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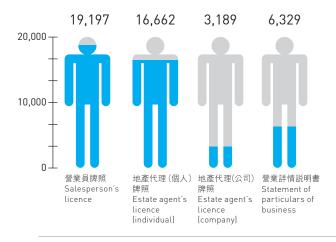
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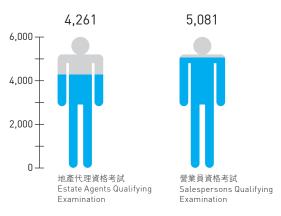
主要統計數字一覽

Key Figures at a Glance

牌照和營業詳情説明書數目(截至2015年3月31日) Number of Licences and Statements of Particulars of Business (as at 31/3/2015)



考生人數 (2014/15年度) **Number of Examination Candidates** (2014/15)



投訴個案 (2014/15年度) Number of Complaint Cases (2014/15)



- 部分是往年接獲的個案,當中包括表面證據成立並轉介予紀律委 員會處理的個案,以及由行動部處理的表面證據不成立的個案。
- Some cases completed in a year were brought forward from previous years. The figures include prima facie cases referred to and dealt with by the Disciplinary Committee and non-prima facie cases disposed of by the Operations Division.

巡查次數(2014/15年度) **Number of Compliance Inspections** (2014/15)

1.159 — 一手樓盤地點* At first-sale sites*

1.809 • 地產代理商舗 At estate agency shops

614 ● 網上廣告 Online advertisements



Total

- 包括樓盤所在處、樓盤銷售處及其附近。
- Include the development sites, sales offices and vicinity areas.

被暫時吊銷/撤銷的牌照數目(2014/15年度) **Number of Licences** Suspended/Revoked (2014/15)





持續專業進修活動的參與人次(2014/15年度) **Number of Enrolments in Continuing Professional Development Activities (2014/15)**



機構簡介

Corporate Profile



成立的法定機構,主要職能包括規管香港地產代理業界的執業;推動業 界行事持正;以及鼓勵行業培訓,確保從業員符合道德操守。

監管局舉辦資格考試、發出個人和公司牌照、處理對從業員的投訴、執行巡查工 作,以及對違反《地產代理條例》的地產代理從業員施行紀律處分。監管局亦為業界舉 辦專業發展活動,並推動消費者教育。

監管局是財政自給的機構。監管局成員由香港特別行政區行政長官委任,設有正、副主席 各一名及不多於18名普通成員。成員來自社會多個界別,包括地產代理行業。

The Estate Agents Authority ("EAA") is a statutory body, established in November 1997 under the Estate Agents Ordinance ("EAO"). Its principal functions are to regulate the practice of the estate agency trade in Hong Kong, promote integrity and competence within the industry, and facilitate training for practitioners to ensure a proper standard of conduct.

The EAA organises qualifying examinations, issues licences to individuals and companies, handles complaints against licensees, conducts compliance inspections and metes out disciplinary sanctions to practitioners who have breached the EAO. The EAA also organises activities for the professional development of the trade and promotion of consumer education.

The EAA is a self-financing body. It consists of a Chairman, a Vice-chairman, and not more than 18 ordinary members from various sectors in the community, including the estate agency sector. The Chairman, Vice-chairman and every ordinary member are appointed by the Chief Executive of the Hong Kong Special Administrative Region.

我們的願景 Our Vision

監管局致力於

- •在規管地產代理業界的執業上追求卓越成績,以保障消費者的權益;及
- 支持地產代理專業不斷發展,以獲取社會尊重。

The EAA strives for

- excellence in regulating the practice of the estate agency trade, for the protection of consumers' interests; and
- supporting the development of an estate agency profession worthy of the respect of the community.

我們的使命 Our Mission

規管香港地產代理業的執業,提升從業員的專業能力,並為業界訂立高的道德標準和操守。

To regulate the practice of estate agency in Hong Kong, raise the competence of practitioners and set high standards of ethics and conduct befitting the trade.

監管局架構 The EAA Structure







主席的話 Chairman's Message

自2004年11月起擔任地產代理監管 局(「監管局」)的董事局成員後,我很 榮幸於2014年11月接掌主席一職。這 是我首次為監管局年報撰寫「主席的 話」,很高興能夠與各位分享監管局 在2014/15年度的表現,以及我對監管 局的使命和想法。

有幸在監管局董事局服務超過10年, 這些年,我曾擔任牌照及執業委員會 主席、執業及考試委員會主席及監管 局副主席。豐富廣泛的職務背景讓我 了解到監管局及地產代理業界的運 作。

憑藉過去多位主席的傑出表現,監管 局已經饒有成就,亦為業界解決無數 問題。在擔任主席的任期內,我冀盼 能與業界緊密合作,攜手提升這個行 業的專業水平。

業界面對百般挑戰

香港地產市場在2013/14年度經歷交 易宗數和買賣合約總值大幅下跌後, 2014/15年度有所反彈。然而,二手住 宅市場經歷急挫後,令興旺的一手住 宅市場轉為市場焦點。

Having been a Board member of the Estate Agents Authority ("EAA") since November 2004, I was honoured to take up the Chairmanship in November 2014. This is my first Chairman's message for the EAA's Annual Report and I am delighted to be able to share with you the highlights of the EAA's performance in 2014/15 and my mission and thoughts for the EAA.

It is a privilege for me to have served on the EAA's Board for more than ten years. Over the years, I have been appointed as the Chairman of the former Licensing and Practice Committee, Chairman of the Practice and Examination Committee and the Vicechairman of the EAA. Such an extensive affiliation enables me to understand how the EAA and the estate agency trade work.

Through the great jobs of the past chairmen, the EAA has accomplished a lot and solved a lot of issues for the trade. In my term of chairmanship, I look forward to working closely with the trade to enhance the professional standard of this industry.

A Challenging Environment for the Trade

After the steep plunge in both the number of transactions and total consideration in 2013/14, the Hong Kong property market experienced a rebound in 2014/15. However, the focus of the market shifted to the thriving first-hand residential market as the second-hand residential market experienced the steepest dive.

根據政府統計數字顯示,於2013/14至 2014/15年度期間,二手住宅市場雖然 逐漸復甦,但交易宗數仍大幅低於前 三個財政年度1。相反,2014/15年度 的一手住宅銷售的交易宗數對比前四 個財政年度則處於最高位²。這對業 務集中在二手住宅市場的中小型地產 代理公司影響最大,因應市況,不少 中小型代理行轉而投身他們不熟悉的 一手住宅市場。

為此,監管局必須採取迅速行動,確 保地產代理推銷一手住宅物業時的行 為合符標準。即使他們來自不同規模 的代理行,也能遵從監管局所制定的 指引。

同時,基於本年度的住宅市場聚焦一 手,大眾更為關注業界的操守,對他 們的服務水平也有較高期望。有見及 此,監管局不僅需要加強規管業界, 也要教育他們以提升其專業水平,為 公眾提供優質的服務。

Although Government figures show the second-hand residential market slowly recovered in 2014/15 from 2013/14, the number of transactions was still much lower than those in the previous three financial years¹. On the contrary, the transaction number of primary sales in 2014/15 reached the highest in comparison with the previous four financial years². This situation affected the small-to-medium sized estate agency companies the most, as their businesses mainly focus on the secondary residential market. As a result, many of them shifted to participate in the first-hand residential market, which they were not familiar with.

Due to this shift, the EAA has to act swiftly to ensure that the conduct of estate agents in promoting firsthand residential properties is in order; and all the participating estate agents, no matter if they are from large or small agencies, can comply with all the guidelines set by the EAA.

At the same time, the spotlight in the first-hand residential market during the year also attracted much public attention and expectation on the trade's conduct and their services. The EAA, hence, not only needs to better regulate the trade but also educate them and enhance their professional standard so that they could provide the public with quality services.

- 二手住宅單位買賣合約總數為: 2010/11年度 119,393 宗,2011/12 年 度 62,493 宗,2012/13 年 度65,858宗,2013/14年度33,476宗及2014/15年 度52,782宗。(資料來源:土地註冊處)
- 一手住宅單位買賣合約總數為: 2010/11年度 11,984宗,2011/12年度11,870宗,2012/13年度 12,997宗,2013/14年度11,717宗及2014/15年度 17,005宗。(資料來源:土地註冊處)
- The total number of agreements for sale and purchase of building units of second-hand residential buildings was 119,393 in 2010/11, 62,493 in 2011/12, 65,858 in 2012/13, 33,476 in 2013/14 and 52,782 in 2014/15. Source: Land Registry.
- The total number of agreements for sale and purchase of building units of first-hand residential buildings was 11,984 in 2010/11, 11,870 in 2011/12, 12,997 in 2012/13, 11,717 in 2013/14 and 17,005 in 2014/15. Source: Land Registry.

主席的話

Chairman's Message

監管局的承諾

縱然面對重重挑戰及變動的市場環 境,監管局仍會在規管地產代理業界 的執業方面上時刻追求卓越,以保障 消費者權益及推動地產代理專業發 展,獲取社會認同。一直以來,監管 局堅守承諾:

真誠為本 公信為先

監管局對此銘記於心,並繼續於 2014/15年度做好本份,履行職責。接 下來我將詳加例子以闡明。

貫徹始終的執法者

監管局成立至今已有18年,職能為公 平有效地執行《地產代理條例》及其附 屬法例。

The Promise of the EAA

Irrespective of the challenges or fluctuations in the market and society, the EAA always strives for excellence in regulating the practice of the estate agency trade, for the protection of consumers' interests; and supporting the development of an estate agency profession worthy of the respect of the community. Throughout the years, the EAA has kept its promise:

Integrity our Cornerstone Credibility our Priority

Bearing this in mind, the EAA continued to discharge its duties effectively in 2014/15. I will elaborate on the examples of such in the following paragraphs.

A consistent law enforcer

The EAA has been established for 18 years. It is tasked to enforce the Estate Agents Ordinance ("EAO") and its subsidiary legislations fairly and effectively.



為採取適當及一致的執法措施,監管 局於本年度採納了多種機制,向各方 面收集當前問題的情報,以防止違規 和不當行為。

4

2014/15年度,監管局透過近3,000次 的巡查,藉機會向業界展開宣傳教育 工作,確保他們熟悉相關的法例和指 引。

正因監管局尤其關注地產代理在銷售 一手住宅物業時的行為操守,我們固 然竭力監察並確保他們遵從法例和指 引。如前所述,許多中小型地產代理 公司對於銷售一手住宅項目並不熟 悉,故監管局為此舉辦了多場關於一 手銷售之講座,務求令他們了解監管 局的相關指引。

期末,監管局正研究要求參與一手住 宅物業銷售的持牌人,如其本人就相 關物業遞交購樓意向登記時須作出 申報,藉此增加一手銷售交易的透明 度,讓消費者在作出購買決定之前, 獲取更多資訊。監管局已於2015年年 中發出有關的新執業通告。

提升業界的執業水平

監管局除執行《地產代理條例》,也不 時審視業界的執業狀況,並發出相關 執業 通告,為業界提供指引遵循。在 2014/15年度,監管局共發出四份執業 通告,其中一份題為「持牌地產代理 有效地控制其地產代理業務的責任」。

To facilitate timely and consistent enforcement measures, the EAA adopted various mechanisms during the year for intelligence on prevailing issues from all fronts to deter any possible breaches and malpractices.

Through nearly 3,000 compliance checks in 2014/15, the EAA also took the opportunity to carry out its advocacy work with the trade, ensuring that they were conversant with the laws and guidelines.

In particular, as we are concerned about the conduct of estate agents when promoting first-hand residential properties, we have devoted much effort on monitoring and ensuring their compliance. As mentioned above, many of the small-to-medium sized estate agency companies shifted to participate in first-sale, which they were not familiar with, seminars on first-sales were thus organised to familiarise these companies with the EAA's quidelines on the subject.

In fact, in the closing of 2014/15, the EAA was also studying on requiring licensees who are involved in the sales of first-hand residential properties and who at the same time submit registration of intent for purchasing such properties themselves, to make a declaration, with a view to enhancing the transparency of first-sale transactions and providing more information for consumers to consider before making their purchase decision. The related new Practice Circular was issued later in mid-2015.

Elevating the trade's practice standard

Apart from enforcing the EAO, the EAA reviews the trade's practice from time to time and issues related practice circulars to provide guidelines for the trade to follow. In 2014/15, four practice circulars were issued. Amongst them was a practice circular on "Duties of Licensed Estate Agents in Ensuring Effective Control of Estate Agency Business".

主席的話

Chairman's Message



此執業通告旨在鼓勵業界對其僱員實 施有效的管治措施。基於少數不負責 任的持牌人或地產代理公司所影響, 導致業界形象不時受損。這些不負責 任的行為讓公眾無法接受,並拖垮業 界的專業水平和社會地位。這份執業 通告列明應有的標準,我期望能藉此 向業界重申良好執業的重要性,更令 潛在的違規者更認真地管制其員工的 執業。

監管局的持續專業進修計劃亦繼續提 升地產代理從業員的專業水平,並於 2014/15年度引入多項新措施。此等措 施將吸引更多從業員參與持續專業進 修計劃,以提高其執業水平。

This Practice Circular aims to encourage the trade to implement effective governance measures on the employees of their companies. From time to time, the trade's image was tarnished by a handful of irresponsible licensees or estate agency companies. Their irresponsible acts resulting in behaviours unacceptable by the public dragged down the trade's professionalism and social standing. I hope that the issuance of this particular Circular, which specifies expected standards, can reiterate the importance of good practices and cause the potential offenders to be more serious about their control on practices of their employees.

