
Code of Conduct for Licensed Insurance Brokers (English)

Date: 27 June 2025 (Friday)

Time: 9:30am – 12:30pm

Mode: Zoom

Course Outline

- GP1: Honesty and integrity in regulated activities and accurate representations
- GP2: Acting fairly and in the client's best interests, including making follow-up enquiries
- GP3: Exercising care, skill, and diligence, including handling of application forms, carrying out client's instructions promptly and assistance in claims
- GP4: Competence to advise
- GP5: Disclosure of information including policyholder's obligations to make full disclosure of material facts – reasons for such obligations, what facts are "material" and consequences of non-disclosure
- Practical tips: summary of key practical advice, including reporting obligations, referral business practices, handling of claims and policy renewal
- Case studies and examples: analysis of specific cases to illustrate practical applications of principles
- 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.