

ComplianceDirect 2023 e-Learning Course List

Course Code	Topic	Course Outline	Category	Hour	Std Course Fee
2022-A1	Financial Resources Rules Requirements for Licensed Corporations which Do Not Hold Client Assets (Type 4 & 9 RAs)	<ul style="list-style-type: none"> • General Requirements on Financial Resources Rules Applicable to Licenced Corporations • Revised FRR Forms • Liquid Capital Computation & the SFC FRR Form Filling • Enforcement News Relating to FRR Breaches 	Compliance	2.5	\$780
2022-A4	The SFC Code of Conduct for Wealth Management & Brokerage Firms, Discretionary Account Managers and Fund Managers (Type 1,2,4 & 9 RAs)	<ul style="list-style-type: none"> • Regulatory Requirements under the Fund Manager Code of Conducts • Regulatory Requirements under the Code of Conduct for Person Licenced by or Registered with the SFC • Irregularities and Deficiencies • Common Instances of Non-compliance 	Compliance	2.5	\$780
2022-A5	Compliance with Suitability Obligations (Type 1,2,4 & 9 RAs)	<ul style="list-style-type: none"> • Regulatory Requirements when Selling Investment Products to Clients • Investment Products Due Diligence • Monetary, Non-monetary & Independent Status Disclosure Requirements • Triggering of Suitability Obligation • Professional Investors • Litigation Case Studies 	Compliance	2.5	\$780
2022-A6	Understanding The Duties & Obligations of Senior Management under the SFC (All Types of RAs)	<ul style="list-style-type: none"> • Management Responsibilities of Responsible Officers, Executive Officers and Directors • Measures for Augmenting the Accountability of Senior Management 	Compliance	2.5	\$780
2022-B1	Professional Conduct & Ethics (All Types of RAs)	<ul style="list-style-type: none"> • Honesty & Fairness • Avoidance and Management of Conflicts of Interests • Client Confidentiality • Misappropriation of Client Assets • Prevention of Bribery 	Ethics	2	\$620
2022-C1	Suspicious Transaction Reporting (All Types of RAs)	<ul style="list-style-type: none"> • Statutory Obligations & Defence • Joint Financial Intelligence Unit (JFIU) • Staff Responsibility on Suspicious Transaction Reporting • Identifying Suspicious Transactions • Internal Reporting, Reporting to JIFU & Post Reporting Matters • Law Enforcement Agencies' Requests • National Security Law • Case Study 	Compliance	1.5	\$470
2022-C2	The Management and Disclosure of Climate-related Risks by Fund Managers (Type 9 RA)	<ul style="list-style-type: none"> • Overview of the New SFC Requirements on Fund Manager in regard to Climate-related Risks • Implementation Timeline • Scope & Applicability • Framework for the 'Baseline Requirements' & 'Enhanced Standards' 	Compliance	1.5	\$470
2022-D1	Anti-bribery & Corruption (All Types of RAs)	<ul style="list-style-type: none"> • Legal Framework Governing Bribery & Corruption in HK • Prevention of Bribery Ordinance • ICAC Ordinance • Misconduct in Public Office • Application Samples & Enforcement News 	Compliance	1	\$310

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2022-D2	Personal Data (Privacy) Ordinance (All Types of RAs)	<ul style="list-style-type: none"> • Personal Data (Privacy) Ordinance (PDPO) & Privacy Commissioner for Personal Data (PCPD) • The 6 Data Protection Principles (DPPs) • Privacy Policy & Personal Information Collection Statements • Direct Marketing • Enforcement News 	Compliance	1	\$310
2022-D3	Professional Investors (All Types of RAs)	<ul style="list-style-type: none"> • Professional Investor Regime • Practical Examples of Classifying Professional Investors • Waivers for Professional Investors 	Compliance	1	\$310
2023-06	Ongoing Obligation of Licensed Persons (All Types of RAs) <i>[New!]</i>	<ul style="list-style-type: none"> • General Requirement • Availability of Responsible Officers • Notification by Licensed Corporations, Licensed Individuals and Registered Institutions • Notification by Directors and Substantial Shareholders of Licensed Corporations • Notification by Associated Entities of Intermediaries • Summary of Notification Requirements • Cessation of Business • Submission of Documents • Payment of Annual Fees • Continuous Professional Training 	Compliance	1	\$310
2023-08	The SFC Code on Takeovers and Mergers and Share Buy-back <i>[New!]</i>	<ul style="list-style-type: none"> • Introduction to the Codes • Takeovers Code Administrators • General Principles & Approach under Takeover Code • Independent Advice, Independent Committees and Shareholder Approval • Voluntary Offer & Mandatory Offer • Waiver of Mandatory Offer • Acting in Concert • Advisers • Announcements under Takeovers Code • Disclosure of Dealings during Offer Period • Definition of "Associates" & "Relevant Securities" • Code on Share Buy-backs • Privatisation • Type 6 (Advising on Corporate Finance) Licensing Requirements 	Compliance	2	\$620
2023-09	Securities & Futures (Client Money) Rules & (Securities) Rules <i>[New!]</i>	<ul style="list-style-type: none"> • Securities and Futures (Client Money) Rules "CMR" <ul style="list-style-type: none"> - Key Requirements of CMR - Standing Authority - Internal Controls to Comply with CMR - Reporting Obligations on Non-compliance • Securities and Futures (Client Securities) Rules "CSR" <ul style="list-style-type: none"> - Key Requirements of CSR - Internal Controls to Comply with CSR • Internal Controls to Comply with Client Assets Rule • SFC Enforcement Actions on Non-compliance "CMR" & "CSR" 	Compliance	2	\$620
2023-02	防止贿赂及贪污 (所有受规管活动类型) <i>[New!]</i>	<ul style="list-style-type: none"> • 背景 • 防止贿赂条例 (第201章) • 廉政公署条例 (第204章) • 公职人员行为失当罪 • 应用 • 执法新闻 	合规	1	\$310