The EAA's Continuing Professional Development ("CPD") Scheme has also continued to enhance the professional standard of estate agency practitioners and introduced a number of new initiatives in 2014/15. These initiatives will attract more practitioners to participate in the CPD Scheme and enhance their level of practice standard.

我們為提升業界表現所付出的努力是 有回報的。近年,監管局接獲的投訴 個案數目穩步下降。於2014/15年度接 獲的投訴比2013/14年度減少24%;同 樣,本年度進行的紀律研訊個案也有 所減少。在常見的違規性質中,未有 與客戶訂立地產代理協議的個案數目 顯著下降,情況令人鼓舞。監管局致 力不斷向業界和公眾灌輸此方面的教 育,這也正是地產代理們的基本責任 和對消費者的保障。

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教育及保障公眾

憑藉業界和監管局雙方努力不懈,業 界水平已有顯著改善。話雖如此,我 們的首要任務仍然是教育公眾及向 他們推廣有用的知識,以提防不當行 為。我們相信提高他們對物業市場及 相關方面的意識及知識,是最能夠有 效保障消費者的方法之一。

年內,監管局為公眾製作了不少教 材,包括小冊子和短片;也透過參與 多場講座及舉辦展覽,深入社區。監 管局亦不時透過大眾傳媒,向公眾帶 出社會關注議題的重要資訊。

為向消費者帶出物業交易的有用資 訊,監管局在2014/15年度向所有香 港地產代理商舖派發「消費者教育套 裝」,以協助業界向客戶提供有關物 業交易的有用資訊,例如提醒他們要 簽訂地產代理協議及進行土地查冊的 重要性。

與業界共同成長

監管局不僅是一個單向的規管者,在 提升業界社會地位的層面上,也是地 產代理業界的持續夥伴。我們其中一 個願景是支持地產代理業邁向專業, 以獲取社會尊重。然而,這並非監管 局可獨力達成,也需要業界的認同和 參與。

Our effort in elevating the trade's performance has paid off. The number of complaints the EAA has received in recent years has been in a steady decline. In 2014/15, the number of complaints received dropped 24% compared to 2013/14. Correspondingly, the number of inquiry hearings conducted in the year also decreased. Among the common types of noncompliances, the number of failure to enter into an estate agency agreement with clients has dropped significantly. It is encouraging as the EAA has worked hard in educating the trade and the public on this subject and it is, after all, a basic responsibility of an estate agent and protection for consumers.

Educating and protecting the public

The standard of the trade has notably improved, owing to the hard work of both the trade and the EAA. That said, educating the public with useful knowledge to guard against any malpractices remains our all-time priority. We believe that one of the most effective ways of protecting consumers is to raise their awareness and knowledge of the property market and the related issues.

In the year, the EAA has produced a number of educational materials for the public including a booklet and videos. We have also participated in talks and organised exhibitions to reach out to the community. Through the mass media, the EAA publicised numerous important messages to the public on various timely topics and issues.

With a view to conveying useful information about property transactions to consumers, the EAA sent a "Consumer Education Package" to all estate agency shops in Hong Kong in 2014/15. The Package facilitated the trade to deliver useful information about property transactions to their clients, such as the importance of signing the estate agency agreement and conducting a land search.

Growing alongside the trade

The EAA is not only a one-way regulator but also a constant partner of the estate agency trade, especially on the road of upgrading the social status of the trade. One of our visions is to support the development of an estate agency profession worthy of the respect of the community. It could not be accomplished solely by the work of the EAA but needs the trade's recognition and participation.

主席的話

Chairman's Message

 Dialogue and communication with the trade is the key to collaborative effort. In the years of serving on the EAA's Board, I have had numerous opportunities to meet the trade and have meaningful conversations with them. So has the EAA's management as there were regular meetings with major trade associations, frontline licensees and agencies management throughout 2014/15. Issues of mutual concern were discussed and useful information on the trade's practice was collected for the EAA to formulate practicable policies.

拓展視野

時間不會停留。面對公眾的期望不斷 提高,加上消費者權益至為重要的大 趨勢下,業界專業化更為重要,並應 更盡心盡力提升地產代理的形象。前 路雖然漫長但光明,監管局和業界都 應該拓闊視野,放眼未來。

為此,本年度實施新的持續專業進修計劃鼓勵措施後,我們鼓勵持牌人更應該積極參與。地產代理公司也應致力建立一個有效的制度,確保其員工遵循有關法例。今後,監管局的使命是將繼續提高業界的專業水平。

作為新任的監管局主席,我希望與業 界分享我的座右銘。

誠信才是上策,猶如監管局的承諾「真誠為本,公信為先」,我希望持牌人在面對客戶時,時刻銘記「老老實」和「公公道道」的重要性,並以長遠發展地產代理事業及與客戶維持長久關係作為目標。

所謂「得之艱難失之易」,經過監管局和業界在過去18年付出的努力,我期望看到更多地產代理從業員珍惜自己的事業及守法循規。任何不理智的不當行為均會損害業界建立的形象和聲譽,與及業界和監管局努力經營的成果。

Beyond the Horizon

Time never waits. Rising public expectations and growing awareness of consumers' rights are an irreversible trend. With the consumers' interests at the forefront, professionalism is important for the trade and more effort should be devoted to improving the image of estate agents. It is a long but promising road. Both the EAA and the trade should look beyond the horizon.

To this end, licensees are encouraged to participate more in the CPD Scheme, particularly after the new incentive measures introduced during the year. Estate agency companies should also work hard on setting up an effective system to ensure their staff compliance with the law. In the future, the EAA will continue to raise the professional competence of the trade, as it forms a fundamental part of our mission.

Being the new EAA Chairman, I would like to share my motto with the trade.

Honesty is the best policy. Similar to the EAA's promise, "Integrity our Cornerstone, Credibility our Priority", I hope that licensees always remember the importance of honesty (老老實實) and equity (公公道道) when dealing with their clients and always aim at a long-term estate agency career and lasting relationships with clients.

A man may lose more in an hour than he can get in seven. After all the effort of the EAA and the trade in the past 18 years, I wish to see more estate agency practitioners cherish their career in this profession and play by the rules. Any unwise misconduct will tarnish the image and the reputation of the trade which many trade members and the EAA have worked hard for.

由衷感謝 熱切歡迎

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我們的成果是由董事局成員、監管局 行政部門和業界諸位努力不懈而共 同建立。首先,我衷心感謝前任監管 局主席陳韻雲女士在過去六年的寶 貴付出。憑藉她豐富的經驗和廣博 的知識,為監管局建樹良多。此外, 我由衷感謝各董事局成員,包括各委 員會及小組主席:紀律委員會主席廖 玉玲女士、牌照委員會主席劉振江測 量師、執業及考試委員會主席張國鈞 先生、專業發展委員會主席余惠偉先 生,以及第28條調查小組主席陳超國 先生。監管局也同時獲得運輸及房屋 局局長張炳良教授及其團隊的鼎力支 持和寶貴意見。

我在此歡迎監管局董事局的新成 員,包括羅孔君女士、蕭澤宇先生、 謝順禮先生、徐若婷女士、汪敦敬先 生、黄光耀先生及余雅芳女士。

有幸得到行政總裁韓婉萍女士及其帶 領的優秀管理團隊合作,全力以赴。 團隊成員包括規管及法律總監劉淑棻 女士、執行總監方安妮女士及新任服 務總監張秀成先生。

藉此,我再一次衷心感謝他們過去一 年的不懈支持。透過與業界的持續夥 伴關係,我期待將來可實現一個更專 業化的業界。

梁永祥太平紳士,BBS 丰席

Warmest Gratitude and Welcome

Our work is the result of the joint effort of my fellow Board members, the EAA Administration and the trade. First of all, I would like to thank the immediate former EAA Chairman, Ms Vivien Chan, for her invaluable services and wisdom contributed to the EAA in the previous six years. My heartfelt thanks also go to my fellow Board members, including the chairmen of each committee and panel: Ms Elaine LIU Yuk-ling, Chairman of the Disciplinary Committee: Sr LAU Chunkong, Chairman of the Licensing Committee; Mr Horace CHEUNG Kwok-kwan, Chairman of the Practice and Examination Committee; Mr YU Wai-wai, Chairman of the Professional Development Committee; and Mr Charles CHAN Chiu-kwok, Chairman of Section 28 Investigation Panel. The EAA has also received a lot of support and guidance from Professor Anthony Cheung Bing-leung, Secretary for Transport and Housing, and his team.

I welcome our new members to the EAA Board, including Ms Jane Curzon LO, Mr Simon SIU Chak-yu, Mr Calvin TSE Shun-lai, Ms Maggie TSUI Yeuk-ting, Mr Lawrance WONG Dun-king, Mr Ricky WONG Kwong-yiu and Ms Avon YUE Nga-fong.

I am blessed to have the dedicated work of an outstanding management team, including Ms Eva LAU, Director of Regulatory Affairs and General Counsel, Ms Annie FONDA, Director of Operations, and Mr Cavan CHEUNG, the newly on-board Director of Services, who are ably led by Ms Ruby HON, our Chief Executive Officer

May I take this opportunity to thank the above all once again for their tireless support over the past year, and I look forward to shaping the professionalism of the trade through our continued partnership in the near future.

William LEUNG Wing-cheung, BBS, JP Chairman



"儘管市況充滿變數,監管局也會繼續 緊守崗位,致力規管地產代理並提升 行業的專業水平。

Regardless of how buoyant the market is, the EAA strives to continue its efforts in regulating estate agents and enhancing the professional standard of the trade."

行政總裁匯報

Report of the Chief Executive Officer

本人欣然以行政總裁身份發表任內 第二份地產代理監管局(「監管局」)年 報。監管局一如既往致力於規管地產 代理行業、推動行業專業化,以及加 強消費者教育,於2014/15年度也不例 外。

I am delighted to present my second annual report of the Estate Agents Authority ("EAA") as the Chief Executive Officer. The EAA, as always, has been dedicated to regulating the estate agency trade, promoting the trade's professionalism and enhancing consumer education; and the year 2014/15 was no exception.

充滿變數的物業市場

比起前一年度的大幅下跌,2014/15年 度的香港物業市場有回暖的跡象。即 使香港金融管理局及香港按揭證券有 限公司自2015年2月對物業按揭貸款 實施一系列監管措施,2014/15年度的 整體物業交易宗數相比於2013/14年 度仍然高出51%,達90,082宗。買賣合 約總值亦上升58%至6.170億元水平。 然而,兩組數字仍然低於2012/13年度 水平。

話雖如此,牌照的數量較去年微升 1.2%, 個人牌照總數截至2015年3月 底達35.859個。而參與資格考試的考 生總數亦輕微上升0.75%至9.342人。

儘管市況充滿變數,監管局也會繼續 緊守崗位,致力規管地產代理並提升 行業的專業水平。

A Buoyant Property Market

The property market in Hong Kong in 2014/15 has been slowly recovering from the significant drop in the previous year. While another series of supervisory measures on property mortgage loans made by The Hong Kong Monetary Authority and The Hong Kong Mortgage Corporation Limited have been in place since February 2015, the total number of property transactions in 2014/15, amounting to 90,082, is still 51% higher than the figure in 2013/14, and the total consideration has also risen by 58% to \$617 billion. Yet both figures are nevertheless lower than those of 2012/13.

That said, the number of licences has slightly increased by 1.2% over that of the previous year. The total number of individual licensees reached 35,859 as at the end of March 2015, and the overall number of candidates participating in the qualifying examinations has also slightly increased 0.75% to 9,342.

Regardless of how buoyant the market is, the EAA strives to continue its efforts in regulating estate agents and enhancing the professional standard of the trade.

推動業界守法循規

過去數年,監管局曾向業界發出多份 執業通告要求業界遵守。該等通告旨 在提高地產代理行業對違規情況的警 覺性,並長遠提升業界的專業水平。 為進一步讓業界守法循規,監管局於 2014/15年度分別對一手樓盤銷售點 及地產代理商舖進行了1,159及1,809 次巡查。巡查期間,監管局亦為持牌 人講解新執業通告內容及有關執業要 求。年內,監管局亦就網上廣告進行 了614次抽查,也透過舉辦持續專業 進修計劃講座、向持牌人發出信函, 以及與業界進行定期會議等,提醒他 們遵守新的指引。

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適時發出執業通告

隨着《2014年印花税(修訂)條例》於 2014年初刊憲,經修訂的額外印花稅 和買家印花税的詳情最終落實。因 此,監管局於2014年5月更新及發出 相關的執業通告,以提醒地產代理在 訂立任何臨時買賣協議前提醒客戶, 購買該物業有機會需繳付額外印花稅 或買家印花税。

Promoting Compliance in the Trade

Over the years, the EAA has issued various practice circulars for the trade to comply with. They serve to heighten the estate agency trade's vigilance against non-compliances and enhance the trade's professional standard. To further improve the conduct and compliance of the trade, the EAA conducted 1,159 compliance checks at first-sale sites and 1,809 at estate agency shops in 2014/15. During these checks, licensees were also educated on the new practice circulars and the requirements relating to estate agency practice. A total of 614 inspections of online advertisements were also conducted during the year. At the same time, the EAA reminded the trade to comply with the new guidelines through organising seminars under the Continuing Professional Development ("CPD") Scheme, issuing Letters to Licensees, and holding regular meetings with the trade.

