

# Hong Kong Continuous Professional Training (CPT) In Financial Services

The Securities and Futures Commission (SFC) in Hong Kong mandates CPT for individuals working in the financial services industry, who hold licenses issued by the SFC. CPT is crucial for persons engaging in regulated activities to stay updated on regulatory changes, market developments, and industry best practices. Below are key aspects of the CPT requirements:

- Licensed Representatives (LR) or Responsible Officers (RO) must complete a minimum of 10 Continuing Professional Training (CPT) hours per calendar year, with ROs and Executive Officers (EO) undertaking an additional 2 hours focused on regulatory compliance
- Individuals should undertake at least five CPT hours per year directly relevant to their licensed regulated activities. Specific requirements apply to those engaged in IPO sponsor work or the Code on Takeovers and Mergers transaction work
- In the first 12 months, individuals must dedicate two CPT hours to "ethics" and subsequently complete two hours annually on topics related to ethics or compliance
- Newly joined individuals can count the initial two CPT hours on ethics but not towards additional RO or EO requirements
- Record-keeping is crucial, requiring individuals and their employers to retain documentation of completed CPT activities for at least three years. The SFC may request this evidence at any time or during an inspection
- CPT hours must be finalised by 31 December each year
- Excess CPT hours cannot be carried forward to the following year

Failure to satisfy any applicable CPT requirements will cast doubt on the fitness and propriety of corporations and individuals to remain licensed or registered and may lead to disciplinary action by the SFC or the HKMA (as the case may be).

## IQ-EQ's Compliance Training Programs

IQ-EQ's training team ensures your staff remain up to date in the rapidly changing and complex Asian operating environment. Our comprehensive training programs comprise both highly customised in-person training and standardised [online training options](#). We offer CPT courses that are fully compliant with the mandatory training requirements of the SFC and the HKMA in Hong Kong. With fully tracked hours and certificates of attendance, financial institutions can demonstrate to their regulators that they have implemented a robust governance structure around their internal compliance training programmes.

Our courses cover anti-money laundering and countering terrorist financing, ethical and conduct standards, regulatory capital, insurance, risk management, sales and suitability, market abuse and insider trading, ESG, financial crime, anti-corruption, and more. Our online training platform can be accessed at a company or individual level and we can host white labelled training programmes for financial institutions.



Introductory Courses	
● Regulation and Compliance – General Introduction for SFC Licensees Hong Kong	English
● Introduction to the Responsible Officer and Manager-In-Charge Regime	English
● General Introduction to Cyber Resilience Hong Kong	English
● Introduction to the Asset Management Regime and the Fund Managers Code of Conduct (FMCC)	English
● Regulation and Compliance – Going further on Licensed Corporations SFC Obligations	English
● General Introduction to the Virtual Assets Regime in Hong Kong	English
● 2023 Regulatory Updates for Hong Kong	English
● 监管与合规 - 香港证监会 (SFC) 持牌人通用课程	Chinese
● 负责主任和核心职能主管(MIC)制度入门	Chinese
Anti Money Laundering and Counter Terrorism Financing Courses	
● Introduction to Anti-Money Laundering and Countering Terrorist Financing Hong Kong	English
● Anti-Money Laundering / Counter Terrorism Financing in Hong Kong	English
● AML & CFT for Trust and Company Service Providers	English
● Anti-Money Laundering, Countering the Financing of Terrorism (AML/CFT) and the Cayman Island Regulatory Regime	English
● Risk Based Approach to Anti-Money Laundering and Counter-Terrorism Financing	English
● Anti-Money Laundering Regulations in the Cayman Islands for Hong Kong and Singapore Fund Managers	English
● AML & CFT 通用课程	Chinese
● AML & CFT 香港培训课程	Chinese
Specialist Courses	
● Investment Sales and Suitability in Hong Kong	English
● Market Abuse and Insider Dealing in Hong Kong	English
● Personal Data Protection in Hong Kong	English
● Corruption and Bribery Prevention for Bankers in Hong Kong	English
● Corruption and Bribery Prevention for SFC Licensed Persons in Hong Kong	English
● Hiring Risk in Asia	English
● 投資銷售與合適性 ( 證監會持牌人或註冊人適用 )	Chinese
● 防止贪污贿赂培训课程 ——适用于香港银行 从业员	Chinese
● 防止贪污贿赂培训课程 ——适用于香港证监会持牌人	Chinese
Ethics Courses	
● Ethical Behavior for SFC Licensed persons in Hong Kong	English
● Ethical Behavior in Banking in Hong Kong	English
● Anti-Discrimination and Harassment in Hong Kong	English
● 香港证监会 (SFC) 持牌人道德操守行为	Chinese
● 香港银行从业员道德操守行为	Chinese
ESG Courses	
● ESG for Fund Managers in Hong Kong	English

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## Key facts and figures\*

People worldwide <b>5800<sup>+</sup></b>	Worldwide location <b>25</b>	Assets under administration <b>\$750<sup>+</sup> bn</b>	Minimum senior team experience <b>20yrs</b>	Funds under administration <b>800<sup>+</sup></b>
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## Our locations worldwide

### THE AMERICAS

Bermuda  
 British Virgin Islands  
 Cayman Island  
 Curaçao  
 USA (Austin, Bedford NH, Chicago, Dallas, Fort Worth, Houston, New York, Rapid City SD, San Francisco & West Palm Beach)

### MIDDLE EAST

United Arab Emirates

### EUROPE

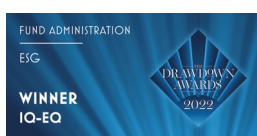
Belgium  
 Cyprus  
 France  
 Guernsey  
 Ireland  
 Isle of Man  
 Jersey  
 Luxembourg  
 Switzerland  
 The Netherlands  
 UK

### AFRICA

Mauritius  
 South Africa

### ASIA

Mainland China  
 Hong Kong  
 India  
 Japan  
 Philippines  
 Singapore



\*Correct as of August 2024

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