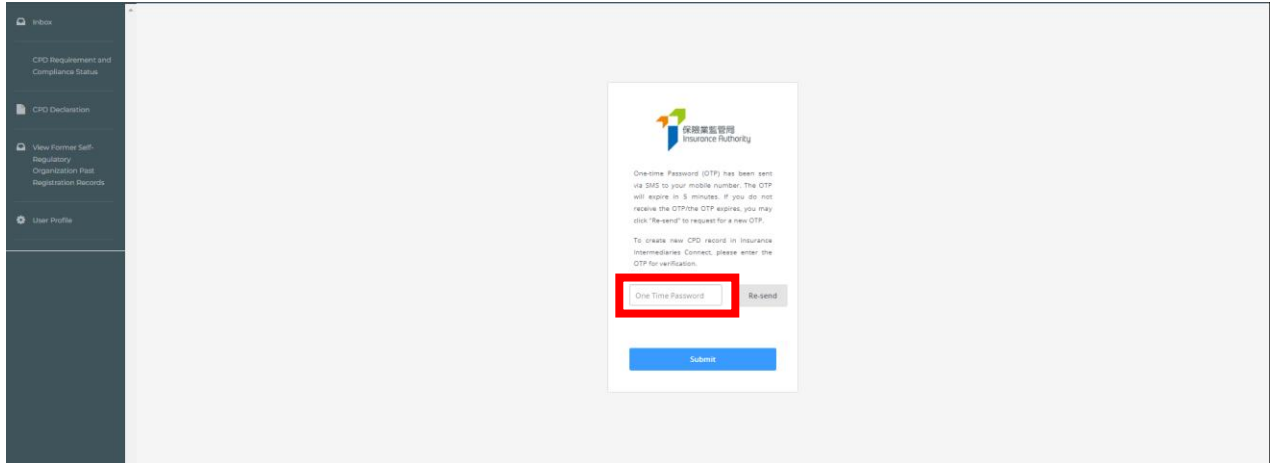
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^[1] "Matching procedures" is defined in section 2 of the PDPO.

