2 December 2022

Broker Bulletin No 2022 – 141
2022 Annual Compliance Roadshow
2022「年度監管及條例更新」課程

Dear Business Partners,

Compliance Department has launched "Annual Compliance Roadshow" to you to refresh the relevant regulations and guidelines during the selling process.

(I) Regulation Update in relation to Insurance Industry

1. Regulatory Requirements: Code of Conduct and Guidelines
2. Personal Data Privacy Ordinance
3. Social Media Guideline and Compliance Requirements for Mainland Chinese Visitors
4. Anti-Money Laundering (AML) and Counter-Terrorist Financing (CTF)
5. Foreign Account Tax Compliance Act (FATCA)
6. Common Reporting Standard (CRS)
7. Insurance Authority - Collection of Premium Levy
8. Importance of Post-sale Call
9. Advising Clients on the Duty of Disclosure
10. Assist Clients in Completing Financial Needs Analysis
11. Handle Customers' Inquiries with Due Care
12. Notes on Handling of Clients' Premiums
13. Customer Complaint Handling Skills Sharing

(II) Assessment

- 15 Questions
- Passing Score – 80%

In order to fulfil our compliance requirement, your Responsible Officer and Technical Representatives are required to complete the training within 3 months. Kindly ask the Responsible Officer to complete and return the enclosed **Training Confirmation Form** to us by mail to the following address. For insurance agency, please also return the completed Attendance Sheet and Assessment Paper.

AXA China Region Insurance Company Limited
Room 3404, 34/F,
Lee Garden One,
33 Hysan Avenue,
Causeway Bay,
Hong Kong
(Please state "Annual Confirmation Roadshow")

Any enquiries, please feel free to contact your Business Development Manager or our hotline on 2519 1133.

Life Broker & IFA
AXA China Region Insurance Company Limited

致各大經銷商：

監管部推出「年度監管及條例更新」課程讓各位重溫銷售過程中要注意的法例及指引。

課程內容範圍包括:

(I) 與保險業有關的條例更新:

1. 法規要求：操守守則和指引
2. 個人資料 (私隱) 條例
3. 社交媒體言行指引及內地訪港旅客業務的規管要求
4. 打擊洗錢及恐怖分子資金籌集 (“AML” & “CTF”)
5. 海外賬戶稅務合規法案 (“FATCA”)
6. 共同匯報標準 (“CRS”)
7. 保險業監管局 – 保費徵費
8. 售後跟進電話的重要
9. 就披露責任向客戶提供意見
10. 協助客戶完成財務需要分析
11. 小心謹慎處理客戶的查詢
12. 處理客戶款項的須知
13. 客戶投訴處理技巧分享

(II) 知識評估

- 15 個評估問題
- 及格率 80%

為符合公司監管要求，您的負責人及各業務代表須於 3 個月內完成課程。請負責人完成隨電郵附上的**培訓確認書**並郵寄至以下地址。如屬保險代理機構，請一併交回各業務代表的出席記錄及評估問卷。

安盛金融有限公司
香港
銅鑼灣希慎道 33 號
利園一期 34 樓 3404 室
(請註明「年度監管及條例更新」課程)

如有任何查詢，歡迎與您的客戶經理或我們之銷售支援隊伍聯絡 (2519 1133) 。

安盛金融有限公司

此乃中文譯本，一切以英文為準。公司保留最終決定權。