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## Code of Conduct for Licensed Insurance Brokers

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**Date:** 28 March 2023 (Tuesday)

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**Time:** 9:30am – 12:30pm

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### Course Outline:

#### Updated contents for Assessment Period 2022-2023

- ◆ Insurance Authority regulatory framework
- ◆ IA first disciplinary action – decision and significance
- ◆ 8 General Principles of the Code of Conduct – with examples, case studies and best practice recommendations
- ◆ Ethics – build a high integrity culture
- ◆ IA recent disciplinary action – decision and significance
- ◆ Q&A Session

### Speaker:

#### **Ms. Yvonne Lam, LLB (Hons)**

Ms. Yvonne Lam is a practising solicitor admitted in Hong Kong and has joined CIB since 2014. She previously oversaw the investigation and prosecution of CIB's disciplinary process. With the completion of its self-regulatory functions of CIB in 2019, Yvonne has focused on compliance and professional development. She has contributed to the publication of the Compliance Manual and CIB Bulletins. She also manages CIB Helpdesk to answer enquiries on compliance matters. Yvonne has delivered numerous CPD seminars on the Code of Conduct, financial requirements and Insurance Authority's guidelines. Her specialty is on ethics.