

**E-CPD Course Organized by the Insurance Authority**  
**保險業監管局舉辦的電子持續專業培訓課程**

<b>Name of Course</b> <b>課程名稱</b>	Anti-Money Laundering and Counter-Financing of Terrorism 打擊洗錢及恐怖分子資金籌集
<b>Overview</b> <b>概覽</b>	<p>Licensed insurance intermediaries play a crucial role in connecting policyholders with insurance companies. As the primary point of contact for policyholders, intermediaries undertake various regulated activities and policy servicing. This often includes gathering information, data, and documents, in which suspicious activities may be identified.</p> <p>Recognizing that the insurance industry is vulnerable to the risks of money laundering and terrorist financing, it is essential for licensed insurance intermediaries, particularly those carrying on regulated activities in respect of long term business, to possess the necessary knowledge of anti-money laundering and counter-financing of terrorism (“AML/CFT”) requirements given their unique position in the industry.</p> <p>This course provides a comprehensive understanding of the legal framework of combating money laundering and terrorist financing in Hong Kong, with a specific focus on its application within the insurance sector and emphasis on the roles of licensed insurance intermediaries in safeguarding the industry against money laundering and terrorist financing risks. Through eight modules and real-life case studies, insurance intermediaries can gain the necessary knowledge and practical guidance to fulfill their statutory obligations in AML/CFT. Completion of the course equips participants with a thorough understanding of the regulatory expectations in AML/CFT, enabling them to pursue successful careers based on integrity and trust.</p> <p>持牌保險中介人扮演著連繫投保人和保險公司重要的角色。作為投保人的主要聯絡人，保險中介人從事各種受規管的活動和提供與保單有關的服務，包括收集資料、數據和文件，亦有機會從其中識別有可疑的活動。</p> <p>由於保險業存在被犯罪分子利用作洗錢及恐怖分子資金籌集的風險，且考慮到保險中介人(尤其是就長期業務</p>

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	<p>進行受規管活動的持牌人)在該行業中的獨特角色，他們具備有關打擊洗錢及恐怖分子資金籌集要求的知識變得至關重要。</p> <p>本課程介紹香港打擊洗錢和恐怖分子資金籌集的法律框架，及其在保險業界的應用，並強調保險中介人在打擊洗錢和恐怖分子資金籌集上的角色。保險中介人將透過八個課程單元及案例研究獲得必要的知識和實務指引，以履行他們在打擊洗錢和恐怖分子資金籌集方面的法定責任及徹底了解相關的監管要求，以使他們能夠在具誠信的基礎上在保險業中追求成功的職涯。</p>
<b>Learning objective</b> <b>學習目標</b>	<p>By the end of this course, insurance intermediaries will be able to:</p> <ul style="list-style-type: none"> <li>• Describe the legislative framework for combating money laundering and terrorist financing in Hong Kong.</li> <li>• Understand the risk-based AML/CFT systems, controls and procedures.</li> <li>• Comprehend the key controls and procedures for risk assessments, customer due diligence and ongoing monitoring of customer relationships and transactions, and how to carry these out.</li> <li>• Understand the requirements regarding targeted financial sanctions and the screening mechanisms needed to comply with them.</li> <li>• Understand ways to identify transactions that raise suspicions of money laundering or terrorist financing, their statutory obligations of making suspicious transaction reports (“STR”), and the process of reporting STRs.</li> </ul> <p>課程結束後，保險中介人將能夠：</p> <ul style="list-style-type: none"> <li>• 描述香港打擊洗錢及恐怖分子資金籌集的法律架構。</li> <li>• 了解以風險為本的打擊洗錢及恐怖分子資金籌集系統、管控措施和程序。</li> <li>• 理解風險評估、客戶盡職審查、及持續監察客戶關係和交易的主要管控措施和程序，以及如何實施這些管控措施和程序。</li> </ul>