Issuing Practice Circulars Timely and Responsively

As the Stamp Duty (Amendment) Ordinance 2014 was gazetted earlier in 2014, details of the revised Special Stamp Duty ("SSD") and Buyer's Stamp Duty ("BSD") were at last finalised. Hence, in May 2014, a relevant Practice Circular was updated and issued, reminding estate agents that if it could be ascertained that the sale and purchase of the residential property being handled by them would be subject to SSD or BSD, they should draw their clients' attention to this fact before entering into any provisional agreement for sale and purchase ("PASP") and advise their clients appropriately.

行政總裁匯報

Report of the Chief Executive Officer



就有關從價印花税的調整,監管局亦 於2014年10月發出執業通告,提醒地 產代理,除非獲特別寬免或另有規 定,地產代理應在客戶訂立任何臨時 買賣協議前提醒客戶,有關物業買賣 須以較高税率繳納從價印花税。

此外,為推動地產代理公司有效地控 制其地產代理業務及確保其前線代理 守法循規,監管局於2015年3月發出 相關新執業通告,並將於2015年9月 生效。根據該通告,所有持牌地產代 理應設立妥善的程序和清晰的指引讓 員工遵循,確保其員工或在他的監控 的員工遵守《地產代理條例》的規定。

監管局也預備了一套相關的「問與答」 及「持牌地產代理的清單」並上載於監 管局網頁,供業界參考。

In relation to the adjustments to ad valorem stamp duty ("AVD"), a Practice Circular was also issued in October 2014 to remind estate agents that they should bring to the attention of clients before they enter into any PASP that the sale and purchase of the property would be subject to the AVD at a higher rate unless specifically exempted or otherwise provided.

What is more, with a view to better facilitating the management of estate agency companies to properly control their business and ensure compliance of frontline agents, in March 2015, the EAA issued a new Practice Circular on effective control of estate agency business, which will take effect in September 2015. It sets out the integral parts of an effective governance system and provides guidelines on the establishment of proper procedures or systems to a licensed estate agent on how to supervise and manage his business of doing estate agency work to ensure that his employees or persons under his control comply with the provisions of the Estate Agents Ordinance ("EAO").

The EAA also developed a set of relevant "Questions and Answers" and a "checklist for Licensed Estate Agents" which could be downloaded from the EAA website for the trade to adopt.

提升業界專業水平

為確保從業員符合《地產代理條例》的 要求,監管局基於有關持牌人不再合 資格繼續持有牌照,在2014/15年度共 撤銷了45個牌照。年內,監管局亦對 256宗違規個案作出裁定,共向255名 持牌人進行紀律處分。

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為提升現有持牌人的專業知識及鼓勵 他們積極參與持續專業進修計劃,監 管局於2014/15年度推出了一系列持 續專業進修計劃的新鼓勵措施。

有關措施包括,持牌人如在2014年10 月1日起至2015年9月30日止的進修時 段參與監管局的網上學習活動,每成 功累積三個核心持續專業進修學分, 即額外獲發一分核心學分作為獎勵。

同時,在計算每個進修時段取得的持 續專業進修學分時,參加網上遙距學 習活動取得的持續專業進修學分再不 設上限,直至另行檢視。

這些措施讓持牌人可透過網上學習平 台以取得更多持續專業進修學分,並 提供一個良好的機會讓他們不受時間 和空間限制努力進修。

Enhancing the Professional Standard of the Trade

To ensure that only those who meet the requirements of the EAO could stay in the trade, in 2014/15, the EAA revoked a total of 45 licences because those licensees were no longer eligible to hold a licence. During the year, the EAA has also adjudicated 256 non-compliant cases and a total of 255 licensees were disciplined.

On enhancing the professional knowledge of the existing licensees and to encourage licensees' participation in the CPD Scheme, a series of new incentive measures of the CPD Scheme were introduced in 2014/15.

The measures include awarding one bonus core CPD point to licensees who have successfully accumulated every three core CPD points from their participation in the EAA's e-Learning programmes, within the CPD period commencing 1 October 2014 and ending 30 September 2015.

At the same time, when calculating the CPD attainment for each CPD period, the number of CPD points earned by taking web-based distance learning activities is no longer capped until further review.

These initiatives allow licensees to earn more CPD points through the e-Learning platform, which offers a good learning opportunity to the licensees without time and space constraints.

行政總裁匯報

Report of the Chief Executive Officer

加強與業界及公眾的溝通

監管局年內繼續與業界商會舉行聯絡 會議,並透過定期舉行的聚焦小組會 議,與不同地區的前線持牌人保持雙 向溝湧。

此外,監管局也繼續與傳媒合作,並 透過其他渠道,宣傳消費者相關資訊 以及提升大眾對監管局的認知。年 內,監管局舉辦了兩場新聞發布會、 發出了22篇新聞稿及安排了28個專 訪。監管局並為報章及媒體網站一共 撰寫了53篇文章,藉以透過不同媒體 推廣消費者相關資訊及介紹監管局的 工作。

監管局在年內新製作了兩段消費者教 育短片,名為「為免買賣有爭拗、持 牌代理更可靠 | 及 「臨約簽前填清楚、 漏空必定損失多」,並上載至監管局 網頁及YouTube頻道,藉此加強對外 推廣。監管局也在不同地區的商場舉 辦巡迴展覽,為消費者提供實用資 訊。

未來的挑戰

監管、執法和教育是維持持牌人質素 及水平的必要元素。監管局會繼續關 注這些措施的成效,並致力讓持份者 更深入了解本局的工作。

Strengthening Communication with the Trade and Public

The EAA continued to hold liaison meetings with trade associations and meet frontline licensees in various districts through the focus group meetings regularly during the year to maintain a two-way communication.

In order to promote consumer related information and raise the public's awareness of the EAA, the EAA continued its efforts through collaborations with the media and other initiatives. During the year, the EAA organised two press conferences, issued 22 press releases, and arranged 28 feature interviews. A total of 53 articles were also contributed to newspapers and media websites to promote consumer related information and the EAA's work through different media.

In the year, the EAA produced two new consumer videos on the subjects of "Appoint licensed estate agent to avoid disputes" and "Fill in all the blanks in the provisional agreement for sale and purchase before signing to avoid loss". To enhance the EAA's outreaching efforts, these videos are available at the EAA's website and at the YouTube channel. The EAA also held roving exhibitions at several shopping malls in different districts. Display panels with useful information for consumers were set at the exhibitions for the public's viewing.

The Road Ahead

Supervision, enforcement and education are the essential elements underpinning the quality and standard of the licensees. The EAA will continue to focus on the effectiveness of these measures and will strive to help our stakeholders better understand our work.

縱然物業市場充滿變數及挑戰,但憑 著監管局主席及其他成員一直以來的 真知灼見和指導,監管局很有信心能 夠達成各項核心目標。本人亦謹藉此 機會向局內不辭勞苦地工作的總監及 員工衷心致謝,他們都在工作中顯示 出無比專業、專心矢志及堅定投入。 我們能在年內有此成績,實有賴他們 全力支持與無時無刻的投入精神。

Despite the challenges in the buoyant property market, the EAA is confident that it could ably fulfil its core objectives, thanks to the invaluable advice and guidance of the EAA Chairman and other Members. My appreciation also goes to our hard-working directors and staff, who have shown an incredible degree of professionalism, dedication, and commitment to their work. Without their strenuous support and readiness to walk an extra mile at all times, we could not have accomplished so much throughout the year.

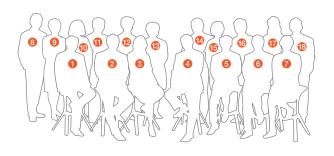
韓婉萍 行政總裁

Ruby HON Chief Executive Officer



監管局成員 **Members of the EAA**





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- 張國鈞太平紳士 Mr Horace CHEUNG Kwok-kwan, JP
- 廖玉玲太平紳士(副主席) Ms Elaine LIU Yuk-ling, JP (Vice-chairman)
- 梁永祥太平紳士・BBS (主席) Mr William LEUNG Wing-cheung, BBS, JP (Chairman)
- 劉振江測量師 Sr LAU Chun-kong
- 6. 余惠偉太平紳士 Mr YU Wai-wai, JP



- 王天予太平紳士 Ms Agnes WONG Tin-yu, JP
- 8. 謝順禮先生 Mr Calvin TSE Shun-lai
- 羅孔君女士 9. Ms Jane Curzon LO
- 10. 余雅芳女士 Ms Avon YUE Nga-fong
- 11. 黃光耀先生 Mr Ricky WONG Kwong-yiu
- 12. 鄒廣榮教授 Professor CHAU Kwong-wing

- 13. 黃鳳嫺女士 Ms Gilly WONG Fung-han
- 14. 劉哲寧先生 Mr LIU Che-ning
- 15. 吳麗莎女士 Miss Melissa WU
- 16. 蕭澤宇太平紳士,BBS Mr Simon SIU Chak-yu, BBS, JP
- 17. 徐若婷女士 Ms Maggie TSUI Yeuk-ting
- 18. 汪敦敬先生 Mr Lawrance WONG Dun-king

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新鴻基金融集團行政總裁 Chief Executive Officer, Sun Hung Kai Financial

- 香港演藝學院校董會主席
- 僱員再培訓局主席
- 香港創意藝術中心有限公司主席
- 人力發展委員會委員
- 數碼21資訊科技策略諮詢委員會
- 扶貧委員會增補委員(教育、就業 和培訓專責小組)
- Chairman, Council of The Hong Kong Academy for Performing Arts
- Chairman, Employees Retraining Board
- Chairman, Hong Kong Creative Arts Centre Limited
- Member, Manpower Development Committee
- Member, Digital 21 Strategy Advisory Committee
- Co-opted Member, Education, Employment and Training Task Force of the Commission on Poverty

副主席 VICE-CHAIRMAN

廖玉玲太平紳士 Ms Elaine LIU Yuk-ling, JP

> 大律師 Barrister-at-law

- Deputy Chairman, Board of Review (Inland Revenue Ordinance)
- Vice Chairman, Licensing Appeals Board
- Member, District Court Rules Committee
- Member, Advisory Committee on Travel Agents
- Member, Professional Services Advisory Committee of Hong Kong Trade Development Council





• 牌照上訴委員會副主席

- 區域法院規則委員會會員 • 旅行代理商諮詢委員會委員
- 香港貿易發展局專業諮詢服務 委員會委員



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第一太平戴維斯估值及專業顧問(大中華區)董事總經理 Managing Director, Savills Valuation and Professional Services (Greater China)

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- 香港測量師學會產業測量組 理事會成員
- Member, Appeal Tribunal Panel (Buildings) of Development Bureau
- Member of General Practice Divisional Council, The Hong Kong Institute of Surveyors

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Chair Professor and Head of Department of Real Estate and Construction, The University of Hong Kong

> Director, Ronald Coase Centre for Property Rights Research, The University of Hong Kong

- 自置居所津貼上訴委員會 成員(2011-2017)
- •上訴委員團(市區重建局條例) 成員(2013-2016)
 - 土地及建設諮詢委員會成員 (2015-2018)
 - •上訴委員團(城市規劃)成員 (2006-2012)
- 岩土工程師註冊事務委員會委員 (2008-2011)
- 香港測量師學會會長(2009-2010)

- Member, Home Purchase Allowance Appeals Committee (2011-2017)
- Member, Appeal Board Panel (Urban Renewal Authority Ordinance) (2013-2016)
 - Member, Land and Development Advisory Committee (2015-2018)
 - Member, Appeal Board Panel (Town Planning) (2006-2012)
- Member, Geotechnical Engineers Registration Committee (2008-2011)
- President, Hong Kong Institute of Surveyors (2009-2010)





張國鈞太平紳士 Mr Horace CHEUNG Kwok-kwan, JP

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- 長遠房屋策略督導委員會委員
- 香港房屋委員會委員
- 公務員事務局紀律人員薪俸及 服務條件常務委員會委員
- 香港會計師公會紀律小組A成員
- Elected Member, Central & Western District Council
- Member, Long Term Housing Strategy Steering Committee
- Member, Hong Kong Housing Authority
- Member, Standing Committee on Disciplined Services Salaries and Conditions of Service, Civil Service Bureau
- Member, Disciplinary Panel A of the Hong Kong Institute of Certified Public Accountants

劉振江測量師 Sr LAU Chun-kong

仲量聯行國際董事

International Director, Jones Lang LaSalle Limited

- 香港測量師學會產業測量組理事會 副主席(專業基準)
 - 英國皇家特許測量師學會亞洲區 估價專業理事會成員
 - 國際評估準則理事會國際評估 專業委員
 - 土地及建設諮詢委員會成員

 - 測量師註冊管理局成員 • 行政上訴委員會成員
- Vice-chairman (Professional Standards), General Practice Divisional Council of the Hong Kong Institute of Surveyors • RICS Asia Valuation Professional Group Board Member
 - International Valuation Standards Council Professional Board Member
 - Member, Land and Development Advisory Committee
 - Member, Surveyors Registration Board
 - Member, Administrative Appeals Board



監管局成員

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香港上海滙豐銀行有限公司環球銀行及資本市場環球銀行 亞太區聯席主管

Co-Head of Banking, Asia-Pacific Global Banking and Markets, The Hongkong and Shanghai Banking Corporation Limited

- •證券及期貨事務監察委員會 程序覆檢委員會成員(2006-2012)
- 證券及期貨事務監察委員會 收購及合併委員會成員
- 香港會計師公會紀律小組A成員
- 税務委員會委員
- •香港房屋委員會資助房屋小組 委員會成員
- Member, Process Review Panel for the Securities and Futures Commission (2006–2012)
- Member, Takeovers and Mergers Panel for the Securities and Futures Commission
- Member, Disciplinary Panel A of the Hong Kong Institute of Certified Public Accountants
- Member, Board of Inland Revenue
- Member of the Subsidised Housing Committee, Hong Kong Housing Authority

羅孔君女士 Ms Jane Curzon LO

大律師 Barrister-at-law



• 學術及職業資歷評審 上訴委員會成員

•入境事務審裁處審裁員

• 保安及護衛業管理委員會副主席

- Member, Disciplinary Panel A of the Hong Kong Institute of Certified Public Accountants
- Member, Accreditation of Academic and Vocational Qualifications Appeal Board
 - Adjudicator, Immigration Tribunal
 - Vice-chairman, Security and Guarding Services Industry Authority





蕭澤宇太平紳士,BBS Mr Simon SIU Chak-yu, BBS, JP

希仕廷律師行合夥人 Partner, Hastings & Co.