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2023-03	个人资料 (私隐) 条例 (所有受规管活动类型) <i>[New!]</i>	<ul style="list-style-type: none"> • 背景 • 释义 • 6项保障数据原则 (“原则”) • 《收集个人资料声明》及《隐私政策声明》 • 直接促销 • 执法消息 	合规	1	\$310
2023-07	财富管理及证券经纪商、全权委托账户经理及基金经理的证监会操守准则 (第1、2、4及9受规管活动类型) <i>[New!]</i>	<ul style="list-style-type: none"> • 基金经理操守准则项下主要规管要求 • 证监会持牌人或注册人操守准则项下主要规管要求 • 不寻常情况及缺失 • 常见不合规情况 	合规	2.5	\$780
2023-04	Regulatory Requirements on Anti-Money Laundering and Counter Financing of Terrorism (AML/ CFT) for Brokerage Firms and Licensed Corporations which Hold Client Assets (Type 1 & 2 RAs) <i>[2023 Edition]</i>	<ul style="list-style-type: none"> • Overview of the Anti-Money Laundering and Counter-Terrorist Financing (Financial Institutions) Ordinance • Effective Management and Internal Controls • Institutional Risk Assessment (IRA) • Key AML/CFT Regulatory Developments • Key AML/CFT Regulatory Requirements • SFC’s Inspection Findings and Other Supervisory Observations & Examples of Good Practices • Case Study • Emerging Risk Issues for the Securities Sector • SFC Requirement on KYC (Para.5.1 of Code of Conduct) • SFC Disciplinary Actions • Other Reporting Obligations 	Compliance	2.5	\$780
2023-05	Regulatory Requirements on Anti-Money Laundering and Counter Financing of Terrorism (AML/ CFT) for Discretionary Account Managers & Fund Managers (Type 4 & 9 RAs) <i>[2023 Edition]</i>	<i>[Coming Soon]</i>	Compliance	2.5	\$780
2023-11	打击洗钱 (AML)及恐怖分子集资金筹集 (CFT) 的监管要求- 适用于持有客户资产的经纪公司及持牌法团 (第1及2受规管活动类型) <i>[2023年版]</i>	<i>[Coming Soon]</i>	合规	2.5	\$780
2023-12	打击洗钱 (AML)及恐怖分子集资金筹集 (CFT) 的监管要求 - 适用于全权委托账户经理和基金经理 (第4及9受规管活动类型) <i>[2023年版]</i>	<i>[Coming Soon]</i>	合规	2.5	\$780

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2023-13	Regulatory Requirements on Virtual Asset-related Activities (Type 1, 4 & 9 RAs)	<ul style="list-style-type: none"> • What is Virtual Asset (VA) & VA-related Products? • Distribution of VA-related Product • Provision of Virtual Asset Dealing Services • Provision of Virtual Asset Advisory Services • Classification of VA-related Products • Virtual Asset Fund Managers • Proforma Terms and Conditions for Licensed Corporations which Manage Portfolios that Invest in Virtual Assets [Organization & Management Structure, Virtual Asset Fund Management, Custody, Operations, Dealing with the Fund and Fund Investors, Marketing Activities, Fees and Expenses, Reporting to the SFC] • Licensed Virtual Asset Service Provider (VASP)/ Trading Platform under Anti-Money Laundering and Counter-Terrorist Financing Ordinance (AMLO) [Key Regulatory Requirements, Application for VATP Licence] 	Compliance	1.5	\$470