

## ComplianceDirect 2024 e-Learning Course List

Course Code	Topic	Course Outline	Category	Hour	Std Course Fee
2024-A1	<b>Financial Resources Rules Requirements for Licensed Corporations which Do Not Hold Client Assets (Type 4 &amp; 9 RAs)</b>	<ul style="list-style-type: none"> <li>• General Requirements on Financial Resources Rules Applicable to Licenced Corporations</li> <li>• Revised FRR Forms</li> <li>• Liquid Capital Computation &amp; the SFC FRR Form Filling</li> <li>• Enforcement News Relating to FRR Breaches</li> </ul>	Compliance	2.5	\$780
2024-A5	<b>Compliance with Suitability Obligations (Type 1,2,4,5 &amp; 9 RAs)</b>	<ul style="list-style-type: none"> <li>• Regulatory Requirements when Selling Investment Products to Clients</li> <li>• Investment Products Due Diligence</li> <li>• Monetary, Non-monetary &amp; Independent Status Disclosure Requirements</li> <li>• Triggering of Suitability Obligation</li> <li>• Professional Investors</li> <li>• Litigation Case Studies</li> </ul>	Compliance	2.5	\$780
2024-A6	<b>Understanding The Duties &amp; Obligations of Senior Management under the SFC (All Types of RAs)</b>	<ul style="list-style-type: none"> <li>• Management Responsibilities of Responsible Officers, Executive Officers and Directors</li> <li>• Measures for Augmenting the Accountability of Senior Management</li> </ul>	Compliance	2.5	\$780
2024-04 (EN)	<b>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 &amp; 2 RAs)</b>	<ul style="list-style-type: none"> <li>• Overview of the Anti-Money Laundering and Counter-Terrorist Financing (Financial Institutions) Ordinance</li> <li>• Effective Management and Internal Controls</li> <li>• Institutional Risk Assessment (IRA)</li> <li>• Key AML/CFT Regulatory Developments</li> <li>• Key AML/CFT Regulatory Requirements</li> <li>• SFC's Inspection Findings and Other Supervisory Observations &amp; Examples of Good Practices</li> <li>• Case Study</li> <li>• Emerging Risk Issues for the Securities Sector</li> <li>• SFC Requirement on KYC (Para.5.1 of Code of Conduct)</li> <li>• SFC Disciplinary Actions</li> <li>• Other Reporting Obligations</li> </ul>	Compliance	2.5	\$780
2024-05 (EN)	<b>Regulatory Requirements on Anti-Money Laundering and Counter Financing of Terrorism (AML/ CFT) for Discretionary Account Managers &amp; Fund Managers (Type 4 &amp; 9 RAs)</b>	<p><b>Part 1 - Regulatory Requirements of Cayman Islands and Cayman Islands Monetary Authority (CIMA) on AML &amp; CFT</b></p> <ul style="list-style-type: none"> <li>• GP-LP &amp; Segregated Portfolio Company (SPC) Structure</li> <li>• Overview of the Anti-Money Laundering and Counter-Terrorist Financing in the Cayman Islands Regime</li> <li>• Updates on the Cayman Islands Anti-Money Laundering Regulations (2023 Revision)</li> <li>• Effective Management and Internal Controls</li> <li>• Customers Due Diligence, Review and Monitoring</li> <li>• Reporting of Suspicious Activities</li> <li>• Warning Signs to Mutual Funds</li> </ul>	Compliance	2.5	\$780

