
Regulatory Compliance for Brokers: Understanding the Disciplinary Process, Penalty Guidelines and Complaint Handling Procedures

Date: 29 January 2027 (Friday)

Time: 9:30am – 12:30pm

Mode: Zoom

Language: English

Course Objective

To provide members a comprehensive understanding of the IA's disciplinary powers, the financial and professional penalties for misconduct, recent enforcement trends and best practices for internal complaint handling to prevent regulatory escalation.

Course Outline

Part 1: IA Disciplinary Process and Penalty Guidelines

- IA disciplinary process
- Guidelines on Exercising Power to Impose Pecuniary Penalty (GL22& GL3A)
- Q&A

Part 2: Enforcement Updates and Case Studies

- Enforcement trends and priority
- Case studies
- The role of the Responsible Officer (RO)
- Q&A

Part 3: The First Line of Defense – Complaint Handling Procedures

- Regulatory requirements for complaint handling
- Best practices in de-escalation and resolution
- Q&A

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.