
Code of Conduct for Licensed Insurance Brokers

Date: 28 June 2023 (Wednesday)

Time: 9:30am – 12:30pm

Course Outline:

Updated contents for Assessment Period 2022-2023

- ◆ Ethics – build a high integrity culture
- ◆ IA disciplinary decisions – case studies
- ◆ Insurance Authority regulatory framework
- ◆ 8 General Principles of the Code of Conduct – with examples, case studies and best practice recommendations on rules on accurate representations, giving regulated advice, disclosure requirements and referral business
- ◆ 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.