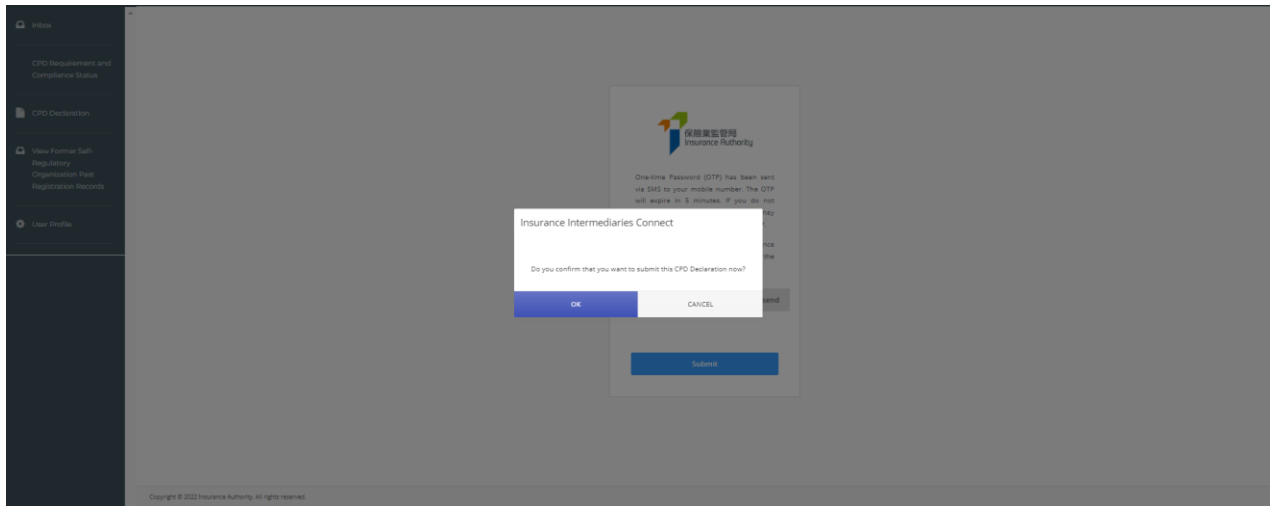
4 / 4 Completed

Previous Submit

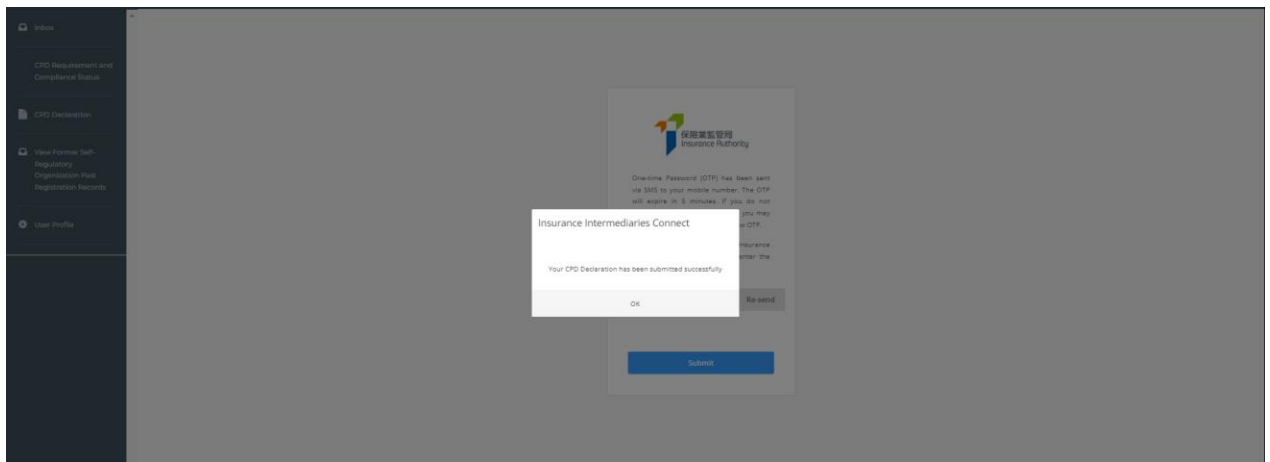
6. An one time password “OTP” will be sent to your registered mobile number. Once you receive the OTP, input into the box below and click “Submit”



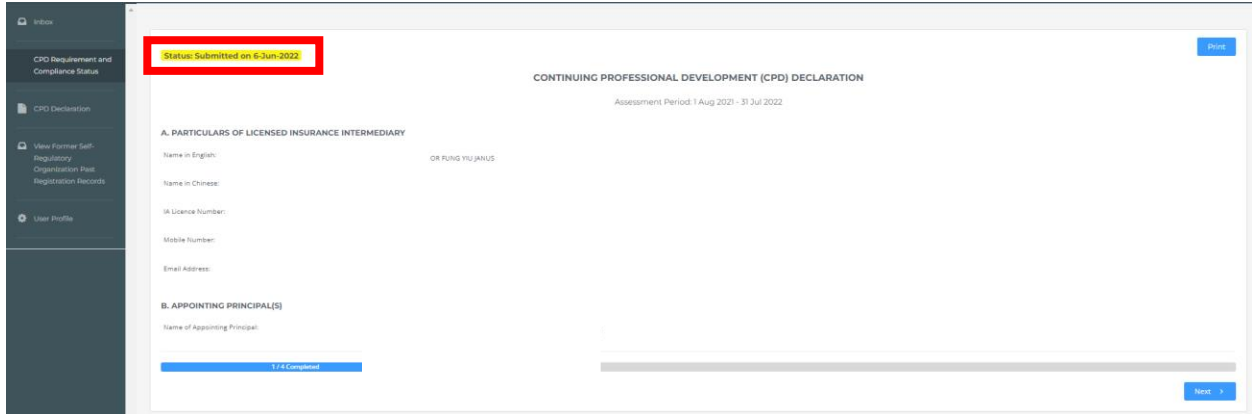
7. Click “Ok” to confirm submission



8. You have successfully reported your CPD online



9. You may click the “CPD Declaration” on the left side to confirm that your CPD reporting is successful.
- Status has now changed to Submitted on d-mmm-yyyy



- You can also click on the “CPD Declaration and Compliance Status” tab to review your submission and the reporting principal

The screenshot shows the 'CPD Requirement and Compliance Status' table. The table has columns for Assessment Year, Period, Total CPD Hours Required, Compulsory hours on 'Ethics or Regulations', Reporting Principal, Compliance Status, and Remarks. The data shows two assessment periods: 2021-2022 and 2019-2021.

Assessment Year	Period	Total CPD Hours Required	Compulsory hours on "Ethics or Regulations"	Reporting Principal	Compliance Status	Remarks
2021-2022	1 Aug 2021 - 31 Jul 2022	12 (3 hours deducted)	3	Self Reported on 06 Jun 2022	Y	
2019-2021	23 Sep 2019 - 31 Jul 2021	20	N/A	Zurich Versicherungs-Gesellschaft AG (Zurich Insurance Company Ltd)(Z088)	Y	

Remarks on "Compliance Status"

- Y = CPD hours completed and CPD Declaration Form filed (the Principal has also verified the documentary evidence in support of the CPD Declaration Form).
- N/A = This individual licensee has not appointed us as the Principal responsible for reporting their CPD compliance. This only applies to individual licensees who have more than one Principal.
- N-1 = Non-compliance due to failure to fully complete all CPD hours required.
- N-2 = Non-compliance due to failure to file the CPD Declaration Form.
- NR = The individual licensee is not required to earn any CPD hours for the Assessment Periods. Such licensees are not required to submit a completed CPD Declaration Form to the Principal.

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