- •發展局上訴審裁團(建築物)主席
- 環境影響評估上訴委員會副主席
- •香港特別行政區護照上訴委員會 副主席
- •城市規劃上訴委員團委員
- •獨立監察警方處理投訴委員會 觀察員
- 房屋局上訴委員會主席 (2007-2013)
- Chairman, Appeal Tribunal Panel (Buildings) of Development Bureau
- Deputy Chairman, Environmental Impact Assessment Appeal Board Panel
- Deputy Chairman, HKSAR Passports Appeal Board
- Member, Appeal Board Panel (Town Planning)
- Observer, Independent Police Complaints Council
- Chairman, Housing Bureau Appeal Panel (2007-2013)

成員 **MEMBERS**

謝順禮先生 Mr Calvin TSE Shun-lai

嘉威物業代理有限公司行政總裁 嘉興地產有限公司行政總裁 CEO, Ka Wai Property Agency Co. Ltd. CEO, Ka Hing Properties Co. Ltd.

- 香港地產代理商總會主席
- 職業安全健康局文職及專業服務業 安全及健康委員會委員
 - 河畔花園業主立案法團主席
- Chairman, Hong Kong Real Estate Agencies General Association
- Member, Sedentary and Professional Services Safety and Health Committee, Occupational Safety & Health Council
 - Chairman, Incorporated Owners of Garden Rivera





徐若婷女士 Ms Maggie TSUI Yeuk-ting

招商證券有限公司董事 Director, China Merchant Securities Co., Limited

- 香港律師會對外事務常務委員會
- 香港律師會企業律師委員會副主席
- 香港律師會社區關係委員會 社區講座及服務小組主席
- 保安局人事登記審裁處審裁員
- Member, Standing Committee on External Affairs of the Law Society of Hong Kong
- · Vice Chairman, In House Lawyers Committee of the Law Society of Hong Kong
- Chairman, Community Relations Committee Community Talks and Services Working Group of the Law Society of Hong Kong
- Adjudicator, Registration of Persons Tribunal, Security Bureau

汪敦敬先生 Mr Lawrance WONG Dun-king

祥益地產代理有限公司總裁 President, Many Wells Property Agent Limited

- Honorary President, Hong Kong Chamber of Professional Property Consultants Limited
 - Member, Employees Retraining Board
- Convenor, Course and Service Development Committee, Employees Retraining Board
 - Member, Quality Assurance and Review Committee. Employees Retraining Board
- Member, Audit Committee, Employees Retraining Board • Member, Tuen Mun District Coordination Mechanism, Social Welfare Department



- 香港專業地產顧問商會榮譽會長
 - 僱員再培訓局委員 • 僱員再培訓局課程及服務發展

委員會召集人

- 僱員再培訓局質素保證及覆核 委員會成員
- 僱員再培訓局審計委員會成員 • 社會福利署屯門地區福利 協調機制委員

監管局成員

Members of the EAA

成員 MEMBERS



• 香港特區政府中央政策組特邀顧問

• 香港綠色建築議會董事會成員及

• 英國皇家特許測量師學會外事及

公共關注理事會成員及資深會員

• 香港考試及評核局

綠建教育委員會副主席

• 香港僱主聯合會副主席

• 香港總商會地產及

基建委員會副主席

香港中學文憑考試 應用學習科目委員會

增選委員

黃鳳嫺女十 Ms Gilly WONG Fung-han

消費者委員會總幹事 Chief Executive, Consumer Council

- 競爭事務委員會委員
- 消費者訴訟基金管理委員會當然成員
- 旅遊代理商諮詢委員會委員
- 香港金融管理局接受存款公司諮詢 委員會委員
- 私營醫療機構規管檢討督導委員會
- 降低食物中鹽和糖委員會成員
- Member, Competition Commission
- Ex Officio Member, Management Committee of the Consumer Legal Action Fund
- Member, Advisory Committee on Travel Agents
- Member, Deposit-taking Companies Advisory Committee, Hong Kong Monetary Authority
- Member, Steering Committee on Review of Regulation of Private Healthcare Facilities
- Member, Committee on Reduction of Salt and Sugar in Food

黃光耀先生 Mr Ricky WONG Kwong-yiu

會德豐有限公司董事 會德豐地產(香港)有限公司常務董事 Director, Wheelock and Company Limited Managing Director, Wheelock Properties (HK) Limited

- Associate Member, Central Policy Unit of HKSAR
- Co-opted Member of the Hong Kong Diploma of Secondary Education Examination — Applied Learning Subject Committee of the Hong Kong Examinations and Assessment Authority
- Director, Hong Kong Green Building Council and Vice-Chairman, Public Education Committee
- Vice Chairman, Real Estate and Infrastructure Committee of The Hong Kong General Chamber of Commerce
 - Vice-Chairman of Employers' Federation of Hong Kong
- Member of External Affairs and Public Concerns Committee and Fellow Member of Royal Institution of Chartered Surveyors





吳麗莎女士 Miss Melissa WU

畢馬威香港審計主管合夥人 Partner in charge, Audit, KPMG Hong Kong

- 衛奕信勳爵聯合世界書院 獎學基金理事會委員
- 紀律人員薪俸及服務條件 常務委員會委員
- 離職公務員就業申請 諮詢委員會委員
- Member, The Lord Wilson United World Colleges Scholarship Fund Council
- Member, The Standing Committee on Disciplined Services Salaries and Conditions of Service
- Member, Advisory Committee on Post-service **Employment of Civil Servants**

成員 **MEMBERS**

余惠偉太平紳士 Mr YU Wai-wai. JP

恒基兆業地產有限公司地產策劃(一)部總經理 General Manager (Project Management (1) Department), Henderson Land Development Company Limited

- 建造業議會 零碳天地主席
- •發展局上訴審裁團(建築物) 成員
 - 建造業議會建造業工人 註冊委員會成員
 - 發展局建造業 付款保障立法 工作小組成員
 - 建造業議會成員 (直至2014年1月31日)

- Chairman, Zero Carbon Building, Construction Industry Council
- · Member, Appeal Tribunal Panel (Buildings) of Development Bureau
- Member, Construction Workers Registration Board, Construction Industry Council
 - Member, Working Group on Security of Payment Legislation for the Construction Industry (Development Bureau)
 - Member, Construction Industry Council (up to 31 January 2014)





余雅芳女士 Ms Avon YUE Nga-fong

安永諮詢服務有限公司合伙人 Partner, Ernst & Young Advisory Services Limited

- •城市規劃上訴委員會成員
- 封閉令(對健康的即時危害)上訴 委員會成員
- 產品環保責任上訴委員會備選 委員小組成員
- 促進港台交流活動資助計劃評審 委員會成員
- 漁業發展貸款基金顧問 委員會成員
- Member, Appeal Board Panel (Town Planning)
- Member, Appeal Board on Closure Orders (Immediate Health Hazard)
- Member, Product Eco-responsibility Appeal Board Panel
- Member, Assessment Committee of Exchanges with Taiwan Funding Scheme
- Member, Fisheries Development Loan Fund Advisory Committee

王天予太平紳士 Ms Agnes WONG Tin-yu, JP

運輸及房屋局副秘書長(房屋) (運輸及房屋局常任秘書長(房屋)代表)

Deputy Secretary for Transport and Housing (Housing) (Representative of Permanent Secretary for Transport and Housing (Housing))



監管局團隊

The EAA Team



- 高善君女士 法律事務及考試部經理 Ms Susanna KO Manager (Legal Services and Examination)
- 梁國忠先生 財務及服務保證部經理 Mr KC LEUNG Manager (Finance and Service Assurance)
- 張嘉賢先生 投訴部經理 Mr Kevin CHEUNG Manager (Complaints)
- 梁家麟先生 執行部經理 Mr Alan LEUNG Manager (Enforcement)
- 林家雯先生 資訊科技及數據分析部經理 Mr LAM Ka Man Manager (IT and Data Analysis)
- 張秀成先生 服務總監 Mr Cavan CHEUNG Director of Services

- 蘇鳳儀女士 人力資源及行政部經理 Ms Patricia SO Manager (Human Resources and Administration)
 - 鄧敏琪女士 專業發展部經理 Ms Maggie TANG Manager (Professional Development)
- 陳汝儆先生 投訴部高級經理 Mr CHAN U Keng Senior Manager (Complaints)
- 10. 梁德麗女士 法律顧問 Ms Juliet LEUNG Legal Counsel
- 11. 李佩華女士 牌照部經理 Ms Ivy LEE Manager (Licensing)

- 12. 鄭麗珊女士 機構傳訊部經理 Ms Anissa CHENG Manager (Corporate Communications)
- 13. 方安妮女士 執行總監 Ms Annie FONDA Director of Operations
- 14. 劉淑棻女士 規管及法律總監 Ms Eva LAU Director of Regulatory Affairs and General Counsel
- 15. 韓婉萍女士 行政總裁 Ms Ruby HON Chief Executive Officer



行政與員工

員工

監管局的行政部門由行政總裁領導, 其整體職能包括管理監管局事務,以 及監察及規管業界遵守《地產代理條 例》。截至2015年3月31日,監管局職 員編制共有94名員工。殘疾僱員佔總 僱 員 數 目 1%。2014/15年 度 的 員 工 流 失率為16%。

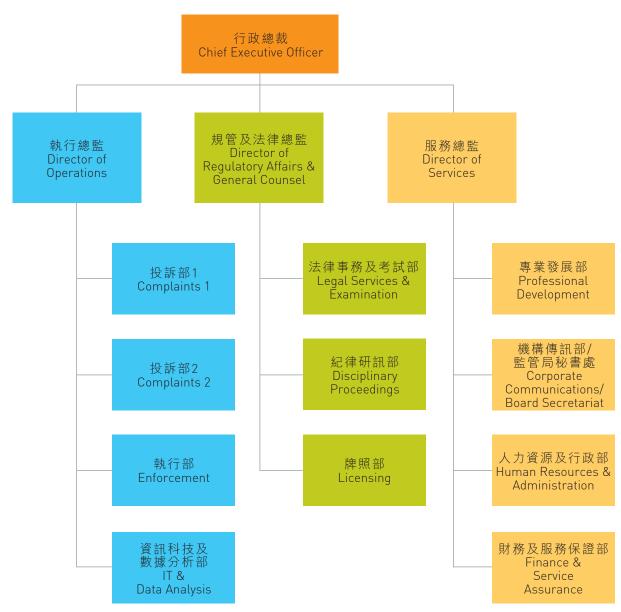
Administration and People

Staffing

The EAA Administration is headed by the Chief Executive Officer ("CEO") who has overall responsibilities for managing the business of the EAA, and monitoring and supervising compliance with the Estate Agents Ordinance. As at 31 March 2015, the staff establishment was 94. The percentage of employees with disabilities was 1%. The staff turnover rate for 2014/15 was 16%.

監管局行政部門組織架構圖 Organisation chart of the EAA Administration

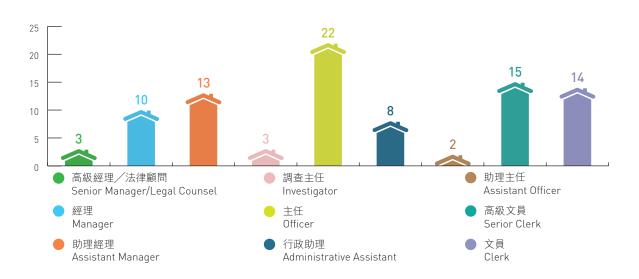
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監管局團隊 The EAA Team

總監級以下的員工編制

Non-directorate staff establishment



薪酬

監管局定期檢討其薪酬政策,以確保 薪酬福利與市場趨勢一致,在人才招 聘上,維持一定的競爭力及吸引力, 以吸納及挽留優秀員工。為此,本局 委託了獨立薪酬顧問公司在年內進行 薪酬水平及薪酬趨勢調查。各個職級 的工資範圍已根據市場水平進行調 整。2015年的年度按表現調整薪金制 度亦參考了薪酬趨勢調查結果而釐 訂。

Remuneration

The EAA regularly reviews its remuneration policy and practices to ensure that our remuneration packages are in line with the market trends and practices, to maintain competitiveness in attracting and retaining high performing staff. To this end, we commissioned an independent remuneration consultant to conduct a pay level and pay trend survey during the year. The pay ranges of various ranks have been revised in line with the market. Our annual performance-linked pay adjustment exercise in 2015 also drew reference from the findings of the pay trend survey.