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	<i>Continue of course 2024-05 (EN) details</i>	<p><b>Part 2 - Regulatory Requirements of Hong Kong and the SFC on AML &amp; CFT</b></p> <ul style="list-style-type: none"> <li>• Overview of the Legislation in HK Governing ML and TF &amp; Anti-Money Laundering and Counter-Terrorist Financing (Financial Institutions) Ordinance</li> <li>• Effective Management and Internal controls</li> <li>• Institutional Risk Assessment (IRA)</li> <li>• Updates on Key AML/CFT Regulatory Requirements</li> <li>• Key AML/CFT Regulatory Requirements</li> <li>• Counter Financing of Proliferation of Weapons of Mass Destruction Regime</li> <li>• SFC's Inspection Findings and Good Practice Examples</li> <li>• Case Study</li> <li>• Emerging Risk Issues for the Securities Sector</li> <li>• SFC Requirement on KYC (Para.5.1 of Code of Conduct)</li> <li>• SFC Disciplinary Actions</li> <li>• Other Reporting Obligations</li> </ul>			
2024-07 (EN)	<b>The SFC Code of Conduct for Wealth Management &amp; Brokerage Firms, Discretionary Account Managers and Fund Managers (Type 1,2,4 &amp; 9 RAs)</b>	<ul style="list-style-type: none"> <li>• Regulatory Requirements under the Fund Manager Code of Conducts</li> <li>• Regulatory Requirements under the Code of Conduct for Person Licenced by or Registered with the SFC</li> <li>• Irregularities and Deficiencies</li> <li>• Common Instances of Non-compliance</li> </ul>	Compliance	2.5	\$780
2024-B1	<b>Professional Conduct &amp; Ethics (All Types of RAs)</b>	<ul style="list-style-type: none"> <li>• Honesty &amp; Fairness</li> <li>• Avoidance and Management of Conflicts of Interests</li> <li>• Client Confidentiality</li> <li>• Misappropriation of Client Assets</li> <li>• Prevention of Bribery</li> </ul>	Ethics	2	\$620
2024-08	<b>The SFC Code on Takeovers and Mergers and Share Buy-back</b>	<ul style="list-style-type: none"> <li>• Introduction to the Codes</li> <li>• Takeovers Code Administrators</li> <li>• General Principles &amp; Approach under Takeover Code</li> <li>• Independent Advice, Independent Committees and Shareholder Approval</li> <li>• Voluntary Offer &amp; Mandatory Offer</li> <li>• Waiver of Mandatory Offer</li> <li>• Acting in Concert</li> <li>• Advisers</li> <li>• Announcements under Takeovers Code</li> <li>• Disclosure of Dealings during Offer Period</li> <li>• Definition of "Associates" &amp; "Relevant Securities"</li> <li>• Code on Share Buy-backs</li> <li>• Privatisation</li> <li>• Type 6 (Advising on Corporate Finance) Licensing Requirements</li> </ul>	Compliance	2	\$620

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2023-09	<b>Securities &amp; Futures (Client Money) Rules &amp; (Securities) Rules</b> <i>[2023 Edition]</i>	<ul style="list-style-type: none"> <li>Securities and Futures (Client Money) Rules "CMR" <ul style="list-style-type: none"> <li>Key Requirements of CMR</li> <li>Standing Authority</li> <li>Internal Controls to Comply with CMR</li> <li>Reporting Obligations on Non-compliance</li> </ul> </li> <li>Securities and Futures (Client Securities) Rules "CSR" <ul style="list-style-type: none"> <li>Key Requirements of CSR</li> <li>Internal Controls to Comply with CSR</li> </ul> </li> <li>Internal Controls to Comply with Client Assets Rule</li> <li>SFC Enforcement Actions on Non-compliance "CMR" &amp; "CSR"</li> </ul>	Compliance	2	\$620