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	<ul style="list-style-type: none"> <li>• 了解針對性金融制裁的相關規定，以及遵守這些規定所需的篩查機制。</li> <li>• 識別可疑交易指標的方法、舉報可疑交易的法定責任、及如何提交可疑交易報告。</li> </ul>
<b>Mode of training</b> 學習模式	E-learning 電子學習活動
<b>Type of Qualified CPD Activities</b> 合資格持續專業培訓活動的類別	Type 7 – CPD activity organized by the IA 第 7 類：由保監局舉辦的持續專業培訓活動
<b>CPD hours</b> CPD 時數	2.5 hours (Ethics or Regulations) 2.5 小時 ( 道德或規例 )
<b>Targeted participants</b> 目標參與者	Licensed insurance intermediaries (particularly those carrying on regulated activities in respect of long-term business) 持牌保險中介人 (尤其是就長期業務進行受規管活動的持牌人)
<b>Maximum No. of Enrollment in total</b> 最高參與者人數	3,000
<b>Language</b> 語言	Cantonese or English (Participants can select the learning language themselves in e-platform) 粵語或英文 ( 參與者可在網上平台自由選擇課程的學習語言 )
<b>Course Fee</b> 課程費用	Free of charge 免費
<b>Enrollment</b> 報名	Individual licensees interested in enrolling for this course can register by opening an account in our e-learning system ( <a href="https://iahk.knowledgeplatform.com">https://iahk.knowledgeplatform.com</a> ) starting from <b>10:00am on 1 November 2023</b> on a first-come-first-serve basis. They should create an account on the e-learning system and enrol for the course in accordance with the instructions

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	<p>set out in the User Manual which is available on the login page of the system. Participants are expected to complete the course within one month after enrolment.</p> <p>有興趣參加課程的個人持牌人可以在<b>2023年11月1日 (星期三) 早上十時</b>開始於本局的電子學習系統 ( <a href="https://iahk.knowledgeplatform.com">https://iahk.knowledgeplatform.com</a> ) 以先到先得的方式報名。屆時，他們應先建立一個帳戶，然後再選擇自己想修讀的課程。有關步驟可以參閱學習系統登錄頁面上的用戶手冊。參與者應在註冊課程後的一個月內完成課程。</p>
<b>Assessment</b> <b>評估</b>	<p>The course will end with an assessment which will test a participant's knowledge of the content covered in this course. In order to pass, participants need to score 70% or more. If the participants fail at the second attempt of the assessment, they have to go through the whole course again. The course will be locked after 4 attempts.</p> <p>課程的最後一章為課程評估，以測試參與者對課程內容的瞭解程度。參與者必須獲得70%或以上的分數才能通過評估。如果參與者連續兩次評估都不能通過，他們須再次重新學習整個課程。如果四次評估都不能通過，課程就會失效。</p>
<b>Points to Note</b> <b>須知</b>	<ol style="list-style-type: none"> <li>1. Participants are expected to spend 2.5 hours studying the course before moving to complete the assessment at the end of the course. The e-platform will record login and logout time to ensure participants have spent the expected study hours.</li> <li>2. The e-platform will record the learning progress, and participants are not required to complete the whole e-learning in one sitting. However, participants are expected to complete the whole e-learning course within one month after the enrollment.</li> <li>3. Participants are required to provide email address for enrollment. Such email address should not be shared with others and will be used to receive one time password (OTP) generated from the e-platform. Participants are required to input the OTP at irregular intervals during the course in order to continue the study.</li> <li>4. Participants will be logged out if the system is idled for more than 30 minutes.</li> <li>5. Upon completion of the course (including passing the assessment), participants will be able to download a Certificate of Completion from the system. Participants are suggested to keep this certificate as their attendance record.</li> </ol>

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	<p>6. The course can be run on computers and mobile devices with various operating systems (i.e. windows, macOS, iOS and android). It is recommended keeping the browser updated to the latest version.</p> <ol style="list-style-type: none"> <li>1. 參與者需預計會先用 2.5 小時學習電子課程內容，然後才開始課程完結前的評估。網上平台會記錄登入和登出時間，以確保參與者已完成預期的學習時數。</li> <li>2. 網上平台會記錄學習進度，參與者無需一次過完成整個電子學習。唯參與者需要在註冊課程後的一個月內完成整個電子學習課程。</li> <li>3. 參加者須提供自己的電子郵箱地址進行報名。該電子郵箱地址不應與他人分享，而且將用於接收網上平台的一次性密碼（OTP）。參與者須在學習課程期間不定期地輸入 OTP 才能繼續學習。</li> <li>4. 當系統閒置超過 30 分鐘，參與者將被登出系統。</li> <li>5. 完成課程後（包括通過評估），參與者可以由系統內直接下載完成證書。建議參加者保留此證書作為他們的出席紀錄。</li> <li>6. 課程可在裝有不同操作系統（即 windows、macOS、iOS 和 android）的電腦和移動裝置上運行。建議將瀏覽器更新到最新版本。</li> </ol>