本年度行政總裁和總監的薪

A S

本年度支付予行政總裁和總監1的 薪酬2如下:

Remuneration of Chief Executive Officer and Directors during the year

The total remuneration² of the CEO and directors¹ during the year was as follows:

		人數 Number of individuals
<500,000元	<\$500,000	1 ³
500,001元至1,000,000元	\$500,001 to \$1,000,000	0
1,000,001元至1,500,000元	\$1,000,001 to \$1,500,000	1
1,500,001元至2,000,000元	\$1,500,001 to \$2,000,000	3
合計	Total	5

- 監管局年內共有四位總監級員工,分別為行 政總裁(即於2014年5月31日退任的前服務總 監)、於2015年1月2日上任的現任服務總監、 規管及法律總監及執行總監。
- 整套薪酬福利包括薪金、約滿酬金及按表現 調整的薪金(如適用)。
- 現任服務總監於2015年1月2日加入監管局。
- There were four directorate staff during the year, namely, the CEO in her capacity as the former Director of Services until 31 May 2014, the current Director of Services who joined on 2 January 2015, the Director of Regulatory Affairs and General Counsel and the Director of Operations.
- Total remuneration includes salary, contract-end gratuity and performance-linked pay, if applicable.
- The current Director of Services, who joined the EAA on 2 January

員工培訓及發展

隨着公眾對監管局期望的問責性及透 明度與日俱增,我們必須確保員工具 備履行職責、積極回應大眾訴求,以 及維持高服務水平的能力。作為人力 資源策略之一,監管局致力為所有員 工提供培訓及發展機會,包括內部或 外間舉辦的培訓及發展課程,以助他 們盡展所長。

Staff Training and Development

With rising public expectations on the accountability and transparency of the EAA, we need to ensure that our staff members possess the competencies to deliver their duties, respond to the community's evolving needs, and achieve consistently high levels of performance. As part of its human resources strategy, the EAA is committed to providing training and development opportunities, including in-house or external training and development programmes, to all our staff in order to help them realise their full potential.

監管局團隊 The EAA Team

年內,為提升員工的自我效益及軟性 技能,監管局為全體職員舉辦了有關 培養快樂習慣及有效溝通技能的正向 心理學培訓。其他管理發展課程包括 專為主管及管理人員而設的危機處理 準備及創意思維技巧。

除上述由局方舉辦的培訓活動外,監 管局亦鼓勵員工積極參予與工作相關 課程,並可獲有關資助。此類培訓活 動更新員工的專業知識, 啟發他們作 策略性思考,並為日後面對更大的挑 戰及成就作好準備。

To enhance employees' self-effectiveness and soft skills, training in positive psychology in developing happy habits and effective communication skills were organised for all staff during the year. Other management development programmes included developing preparedness for crisis and creative thinking skills for supervisors and managerial staff.

Other than training activities arranged by the EAA, staff were also encouraged to attend self-initiated and reimbursable training programmes related to their work. All these training activities served to update their professional knowledge and skills, stimulate their strategic thinking and prepare them for greater challenges and achievements ahead.



監管局為員工舉辦正向心理學及快樂人生的培訓課程。

The EAA organises positive psychology and a happy life training programmes for staff.

內部溝通

監管局重視管理層與員工之間的溝 通。透過定期舉行的高級管理層會議 及部門會議,本局積極維持及加強有 效的員工溝通,並把討論和決定讓 全體員工得知,及讓員工了解不同 部門的工作,以確保透明度。管理層 會透過定期的溝通活動(如行政總裁 座談會及簡報會),與員工分享重要 議題,如機構計劃、預算及架構變化 等,讓員工知悉監管局內的發展動 向,也提供機會讓他們表達意見。監 管局每年也會舉辦一些輕鬆的聚會 讓員工參加,如員工旅行及年度派對 等,在日常工作以外促進員工溝通。

Internal Communication

The EAA sees the importance of communication between management and staff. We are dedicated to maintaining and enhancing effective staff communication through regular meetings among senior management staff, with the discussions and decisions made known to all staff to ensure transparency and understanding of the corporate direction and the work of different sections, and through regular sectional meetings. Management regularly reaches out to staff through structured communication sessions e.g. CEO's Forum and briefing sessions to share key topics such as corporate plan, budget and changes in the organisation, and to inform staff of specific developments within the EAA and to provide them with opportunities to share their views. Informal gatherings, such as staff outings and the annual party, are organised each year as well to facilitate staff communication outside the daily work routines.



監管局為員工舉辦戶外活動,增進員工與家人的健康。 The EAA organises outdoors activity to build staff and family wellness.

監管局團隊 The EAA Team

企業社會責任

本局致力將企業社會責任原則融入 日常運作中,為社區持續發展作出貢 獻。針對社區、環境及工作場所等主 要企業社會責任範疇,均已納入本局 所有營運決策及實務中。要維持作為 法定機構應有的良好企業社會責任, 需要全體監管局人員的努力。

監管局已成立一個企業社會責任工 作小組,引領企業社會責任的發展方 向,並監督相關策略及活動。

計 區

為進一步在員工之間宣揚「關愛社會」 的精神,監管局在2014年8月舉辦了 一個慈善跑活動,為匡智松嶺學前兒 童中心籌得款項共128,000元,以幫助 學前兒童中心添置一些新器材,輔助 兒童的活動能力及鍛鍊體能。

該次三公里慈善跑沿城門河畔緩跑徑 舉行,目標是為匡智松嶺學前兒童中 心籌款,監管局員工及親友在執行總 監領導下,共有77人全力熱心參與, 活動更獲得香港警察義工支持及協 助。

監管局向參加慈善跑的人士頒發參與 獎狀以示謝意。展望未來,監管局會 繼續鼓勵員工積極參與社區活動,貢 獻社會。

此外,為鼓勵員工幫助社會上有需要 人士,並履行本局的企業社會責任, 我們參與了由香港公益金(例如公益 便服日、公益愛牙日、公益行善[折] 食日等)、世界癌症研究基金會(香 港)及香港紅十字會所舉辦的籌款活 動。

Corporate Social Responsibility

We are committed to integrating corporate social responsibility ("CSR") principles into our daily operations and contributing to the sustainable development of the community. Key CSR aspects such as community, environment and workplace, are integrated into all our operational decisions and practices. Maintaining good CSR practices that align with our role as a statutory body involves everyone at the EAA.

A CSR Work Group was set up internally to steer the direction of the EAA's CSR developments and the oversight of CSR strategies and activities.

Community

In order to further spread the spirit of "caring for society" among staff, the EAA organised a Charity Run in August 2014 and raised \$128,000 for the Hong Chi Pinehill Pre-school Centre to assist them in purchasing some new equipment facilitating the movement and fitness training of the children.

The 3-km Charity Run, which aimed to raise funds for children with intellectual disabilities of the Hong Chi Pinehill Pre-school Centre, was held along the jogging track of Shing Mun River. A total of 77 people including EAA staff, their families and friends, led by the Director of Operations, participated with full spirit and enthusiasm in the event, with the support and assistance of volunteers from the Hong Kong Police Force.

Each of the EAA runners was awarded a Certificate of Participation as a token of appreciation. In the years to come, the EAA will continue to encourage staff members to take part in community projects actively and contribute to society.

Furthermore, to encourage staff to help the underprivileged and as one of our CSR initiatives, we participated in other fund-raising activities organised by the Hong Kong Community Chest (e.g. Dress Casual Day, Love Teeth Day, Skip Lunch Day etc.), World Cancer Research Fund Hong Kong and The Hong Kong Red Cross.





監管局舉辦慈善跑活動,為匡智松嶺學前兒童中心籌款。

The EAA organises a Charity Run fund raising activity for the Hong Chi Pinehill Pre-school Centre.

監管局團隊 The EAA Team

環境

本局實施了多項措施,以減少浪費及 推動循環再用。監管局力求改進在環 境方面的表現,成為一個更環保的機 構。

為保護環境及節約地球資源,監管局 把不再使用的辦公室傢具、設備(例 如電腦和打印機)及文儀用品捐贈予 慈善組織,將資源循環再用。本局亦 採購再造紙在辦公室使用。

健康與安全

本局致力為員工提供健康及安全的工 作環境,減低安全風險,制定安全標 準及指引,並定期為員工安排培訓工 作坊。

Environment

We have carried out a number of initiatives and implemented measures to reduce waste and promote recycling. The EAA strives to improve our environmental protection performance and to operate as a more environmentally friendly organisation.

To protect the environment and save the earth's resources, we donated obsolete office furniture, equipment (e.g. computers and printers) and stationery to charitable organisations for recycling. We purchased recycled paper for use in the office.

Health and Safety

We are committed to providing healthy and safe work environment by identifying and reducing safety risks, developing safety standards and guidelines and regularly organising safety training workshops for our staff.

財務

於本年度,監管局錄得980萬元盈餘 (相比去年盈餘為1,240萬元)。監管局 在本年度內之總收入為7,980萬元,較 上年度減少淨額120萬元或1.5%。年 度內之總支出為7,000萬元,較上年度 增加140萬元或2.1%。

收入

牌照費收入較上年度減少了180萬元 或 2.4% 至 7.260 萬 元 , 原 因 是 儘 管 本 年持牌人數目有逐步上升趨勢,但年 度的平均持牌人數目仍較去年為低。 考試費收入為590萬元,與上年度相 同。另各銀行於年內提高了定期存 款之息率,令利息收入上升至130萬 元,較上年度增加50萬元或67.5%。

Finance

For the year under review, the EAA reported a surplus of \$9.8 million (as compared to a surplus of \$12.4 million last year). Income for the year under review was \$79.8 million, a net decrease of \$1.2 million or 1.5% over the previous year. Expenditure for the year was \$70.0 million, an increase of \$1.4 million or 2.1% compared to last year.

Income

Licence fee income reported at \$72.6 million, a decrease of \$1.8 million or 2.4% less than the previous year. The decrease was due to the yearly average number of licensees reported during the year being comparatively lower than that of last year, despite the number of licensees being on a gradual upward trend this year. Examination fee income reported at \$5.9 million, remaining unchanged over the previous year. Interest income reported at \$1.3 million, an increase of \$0.5 million or 67.5% over the previous year due to higher time deposits interest rates offered by banks.



監管局團隊 The EAA Team

支出

員工成本與辦公室及相關開支為兩大 主要支出項目,分別佔總支出69%及 14%。主要開支增加項目在於員工成 本、辦公室及相關開支、折舊、保險 費及考試服務費,而主要開支減少項 目則為公眾教育開支(包括製作年報 及巡迴展覽所節省的成本)及專業服 務費用。

Expenditure

Staff costs and office premises & related expenses were two major expenditure items, accounting for about 69% and 14% of our total expenditures respectively. Items that saw major increases in expenditure were staff costs, office premises & related expenses, depreciation, insurance and service fees for examinations. Items that saw major decreases in expenditure were community education expenses (cost savings in annual report production and roving exhibitions) and professional service fees.



資訊科技

監管局董事局已批出項目基金,以建 立全新的綜合管理資訊系統(「該系 統」)來取代現行系統,同時提升現有 的電子服務功能。新系統的設計經已 完成,預計將在2015年底投入運作。 該系統將精簡內部工作流程及工序, 並使管理層得以更迅速有效地監察工 作進度。

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此外,該系統有助取得大量數據進行 管理研究,以履行我們的願景與使 命,例如在處理各種規管問題時,本 局需要準確掌握業內及物業市場中 正在發生的各種現象。因此,本局會 定期進行具意義的數據分析,以制定 策略以改進本局的服務水平、質素及 效益。這些資料分析可為監管局工作 提供指引、評量本局的表現及服務效 益。

實施全新的綜合管理資訊系統後,監 管局將能夠更科學化地研究業界行 為,例如常見違規行為發生的頻率、 嚴重程度及種類;實施的處罰與重複 違規之間的關聯性;教育背景、年資 與違規之間是否相關; 以及監管局各 種職能之間的其他關聯性及交互參照 研究。

Information Technology

The EAA Board approved a capital project fund to develop a new Integrated Management Information System ("the System") to replace the existing system and to enhance the current e-Services function. The design of the new System has been completed and is expected to be in operation at the end of 2015. The System will streamline the internal workflow and work processes and enable the management to monitor work progress more effectively and efficiently.

What is more, the System will help capture a lot of data so as to enable us to conduct various management studies that would facilitate the fulfilment of our Vision and Mission. For example, to address the various regulatory issues, we need to have an accurate grasp of the various phenomena happening in the trade and the property market. On this, we would conduct meaningful data analysis regularly in order to formulate strategies for improving our service level, quality and effectiveness. These data analyses could set pointers for the EAA's work, measure our performance and service effectiveness.

With the implementation of the new Integrated Management Information System, the EAA will be able to study the trade's behavior more scientifically in the future, such as the frequency, severity and types of common breaches; the correlation, if any, between sanctions imposed and repeated breaches; the correlation, if any, between educational background, years of experience and likelihood of non-compliances; and other correlation and cross-tabulation studies between the EAA's functions.

機構**作為** Corporate **E** 加 Covernance



機構管治

Corporate Governance

監管局一直致力保持良好的機構管 治,在履行其在《地產代理條例》下的 規管職責時,維持高度問責制、公信 力、公平性和透明度,以其持份者的 最佳利益為依歸,從而加強公眾對監 管局的信心。

The EAA is committed to maintaining high standards of corporate governance and a high level of accountability, credibility, fairness and transparency in fulfilling its regulatory role under the Estate Agents Ordinance ("EAO") for the best interests of its stakeholders, so as to foster public confidence in the EAA.

機構管治架構 Governance Framework



監管局董事局及其架構

董事局

董事局是監管局的最高決策組織,負 責制定監管局整體策略方向及政策, 包括機構發展計劃、年度工作計劃、 年度預算案,以及負責監察行政部門 的表現。

The EAA Board and Composition

The Board

The Board is the highest decision-making authority of the EAA. It sets the overall strategic direction and policies of the EAA, including its corporate plan, annual work plan and annual budget, and monitors the performance of the Administration.