2024-C1	<b>Suspicious Transaction Reporting (All Types of RAs)</b>	<ul style="list-style-type: none"> <li>Statutory Obligations &amp; Defence</li> <li>Joint Financial Intelligence Unit (JFIU)</li> <li>Staff Responsibility on Suspicious Transaction Reporting</li> <li>Identifying Suspicious Transactions</li> <li>Internal Reporting</li> <li>Reporting to JFIU</li> <li>Statutory Defense</li> <li>Post Reporting Matters</li> <li>Law Enforcement Agencies' Requests</li> <li>National Security Law</li> <li>Case Study</li> </ul>	Compliance	1.5	\$470
2022-C2	<b>The Management and Disclosure of Climate-related Risks by Fund Managers (Type 9 RA)</b> <i>[2022 Edition]</i>	<ul style="list-style-type: none"> <li>Overview of the New SFC Requirements on Fund Manager in regard to Climate-related Risks</li> <li>Implementation Timeline</li> <li>Scope &amp; Applicability</li> <li>Framework for the 'Baseline Requirements' &amp; 'Enhanced Standards'</li> </ul>	Compliance	1.5	\$470
2024-13	<b>Regulatory Requirements on Virtual Asset-related Activities (Type 1, 4 &amp; 9 RAs)</b>	<ul style="list-style-type: none"> <li>What is Virtual Asset (VA) &amp; VA-related Products?</li> <li>Distribution of VA-related Product</li> <li>Provision of Virtual Asset Dealing Services</li> <li>Provision of Virtual Asset Advisory Services</li> <li>Classification of VA-related Products</li> <li>Virtual Asset Fund Managers</li> <li>Proforma Terms and Conditions for Licensed Corporations which Manage Portfolios that Invest in Virtual Assets [Organization &amp; Management Structure, Virtual Asset Fund Management, Custody, Operations, Dealing with the Fund and Fund Investors, Marketing Activities, Fees and Expenses, Reporting to the SFC]</li> <li>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]</li> </ul>	Compliance	1.5	\$470

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2024-D1 (EN)	<b>Anti-bribery &amp; Corruption (All Types of RAs)</b>	<ul style="list-style-type: none"> <li>Legal Framework Governing Bribery &amp; Corruption in HK</li> <li>Prevention of Bribery Ordinance</li> <li>ICAC Ordinance</li> <li>Misconduct in Public Office</li> <li>Application Samples &amp; Enforcement News</li> </ul>	Compliance	1	\$310
2024-D3	<b>Professional Investors (All Types of RAs)</b>	<ul style="list-style-type: none"> <li>Professional Investor Regime</li> <li>Definition of different Key Terms</li> <li>Practical Examples of Classifying Professional Investors</li> <li>Waivers for Professional Investors</li> </ul>	Compliance	1	\$310
2024-03 (EN)	<b>Personal Data (Privacy) Ordinance (All Types of RAs)</b>	<ul style="list-style-type: none"> <li>Personal Data (Privacy) Ordinance (PDPO) &amp; Privacy Commissioner for Personal Data (PCPD)</li> <li>The 6 Data Protection Principles (DPPs)</li> <li>Privacy Policy &amp; Personal Information Collection Statements</li> <li>Direct Marketing</li> <li>Enforcement News</li> </ul>	Compliance	1	\$310
