

## Policies and Regulations for CPT Courses and Events

### PLEASE READ THE POLICIES AND REGULATIONS BELOW CAREFULLY

The policies and regulations below apply to CPT/CPD/OPT hours recognised by:

- Securities and Futures Commission (SFC) - CPT hours
- Private Wealth Management Association (PWMA) - OPT hours
- Insurance Authority (IA) - CPD hours
- Mandatory Provident Fund Schemes Authority (MPFA) - core and non-core CPD hours
- Hong Kong Law Society (HK Law Society) - CPD hours

#### CPT/CPD/OPT hours

1. Participants are reminded to clock in and out as your record of attendance. Participants are granted CPT/CPD/OPT hours according to the attendance record.
2. Participants are required to attend the entire event/training class, including the question and answer session.
3. **NO CPT/CPD/OPT hour** will be given to participants if you are late for or absent from the event/training class in total for more than the specified time shown in the following table:

CPT/CPD/OPT recognised by the regulatory bodies	Late for or Absent from (excluding scheduled breaks) <u>in total for MORE THAN</u>	
	Training class	Event
* SFC: CPT * PWMA: OPT * IA: CPD (Note 1) * MPFA: non-core CPD	30 minutes	30 minutes (Note 2)

CPT/CPD/OPT recognised by the regulatory bodies	Late for or Absent from (excluding scheduled breaks) <u>in total for MORE THAN</u>	
* MPFA: core CPD	15 minutes	15 minutes
* HK Law Society: CPD	10 minutes	10 minutes
<p>Note 1: For IA CPD training class, <b>ONE CPD</b> hour will be <b>deducted</b> if the participants arrive <b>late for over 15 minutes but not more than 30 minutes</b> after the start of the training class.</p> <p>Note 2: If event participants are <b>late for more than 15 minutes but less than 30 minutes</b>, you will be granted 0.5 CPT/CPD/OPT hour.</p>		

4. Although our event/training class can fulfil SFC, PWMA, IA, MPFA requirements, it is a matter of discretion for your employer to recognise any qualifications to which this event/training class may lead. You are responsible for confirming with your employer or responsible person whether the event/training class you attend is of appropriate standard and relevance to maintain and enhance the technical knowledge and professional expertise and would meet CPT/CPD/OPT requirement.
5. Participants are **deemed to have been absent** from the event/training class if they
  - could not present the QR code or valid photo identification document for clocking in and out; or
  - are not in the venue during the session without instructor's permission and exceeded the period highlighted in item (3).
6. Regular attendance check will be conducted throughout the event/training class without notice. The HKSI Institute reserves the right to ask the participants to present a valid photo identification document for identity verification purpose.

### **Classroom and Event Discipline**

7. Participants are required to keep the venue clean and tidy.
8. No photo taking, audio or video recording is allowed during the session.
9. Mobile phones, tablets, computers and other electronic communication devices should be set to **silent mode or turned off** throughout the session.
10. Participants should avoid walking in and out of the venue when the event/training class is in progress.
11. The course instructor/chairperson/HKSI staff reserves the right to ask improperly behaved participants to leave the venue. The fee paid will not be refunded. No CPT/CPD/OPT hour(s) will be granted.

## Event/Training Class Materials and Copyright Policy

12. Event/Training class materials, in whole or in part, should not be reproduced, copied or transmitted in any format or by any means, electronic or mechanical, including photocopying, recording, or by any information storage and retrieval system, without written permission from the HKSI Institute. The unauthorised duplication of the materials is a violation of the HKSI Institute's copyright policy.
13. By participating in the HKSI Institute event/training class, you understand that portions of the session may be recorded in video, audio, captured in still photographs; and/or digital photographs. You hereby grant the HKSI Institute the right and permission to use in perpetuity your photographic images, voice, and/or testimonial(s), for the purpose of advertising and publicising the HKSI Institute's service offerings. The HKSI Institute owns all rights, title and interest, including intellectual property rights, in any audio, video, and/or photograph captured during the event/training class.

## Refund and Substitution

14. Fees paid are **non-refundable and non-transferable** irrespective of participant's attendance status. The exception applies for unsuccessful application due to full enrolment or event/training class cancellation.
15. Once a participant's enrolment is accepted, it cannot be transferred to another event/training class.
16. The HKSI Institute reserves the right to change or cancel any of its event/training class due to unforeseen circumstances. Registrants will be notified individually for refund arrangements. The refund will be payable to the registrants concerned in Hong Kong dollars within 28 WORKING DAYS after the event/training course cancellation date. The refund will be made via cheque for fees received via Cash/EPS/PayPal. Payments via VISA Card, MasterCard, American Express Card or Union Pay will be refunded to the same credit card account.

## Other Matters

17. In case of emergency (e.g. fire), participants should stay calm and follow the instruction given by the instructor or the HKSI Institute staff.
18. For Bad Weather Arrangements, please refer to [Bad Weather Arrangements](#).
19. Participants are strongly encouraged to provide feedback on our event/training class by completing the online evaluation form.

If you have any questions, please contact us by phone (3120-6100) or by email

- Event: [event@hksi.org](mailto:event@hksi.org)
- Training class: [education@hksi.org](mailto:education@hksi.org)