董事局的組成

董事局的組成在《地產代理條例》中有 所規定。董事局設有正、副主席各一 名及不多於18名普通成員。成員來自 社會上不同界別,包括地產代理行業 和運輸及房屋局。董事局成員的任期 固定,由香港特別行政區行政長官委 任。

董事局成員來自多元化但相關的背 景,擁有不同的技能、經驗及專業, 包括來自地產代理、商業、法律、測 量、金融、會計及學術界別等。來自 地產代理業內及業外的成員組合,能 使董事局在辯論各項議題時,能兼顧 各方面的觀點。有關董事局成員的履 歷資料詳載於第23至30頁「監管局成 員」部分。

主席及行政總裁職位由不同人士出 任,各司其職。主席負責領導董事局 執行《地產代理條例》,制定監管局整 體方向及策略,並監督局方事務;而 行政總裁則領導行政部門,執行董事 局及委員會的決定,並負責管理局方 各項事務。

Board Composition

The constitution of the Board is stipulated by the EAO. The Board consists of a Chairman, a Vice-chairman, and not more than 18 ordinary members from various sectors of the community, including the estate agency sector and the Transport and Housing Bureau. Board members are appointed for a fixed term by the Chief Executive of the Hong Kong Special Administrative Region.

Board members come from varied but relevant backgrounds with diverse skills, experience and expertise, including real estate agency, business, legal, surveying, finance, accounting and academia, and bring to the Board a wide range of experience and expertise as well as an independent perspective. The combination of members from within and outside the real estate agency trade gives the Board a balanced perspective to debate the issues it faces. Biographical details of the Board members are set out in the section "Members of the EAA" on pages 23 to 30.

The positions of Chairman and Chief Executive Officer ("CEO") are held by different persons and their roles are segregated. The Chairman is responsible for leading the Board in enforcing the EAO, setting policies for the EAA, and overseeing EAA's business and affairs, while the CEO is the administrative head responsible for executing the decisions of the Board and Committees and administering the business and affairs of the EAA.



董事局定期舉行會議,制定監管局整體策略方向及政策。

The EAA board holds meeting regularly to set the overall strategic direction and policies for the EAA.

機構管治

Corporate Governance

委員會及專責小組

董事局之下設有五個常設委員會和一個專責小組,負責處理監管局不同範疇的工作。委員會的每位成員皆由監管局董事局委任,而每個委員會須有最少三名成員。

董事局亦可不時就處理特別事宜成立 工作小組,有需要時,亦可委任非監 管局成員的其他人士(即董事局委任 成員),參與委員會、專責小組或工 作小組的工作。

2014/15年度,監管局常設委員會與專責小組包括:

Committees and Panel

There are five standing committees and one working panel under the EAA Board to oversee the various aspects of the EAA work. Each of the members of a committee is appointed by the EAA Board and a committee shall consist of at least three members.

The EAA Board may also set up work groups to deal with particular issues from time to time. When necessary, the EAA may also appoint other persons (i.e. Board-appointed Members) who are not members of the EAA Board to the committees, panel or work groups.

The standing committees and working panel of the EAA in 2014/15 included:



監管局常設委員會與專責小組的職權 範圍及成員名單載於**附錄一**。 The terms of reference and composition of the standing committees and working panel of the EAA are listed in **Appendix I**.

非常設委員會,僅在需要時舉行會議

Not a standing committee, meet as and when needed

會議出席記錄

根據《地產代理條例》,監管局會議的 法定人數至少為監管局當時成員人數 的一半(包括主席及副主席(不論在場 與否))。出席會議的監管局成員各有 一票投票權。

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2014/15年度,董事局、常設委員會及 專責小組的會議次數、平均出席率和 審議文件數目如下:

Meeting Attendance

According to the EAO, the quorum for a meeting of the EAA shall be at least half of the members of the EAA for the time being (including the Chairman and the Vice-chairman whether present or not). Each member of the EAA present at a meeting thereof shall have a vote.

In 2014/15, the number of meetings, the average attendance rates and number of papers considered by/ at the meetings of the EAA Board, standing committees and working panel were as follows:

2014年4月1日至2014年10月31日 1 April 2014 to 31 October 2014

	會議數目 Number of meetings held		經審議的 文件數目 Number of papers considered
董事局 The EAA Board	2	93%	23
財務及策略發展委員會 Finance and Strategic Development Committee	0	不適用 N/A	0
紀律委員會 Disciplinary Committee	2	62%	12
牌照委員會 Licensing Committee	3	71%	9
執業及考試委員會 Practice and Examination Committee	2	77%	8
專業發展委員會 Professional Development Committee	1	75%	9
第28條調查小組** Section 28 Investigation Panel**	0	不適用 N/A	0

- 委員會及專責小組出席率包括董事局成員及 董事局委任成員。
- 第28條調查小組並非常設委員會,僅在需要 時舉行會議。該小組在2014/15年度並無召開 會議。
- The attendance of committees and panel includes Board members and Board-appointed members.
- Section 28 Investigation Panel is not a standing committee and will only meet as and when needed. In 2014/15, there was no meeting held.

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Corporate Governance

2014年11月1日至2015年3月31日 1 November 2014 to 31 March 2015

	會議數目 Number of meetings held	平均出席率* Average attendance rate*	經審議的 文件數目 Number of papers considered
董事局 The EAA Board	2	83%	28
財務及策略發展委員會 Finance and Strategic Development Committee	1	78%	6
紀律委員會 Disciplinary Committee	0	不適用 N/A	0
牌照委員會 Licensing Committee	2	90%	5
執業及考試委員會 Practice and Examination Committee	1	80%	4
專業發展委員會 Professional Development Committee	1	100%	8
第28條調查小組** Section 28 Investigation Panel**	0	不適用 N/A	0

- 委員會及專責小組出席率包括董事局成員及 董事局委任成員。
- 第28條調查小組並非常設委員會,僅在需要 時舉行會議。該小組在2014/15年度並無召開 會議。
- The attendance of committees and panel includes Board members and Board-appointed members.
- Section 28 Investigation Panel is not a standing committee and will only meet as and when needed. In 2014/15, there was no meeting held.

誠信與公正

操守標準

本局堅守以誠信及公平為原則,為公 眾服務。

監管局是《防止賄賂條例》下的公共機 構。在該條例下,所有監管局董事局 成員及員工均被視為「公職人員」。

Integrity and Impartiality

Standard of Conduct

We are fully committed to the principle of honesty, integrity and fair play in the delivery of services to the public.

The EAA is a public body under the Prevention of Bribery Ordinance. The Board Members and employees of the EAA are regarded as "public servants" for the purpose of that ordinance.

作為規管香港地產代理行業的法定機 構,監管局明白盡力維持最高質素服 務水平及道德標準的重要性。監管局 要求全體員工在誠信及行為上皆秉持 高標準,以促進並維持公眾的信心。 本局員工必須遵守本局的行為守則, 其中詳列本局標準,涵蓋保密、利益 衝突及利益收受等方面。監管局會向 每位入職員工講解有關守則,且將相 關文件上載至監管局內聯網供員工隨 時參閱。

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行政總裁、總監和經理(包括高級經 理)的離職後就業限制期分別為一 年、六個月及兩個月。同時,包括行 政總裁和總監在內的所有員工,均不 可於任職監管局期間及離職後兩個月 內參加地產代理或營業員資格考試。

利益披露

為維持公眾對監管局的誠信與公正性 的信心,以及避免潛在利益衝突,監 管局實施兩層的申報利益制度。所有 董事局成員及董事局委任成員獲委任 後,必須向監管局申報其利益,並每 年更新資料。此外,他們須於監管局 所有會議上,申報涉及監管局所審議 的任何議題或事宜的利益,以及任何 與監管局事務有利益衝突或潛在利益 衝突的事情。公眾可要求查閱紀錄有 關利益申報詳情的登記冊。

此外,監管局所有的行政部門人員亦 須每年申報,有否與一些和監管局有 競爭的、或與監管局有業務往來,或 受監管局所監管的業務或機構有任何 直接或間接的財務利益關係。

As a statutory body tasked with regulating the practice of the estate agency trade in Hong Kong, the EAA recognises the importance of maintaining the highest possible level of quality service and ethical standards. A high standard of integrity and conduct is required of all staff to promote and maintain public confidence. Our staff members are required to comply with our Code of Conduct which sets out our standards in detail covering confidentiality, conflicts of interest and acceptance of advantages. All EAA staff members are briefed on the Code upon their commencement of duties at the EAA, and may access the document easily at any time through the EAA's intranet.

The post-employment sanitisation period for the CEO, Directors and Managers (including Senior Managers) are respectively one year, six months and two months. There is also a prohibition on all staff, including the CEO and Directors, to take the estate agents or salespersons qualifying examinations during and within two months after service.

Disclosure of Interest

To foster public confidence in the integrity and impartiality of the EAA, the EAA adopts a two-tier reporting system on declaration of interest as a safeguard against potential conflicts of interests. All Board Members and Board-appointed Members are required to register their interests with the EAA upon their appointment to membership and annually thereafter. They are also required to declare their interests at all EAA meetings in any subject and matter under consideration by the EAA, and any conflict of interest or potential conflict of interest which they may have with the affairs of the EAA. The register of interests is available for public inspection.

In addition, all staff of the EAA Administration also have to declare annually if they have any financial interest, direct or indirect, in any business or organisation which competes with the EAA, with which the EAA has business dealings, or which is being regulated by the EAA.

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Corporate Governance

在有關土地和物業的利益方面,所有 董事局成員及董事局委任成員均須申 報其在香港或海外的任何實益權益, 但不包括地址詳情。須登記的利益包 括:成員名下所持有、或透過其他公 司或個人間接持有、或其有權處置、 或能從中獲得任何金錢利益的土地或 物業。監管局行政部門的管理職級人 員亦須遵循類似的規定申報他們的土 地及物業利益。

Regarding interests in land and property, all EAA Board Members and Board-appointed Members are required to declare any such beneficial interests they have in Hong Kong or overseas, without disclosing details of the addresses. Registrable interests include land or property owned by a Member in his/her name or held indirectly through another company or person. It also includes land or property which a Member has a right over its disposition or has any pecuniary interest deriving from it. The managerial staff of the EAA Administration also adopt a similar requirement in declaring their interests in land and property.

問責性及透明度

本局視問責制為機構管治的基本支柱 之一, 並基於此理念建立本局的架構 及管理文化。現行架構下,董事局須 就監管局的表現整體問責。行政部門 負責管理監管局的日常業務,並須就 其表現向董事局問責。

監管局制定了一套《機構授權指引》, 加強問責。所有監管局成員、常設委 員會、工作/專責小組及所有行政部 門的員工的行為,均必須符合指引的 精神及目的,以及獲授權的職權範 窜。

為提高監管局工作的透明度,監管局 每年向運輸及房屋局局長提交一份年 報,並提呈立法會省覽。公眾可於監 管局辦公室及網站閱覽有關年報。

監管 局亦會通過大眾媒體、監管局刊 物及網站等不同溝通渠道,向公眾發 放有關監管局的工作及措施的資訊。

Accountability and Transparency

We consider accountability one of the fundamental pillars of corporate governance and have built our corporate structure and management culture based on this concept. Under the current structure, the Board is overall accountable for the performance of the EAA. The Administration is responsible for managing the EAA's day-to-day business and is accountable to the Board for its performance.

To facilitate accountability of the EAA, a Corporate Authorisation Manual was formulated to provide corporate management authority guidelines. All Members of the EAA, standing committees, work groups/panels and all employees of the Administration must act in compliance with the spirit and intent of the Manual and within the scope of authorities conferred.

To increase the transparency of the EAA's work, the EAA furnishes the Secretary for Transport and Housing an Annual Report, copies of which have to be laid before the Legislative Council and are made available to the public at the EAA's office and website.

Members of the public are also kept abreast of the EAA's work and initiatives through various communication channels, such as the mass media, EAA publications and its website.



監管局通過大眾媒體、監管局刊物及網站等不 同渠道,向公眾發放有關監管局的工作及措施 的資訊。

The public are kept abreast of the EAA's work and initiatives through various channels, such as the mass media, EAA publications and its website.

為方便公眾取得有關監管局的資料, 監管局已任命一名經理為公開資料主 任,負責確保本局按照特定程序,妥 善處理公眾根據監管局的《公開資料 守則》提出查閱資料的要求。

To facilitate the public to access information about the EAA, the EAA has designated a Manager as the Access to Information Officer who is responsible for ensuring that requests for access to information under the EAA's Code on Access to Information are properly dealt with in accordance with specific procedures.