2024-06	<b>Ongoing Obligation of Licensed Persons (All Types of RAs)</b>	<ul style="list-style-type: none"> <li>General Requirement</li> <li>Availability of Responsible Officers</li> <li>Notification by Licensed Corporations, Licensed Individuals and Registered Institutions</li> <li>Notification by Directors and Substantial Shareholders of Licensed Corporations</li> <li>Notification by Associated Entities of Intermediaries</li> <li>Summary of Notification Requirements</li> <li>Cessation of Business</li> <li>Submission of Documents</li> <li>Payment of Annual Fees</li> <li>Continuous Professional Training</li> </ul>	Compliance	1	\$310
2024-04 (CN)	<b>对持有客户资产的经纪公司及持牌法团的反洗钱 (AML) 和反恐怖主义融资 (CFT) 监管要求 (对于 1 类和 2 类 RA)</b>  <b>** 此课程为2024-04 (EN)的中文版**</b>	<ul style="list-style-type: none"> <li>《打击洗钱及恐怖分子资金筹集 (金融机构) 条例》概览</li> <li>有效的管理和内部控制</li> <li>机构风险评估 (IRA)</li> <li>反洗钱/打击资助恐怖主义的主要监管动态</li> <li>反洗钱/反恐怖主义融资关键监管要求</li> <li>证监会的巡查结果及其他监管意见及良好做法范例</li> <li>案例分析</li> <li>证券业新出现的风险问题</li> <li>证监会对 KYC 的要求 (《行为准则》第 5.1 段)</li> <li>证监会纪律处分</li> <li>其他报告义务</li> </ul>	合规	2.5	\$780

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2024-05 (CN)	<p>对委托账户经理和基金经理的反洗钱和反恐怖主义融资的监管要求 (适用于第 4 类和第 9 类受规管活动) [2.5 小时]</p> <p><b>** 此課程為2024-05 (EN)的中文版**</b></p>	<p><b>第 1 部分 - 开曼群岛和开曼群岛金融管理局 (CIMA) 对 AML 和 CFT 的监管要求</b></p> <ul style="list-style-type: none"> <li>• 普通合伙人 (General Partner) - 有限合伙人 (Limited Partner) 和独立投资组合公司 (Segregated Portfolio Company) 结构</li> <li>• 开曼群岛反洗钱与反恐融资概况</li> <li>• 开曼群岛反洗钱条例 (2024年修订)</li> <li>• 有效的管理和内部控制</li> <li>• 客户尽职调查、审查与监控</li> <li>• 报告可疑活动</li> <li>• 共同基金的警讯</li> </ul> <p><b>第 2 部分 - 香港及证监会关于反洗钱及打击资助恐怖主义的监管要求</b></p> <ul style="list-style-type: none"> <li>• 香港规管洗黑钱和恐怖分子资金筹集的法例概览以及《反洗钱和反恐怖主义融资 (金融机构) 条例》</li> <li>• 有效的管理和内部控制</li> <li>• 机构风险评估 (IRA)</li> <li>• 反洗钱/反恐怖主义融资关键监管要求的更新</li> <li>• 反洗钱与反恐怖主义融资指引修订</li> <li>• 反洗钱和反恐怖主义融资监管发展的重大更新</li> <li>• 大规模杀伤性武器扩散反融资制度</li> <li>• 证监会视察结果及合规例子</li> <li>• 个案研究</li> <li>• 证券业新出现的风险问题</li> <li>• 证监会对认识你的客户的要求 (《行为守则》第 5.1 段)</li> <li>• 证监会纪律处分</li> <li>• 其他报告义务</li> </ul>	合规	2.5	\$780
2024-07 (CN)	<p>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)</p> <p><b>** 此课程为2024-07 (EN)的中文版**</b></p>	<ul style="list-style-type: none"> <li>• 基金经理操守准则重点</li> <li>• 证券及期货事务监察委员会持牌人或注册人操守准则 (「操守准则」) 的主要监管要求</li> <li>• 违规行为和缺陷</li> <li>• 常见的不合规状况</li> </ul>	合规	2.5	\$780
2024-D1 (CN)	<p>防止贿赂及贪污 (所有受规管活动类型)</p> <p><b>** 此课程为2024-D1 (EN)的中文版**</b></p>	<ul style="list-style-type: none"> <li>• 背景</li> <li>• 防止贿赂条例 (第201章)</li> <li>• 廉政公署条例 (第 204 章)</li> <li>• 公职人员行为失当罪</li> <li>• 应用</li> <li>• 执法新闻</li> </ul>	合规	1	\$310
2024-03 (CN)	<p>个人资料 (私隱) 条例 (所有受规管活动类型)</p> <p><b>** 此课程为2024-03 (EN)的中文版**</b></p>	<ul style="list-style-type: none"> <li>• 背景</li> <li>• 释义</li> <li>• 6项保障资料原则 (「原则」)</li> <li>• 《隐私权政策声明》及《收集个人资料声明》</li> <li>• 直接促销</li> <li>• 数据外泄事故的处理及通报</li> <li>• 执法消息</li> </ul>	合规	1	\$310