查閱資料申請摘要 Summary of Applications for Access to Information

年度 Year				さ資料 ormation Requested
2014/15	1	拒絕 Declined	•	涉及投訴人與第三者交涉的證據 Evidence on a complainant's dealings with other parties
2013/14	4	全部接受 All Accepted	•	一宗研訊個案中的電話通話記錄及其他未有使用材料 Telephone conversation records and other unused material for a hearing case 投訴個案文件 Complaint case document 屬於申請人的證人陳述書、會面記錄及通信副本 Witness statements, interview record and correspondence copies belonging to the persons making the requests 陳述書副本

Statement copy

機構管治

Corporate Governance

制衡措施

外部審核

監管局的財務報表須經由外部核數師 審核。2014/15年度,德勤●關黃陳方 會計師行獲委聘為監管局的核數師。

外部審核的主要目的是向董事局提交 監管局年度財務報表,呈示公允的獨 立保證。監管局委任的外部核數師須 由運輸及房屋局局長批准。

上訴

根據《地產代理條例》,持牌人或牌照 申請人可對監管局的決定提出上訴, 包括監管局拒絕批給牌照或批出續牌 申請,或監管局施行的紀律處分,上 訴須透過書面方式向運輸及房屋局局 長提出。

運輸及房屋局局長須委任人士組成委 員團,專責聆訊上訴。委員團的主席 須就每宗上訴個案,從委員團成員中 委任成員組成審裁小組進行裁決。

申訴專員覆檢

監管局自2010年7月2日起被納入申訴 專員的監管範圍。2014/15年度內,共 接獲四宗申訴專員轉介的個案,並於 年度期間結束。雖然該四宗個案並不 成立,行政部門已採取相應的改善措 施。

Checks and Balances

External Audit

The EAA's statement of accounts is subject to audit by an external auditor. In the year of 2014/15, Deloitte Touche Tohmatsu was the external auditor of the EAA.

The main purpose of the external audit is to provide independent assurance to the Board that the annual financial statements of the EAA are fairly stated. The appointment of the EAA's external auditor is subject to the approval of the Secretary for Transport and Housing.

Appeals

Under the EAO, licensees or licence applicants may appeal against the EAA's decisions concerning refusal to grant or renew a licence, or its disciplinary sanctions by writing to the Secretary for Transport and Housing.

The Secretary for Transport and Housing is required to appoint a panel of persons for the purpose of hearing such appeals. The appeals are determined by a tribunal, the members of which are appointed by the Chairman of the panel from members of the panel.

The Ombudsman's Review

The EAA came under the jurisdiction of The Ombudsman on 2 July 2010. In the year of 2014/15, a total of four inquiries from The Ombudsman were received and all of them were closed during the period. Despite that none of the four cases was established. measures for improvement of the Administration had been taken.

服務保證檢討

為加強監管局的整體機構管治及減少 行政失誤,監管局於2013年新增服務 保證職能,以確保監管局個別部門的 成員在履行職責時,均符合相關監管 要求、內部政策及程序,以及表現標 準。藉着實施此項職能,本局致力提 升服務質素,並就改善內部監控作出 合嫡的建議。

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年內,監管局進行了兩次檢討,並已 直接向行政總裁及董事局匯報有關結 果。監管局已採取及擬定適當的補救 或跟進行動,以加強內部監控及機構 管治。

行政部門服務標準

作為一個負責任的監管機構,監管局 對公眾的服務設有一套服務承諾,且 定期檢討承諾的達標率。

2014/15年度的承諾詳情及達標率列 於附錄二。

Service Assurance Review

To strengthen the overall corporate governance of the EAA and to reduce maladministration, a new function of service assurance was introduced in 2013 to ensure that staff of individual teams of the EAA did discharge their duties in compliance with the relevant supervisory requirements, established internal policies and procedures, and performance standards. With the implementation of this function, we are committed to enhancing our services and would make recommendations on the improvement of internal controls, as appropriate.

Two reviews were conducted during the year and the findings were reported directly to the CEO and the Board. Appropriate remedial or follow-up actions were taken or planned to enhance the EAA's internal control and corporate governance.

Administration's Performance **Standards**

As a responsible regulatory body, the EAA has a set of performance pledges for its services to the public and the attainment level of the pledges is reviewed regularly.

Details of the pledges and the attainment level in 2014/15 are listed in **Appendix II**.

地產代理 The Road 事業之地 to the Estate Agency Profession



地產代理專業之路

The Road to the Estate Agency Profession

資格老試

資格考試旨在評估有志加入地產代理 業的人士是否具備提供地產代理服 務所需的知識。目前共有兩類資格考 試:[i]地產代理資格考試及[ii]營業員 資格考試。

資格考試由香港考試及評核局代表監 管局舉辦。

Qualifying Examinations

The qualifying examinations serve to assess whether persons who wish to practise in the estate agency trade possess the requisite knowledge to provide estate agency services. Currently, there are two types of qualifying examinations: (i) the Estate Agents Qualifying Examination ("EAQE") and (ii) the Salespersons Qualifying Examination ("SQE").

The qualifying examinations are administered by the Hong Kong Examinations and Assessment Authority on behalf of the EAA.



資格考試旨在評估有志加入地產代理業的人士是否具備提供地產代理服務所需的知識。 The qualifying examinations serve to assess whether persons who wish to practise in the estate agency trade possess the requisite knowledge to provide estate agency services.

地產代理資格考試與營業員資格考試的比較如下:

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A comparison of the EAQE and SQE is as follows:

	地產代理資格考試 EAQE	營業員資格考試 SQE
次數 Frequency	每年4次 4 times a year	每年6次 6 times a year
考試時間 Examination Time	3小時 3 hours	2小時30分鐘 2 hours 30 minutes
試題數目 Number of Questions	第一部分:30條獨立試題 第二部分:20條試題(依據一至 兩個個案分析) Part 1:30 stand-alone questions Part 2:20 questions based on one or two case studies	第一部分:40條獨立試題 第二部分:10條試題(依據一至 兩個個案分析) Part 1:40 stand-alone questions Part 2:10 questions based on one or two case studies
形式 Format	多項選擇題 Multiple-choice questions	
合格分數 Pass Mark	每部分最少需答對60% At least 60% of correct answers in e	ach part

試題的第一部分測試考生對地產代理 資格考試及營業員資格考試內容綱 要中各個範疇的認識,其中包括《地 產代理條例》及其附屬法例、《操守守 則》、執業通告,以及其他適用於地 產代理實務的相關法例及執業手法。

試題的第二部分通過一個或兩個個案 研究,綜合測試考生就地產代理或營 業員應具備的執業知識,包括對土地 查冊的理解、訂明表格的使用、監管 制度的規定、有關物業買賣和租務等 其他實務事宜,以及地產代理或營業 員在從事地產代理工作時必備的道德 標準及專業操守。

Part 1 of the examination paper is intended to test candidates' knowledge of various parts of the syllabi of the EAQE and SQE, including the EAO and its subsidiary legislation, the Code of Ethics, practice circulars, and other relevant laws and practices applicable to the estate agency practice.

Part 2 of the examination paper, which contains one or two case studies, is intended to test in an integrated way the practical knowledge expected of estate agents or salespersons, including interpretation of land search, use of prescribed forms, the requirements under the regulatory regime, other practical issues such as conveyancing and tenancy, and the ethical standards and professional integrity required of estate agents or salespersons in the performance of estate agency work.

地產代理專業之路

The Road to the Estate Agency Profession

由於持牌地產代理不僅可擔任地產代 理,還可經營地產代理業務,因此地 產代理資格考試的試題亦會測試考生 就地產代理在物業估值、有效管理代 理業務及監督營業員以符合規管制度 等方面應具備的知識。營業員資格考 試的考試內容綱要並不包括這些範 疇。

考生人數

在2014/15年度,報考地產代理資格 考試及營業員資格考試的人數分別為 4,709 人 及5,793 人, 前 者 較 去 年 下 降 約3.6%,而後者則上升約7.0%。

與2013/14年度相比,實際應考地產 代理資格考試的人數下降約4.7%至 4,261人,而應考營業員資格考試的人 數則上升約5.8%至5,081人。

在2014/15年度,地產代理資格考試 及營業員資格考試的平均合格率為 42.7%及48.2%,而2013/14年度兩個考 試的合格率則為39.6%及40.9%。

Since licensed estate agents could undertake an estate agency business in addition to being an estate agent. the questions in the examination paper of the EAQE also test the knowledge expected of estate agents in property valuation, effective management of agency and supervision of salespersons in the compliance of the requirements under the regulatory regime. These areas are not included in the syllabus of the SQE.

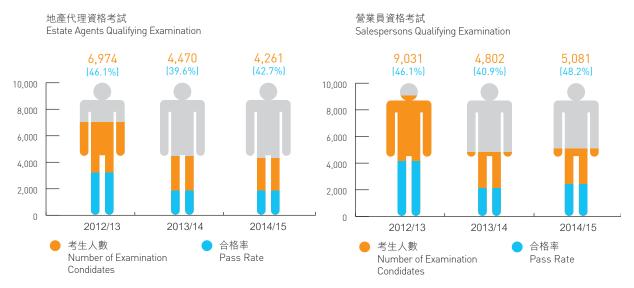
Number of Candidates

A total of 4,709 candidates registered for the EAQE and 5,793 candidates registered for the SQE in 2014/15, which were a decrease of about 3.6% for the former and an increase of about 7.0% for the latter, as compared to those of the previous year.

Compared to that in 2013/14, the number of candidates actually sitting the EAQE decreased by about 4.7% to 4,261 and increased by about 5.8% to 5,081 in the case of SQE.

In 2014/15, the average pass rate for the EAQE and SQE were 42.7% and 48.2%, as against 39.6% and 40.9% in 2013/14.

資格考試考生人數及合格率 Number of Examination Candidates and Pass Rates of Qualifying Examinations



考生學歷

報考資格考試的高學歷考生人數越來 越多。在2014/15年度報考營業員資格 考試的考生中,具備大專或以上學歷 的比率約有28%,至於地產代理資格 考試,具備大專或以上學歷的考生比 率則約為43%,而2013/14年度的比率 則分別為27%及41%。

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考生的職業背景

考生當中不乏學生及來自各行各業的 人士,包括物業管理、建築與測量、 銀行、會計、零售及批發。首次參加 資格考試的人士約有54%。

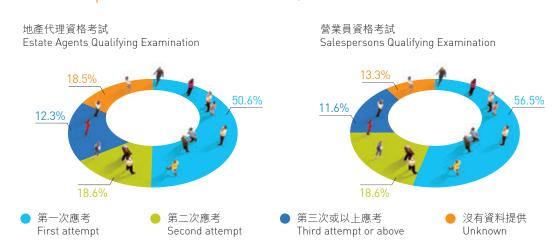
Educational Background of Candidates

Increasingly, more candidates with higher educational levels registered for the qualifying examinations. In 2014/15, the percentage of candidates registering the SQE who were of tertiary or above educational level was about 28%, and that for the EAQE was about 43%, as compared to 27% and 41% in 2013/14.

Occupational Background of Candidates

Candidates included students and people from a wide range of occupational backgrounds, including property management, construction and surveying, banking, accounting, retail and wholesale business. About 54% of the candidates sat the examination for the first time.

考生參加2014/15年度舉辦的考試的次數 Number of Attempts at Examinations held in 2014/15



地產代理專業之路 The Road to the Estate Agency Profession

考生學歷及合格率 Candidates' Educational Background and Pass Rate

		2012, 報考考生	2012/13		/14	2014/15 報考考生		
	學歷	比率 % of	合格率	報考考生 比率 % of	合格率	比率 % of	合格率	
	Education Level	registered candidates	Pass rate	registered candidates	Pass rate	registered candidates	Pass rate	
	中五 F.5	34.6%	36.1%	31.6%	22.7%	30.4%	31.0%	
地產代理 資格考試	中六或 中七 F.6 or F.7	7.5%	42.8%	6.6%	33.4%	8.0%	34.4%	
Estate Agents Qualifying Examination	大專或 以上 Tertiary or above	39.3%	47.2%	41.4%	41.4%	43.4%	42.9%	
	資料不詳 Unknown	18.6%	43.1%	20.4%	39.9%	18.2%	43.3%	
	中五 F.5	47.7%	36.2%	43.4%	31.6%	40.3%	36.2%	
營業員 資格考試	中六或 中七 F.6 or F.7	13.4%	41.6%	14.7%	32.8%	18.0%	37.5%	
Salespersons Qualifying Examination	大專或 以上 Tertiary or above	25.7%	49.3%	26.6%	46.0%	27.9%	53.6%	
	資料不詳 Unknown	13.2%	43.7%	15.3%	36.3%	13.8%	43.5%	

報考2014/15年度舉辦的資格考試的考生的職業背景

4 5

Occupational Background of Candidates Registered for the Qualifying Examinations held in 2014/15



	地產代理業 Estate agency trade	18.9%
	銀行/會計/投資 Banking/accounting/investment	11.0%
	零售/批發 Retail/wholesale business	9.3%
•	物業管理 Property management	5.2%
	學生 Students	4.8%
	建築/測量 Construction/surveying	3.9%
	保險 Insurance	3.6%
	教育/社會服務 Education/social service	2.9%
•	酒店/餐飲 Hotel/catering	2.4%
	無業 Unemployed	1.8%
•	旅遊 Tourism	1.2%
•	文書工作 Clerical	1.1%
	法律 Legal	1.0%
	銷售及推廣 Sales & marketing	0.8%
	資訊科技 Information technology	0.8%
	資料不詳 Unknown	20.6%
•	其他 Others	10.7%



•	零售/批發 Retail/wholesale business	15.5%
	物業管理 Property management	11.8%
	學生 Students	11.7%
	銀行/會計/投資 Banking/accounting/investment	7.2%
	酒店/餐飲 Hotel/catering	5.3%
•	保險 Insurance	3.5%
	教育/社會服務 Education/social service	2.8%
	建築/測量 Construction/surveying	2.4%
•	見習營業員 Salesperson-trainee	2.3%
•	文書工作 Clerical	1.6%
•	無業 Unemployed	1.4%
•	旅遊 Tourism	1.1%
	銷售及推廣 Sales & marketing	0.8%
	法律 Legal	0.5%
	資訊科技 Information technology	0.4%
	資料不詳 Unknown	19.0%
•	其他 Others	12.7%

地產代理專業之路

The Road to the Estate Agency Profession

發牌

獲發牌照的人士必須年滿18歲、完成中五或同等程度教育,並在相關的資格考試中考獲合格成績¹,而且被監管局認為是「適當人選」。

於2015年3月31日當日計算,個人牌照的總數較去年同期上升1.2%,達35,859個。公司牌照及營業詳情説明書的數目,分別達3,189個及6,329個,較上年度分別上升5%及1.3%。

Licensing

To be granted a licence, an individual must have attained 18 years of age, completed an educational level of Form Five of secondary education or its equivalent, passed the relevant qualifying examination and be considered "fit and proper".

An individual may apply for a salesperson's licence or an estate agent's licence (individual). Companies may only apply for an estate agent's licence (company). Holders of a salesperson's licence may only work for licensed estate agents while there is no such restriction for holders of an estate agent's licence. Each estate agent is required to, before carrying out any estate agency business at any place under a particular business name, apply for a statement of particulars of business ("SPOB") for that place and name.

The number of individual licences as at 31 March 2015 increased by 1.2% over that of 31 March 2014 to 35,859. The number of company licences and SPOBs were respectively at 3,189 and 6,329, representing an increase of 5% and an increase of 1.3% respectively over those of last year.



本年度,監管局共批出3,093個新申領的個人 牌照,較上年度減少8.2%。

During the year, the EAA granted 3,093 new individual licences, a decrease of 8.2% compared to that of the previous year.

申請人必須於提交牌照申請當日起計的前12 個月內在資格考試中考獲合格成績。

The qualifying examination must have been passed within 12 months immediately before the date of an application for the grant of a licence.

在35,859名持有個人牌照的人士當 中,19.197人持有營業員牌照,16.662 人持有地產代理(個人)牌照。

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本年度,監管局共批出3,093個新申領 的個人牌照,較上年度減少8.2%。

監管局會審閱每一份牌照申請,以確 保申請人符合法定條件。年內,監管 局拒絕了146宗牌照申請,原因包括 申請人未能符合有關的學歷要求,或 並非獲批給、持有或繼續持有牌照的 「適當人選」。

如持牌人不再符合繼續持有牌照的資 格,他的牌照可能被撤銷。本年度, 監管局牌照委員會共撤銷了45個牌 照,原因是有關持牌人不被認為是繼 續持有牌照的「適當人選」或不符合發 牌條件。

教育水平與年齡分佈

截至2015年3月31日,31.5%的持牌人 具備大專或以上學歷,3.1%的持牌人 教育程度低於中五1。

截至2015年3月31日,持牌人的平均 年齡為35.4歲,歲數較上年度同日些 微年輕。

Among the 35,859 individual licences, 19,197 were salesperson's licences and 16,662 were estate agent's licences (individual).

During the year, the EAA granted 3,093 new individual licences, a decrease of 8.2% compared to that of the previous year.

The EAA vets each licence application to ensure compliance with the relevant laws. In the year under review, 146 applications were refused for different reasons, such as applicants not having the required educational qualifications or not being considered "fit and proper" persons to be granted, or hold or continue to hold a licence.

A licence may be revoked if the licensee is no longer eligible to continue to hold a licence. During the year, a total of 45 licences were revoked by the Licensing Committee because the relevant licensees were not considered "fit and proper" to continue to hold a licence or no longer met the licensing requirements.

Educational Attainment and Age Distribution

As at 31 March 2015, 31.5% of licensees had a tertiary educational level or above, and 3.1% had an educational level below Form Five¹.

As at 31 March 2015, the average age of licensees was 35.4 years, which was slightly younger than that of the previous year.

該等人士均是由於1999至2001年的三年過渡 期內所實施的豁免措施而繼續獲發牌照。

These individuals continued to be qualified for licences because of the exemption measures introduced during the three-year transition period from 1999 to 2001.

地產代理專業之路

The Road to the Estate Agency Profession

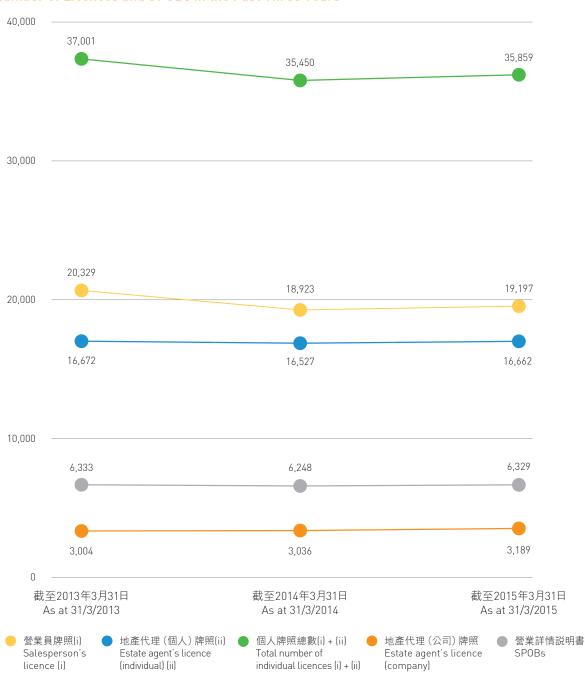
代理業務的規模

大多數地產代理業務仍然以小規模經 營。截至2015年3月31日,93.9%的地 產代理業務只有一間店舖,而同時經 營五間店舖或以上的業務只佔少於 1%。

Size of Operations

The bulk of estate agency operations remained small in scale. As at 31 March 2015, 93.9% of agencies operated as single-shop businesses and less than 1% had five or more shops.

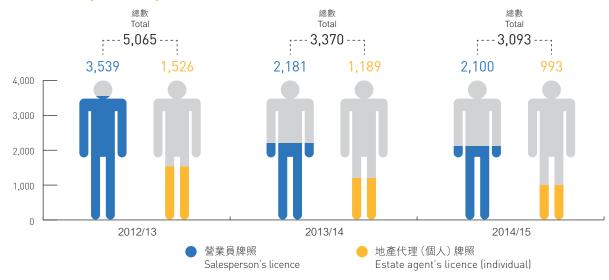
過往三年牌照及營業詳情説明書數目 Number of Licences and SPOBs in the Past Three Years



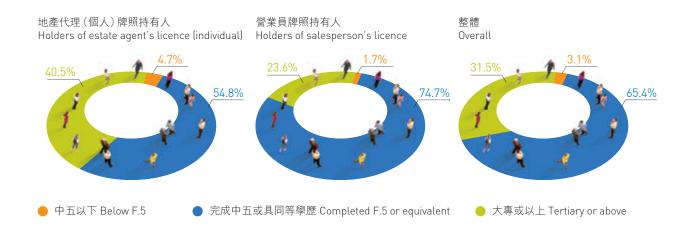
過往三年新批出的個人牌照數目

New Licences (Individual) in the Past Three Years

4 1



持牌人的學歷水平(截至2015年3月31日) Educational Level of Licensees (as at 31/3/2015)



地產代理專業之路

The Road to the Estate Agency Profession

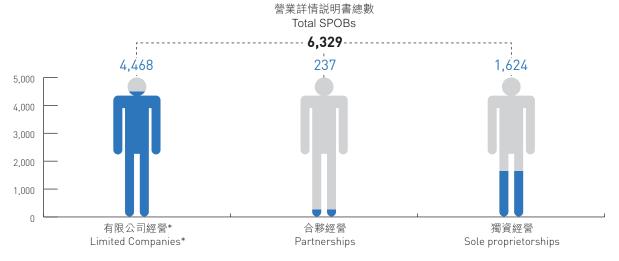
持牌人的年齡(截至**2015**年**3**月**31**日) Age of Licensees (as at 31/3/2015)

年齢 Age	<21	21-30	31-40	41-50	51-60	>60
地產代理(個人)牌照持有人 Holders of estate agent's licence (individual)	4.6%	18.8%	30.7%	33.3%	11.1%	1.5%
營業員牌照持有人 Holders of salesperson's licence	15.6%	29.8%	27.8%	22.1%	4.4%	0.3%
整體 Overall	10.5%	24.7%	29.1%	27.3%	7.5%	0.9%

持牌人所選擇的通訊語言(截至2015年3月31日) Licensees' Choice of Language in Communication (as at 31/3/2015)



代理業務的經營模式(截至**2015**年**3**月**31**日) Mode of Operation of Estate Agency Businesses (as at 31/3/2015)



^{*} 由3,189個公司持牌人經營

^{*} Operated by 3,189 company licensees

代理業務的規模(截至2015年3月31日) Size of Operation of Estate Agency Businesses (as at 31/3/2015)

4

商舗數目* Number of shops*	1	2	3	4	5-10	11-20	21-30	>30
有限公司經營 Limited companies	2,963	149	43	8	16	5	1	4
合夥經營 Partnerships	210	5	3	2	0	0	0	0
獨資經營 Sole proprietorships	1,471	55	6	4	1	0	0	0

^{*} 即營業詳情説明書

地與香港地產代理專業

監管局與中國房地產估價師與房地產 經紀人學會(「中房學」)於2010年11月 3日簽訂協議,落實內地與香港地產 代理專業資格互認計劃的基本安排。 此安排旨在推動中港兩地的地產代理 業界專業人才交流與合作,同時促進 兩地行業的長遠發展。

根據協議,在五年的協議期內,監管 局和中房學分別推薦特定數額的合資 格地產代理,參加由對方專門開設的 培訓課程及考試。在完成課程並通過 考試後,參加者可申請相關的註冊證 書或牌照。雙方亦就如何處理針對參 與計劃的持牌人的投訴,及對違規持 牌人進行紀律處分等方面達成共識。 雙方亦已建立通報機制,互相通報受 處分的持牌人的資料,以確保監管機 制的效力。

在協議安排下,截至2015年3月31日, 共有188名香港地產代理持有由中房 學頒發的註冊證書,另有18名內地地 產代理持有由監管局批出的牌照。

* i.e. SPOBs

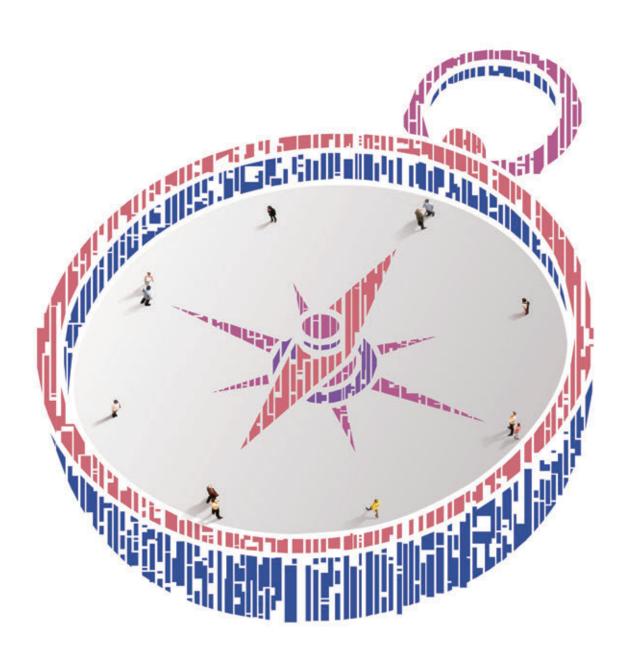
Scheme on Mutual Recognition of **Professional Qualifications of Estate** Agents in the Mainland and Hong Kong

The EAA and the China Institute of Real Estate Appraisers and Agents ("CIREA") entered into an agreement on 3 November 2010 to lay down the foundation for the mutual recognition of professional qualifications of estate agents in the Mainland and Hong Kong. The arrangement was intended to promote professional exchanges and cooperation between practitioners of the estate agency trade in the Mainland and Hong Kong, and to facilitate the long-term development of the industry of both sides.

According to the agreement, the EAA and the CIREA will each nominate a certain number of qualified estate agents to participate in tailor-made training courses and examinations organised by the other party within the 5-year agreement period. Upon completing a training course and passing an examination, the participants may then apply for the relevant registration certificate or licence. The signing parties also reached agreement regarding the handling of complaints against licensees under the scheme and the imposition of disciplinary sanctions against non-compliant licensees. A notification mechanism under which each side would report information about licensees who had been disciplined was also established to ensure the effectiveness of the regulatory regime.

As at 31 March 2015, 188 Hong Kong estate agents held a registration certificate issued by the CIREA and 18 Mainland estate agents held an estate agent's licence issued by the EAA, both pursuant to the arrangement.

維護事業 Upholding the **Professional** Standard



Upholding the Professional Standard

操守與守則

根據《地產代理條例》成立的監管局, 獲賦予權力規管及管制地產代理及營 業員的執業,透過採取其認為適當或 需要的行動,以促使地產代理及營業 員行事持正及稱職,或維持或提高他 們的地位。

地產代理及營業員必須遵守《地產代 理條例》及其附屬法例,特別是關於 香港住宅物業的《地產代理常規(一般 責任及香港住宅物業)規例》,以及監 管局發出的《操守守則》及執業通告。

法律事務

監管局不時檢視業界的執業手法及 發出執業通告,並提供指引予業界依 循,使持牌人能夠遵從法律規定的責 任。年內,監管局共發出了四份執業 通告。

因應《2014年印花税(修訂)條例》刊 憲,修訂了《印花税條例》,調整額外 印花税以及對若干住宅物業交易需 徵收買家印花税,並於2012年10月27 日起生效,監管局遂發出執業通告, 以提醒持牌人如得知他們處理的住宅 物業買賣須繳納額外印花税或買家印 花税的話,持牌人應在訂立任何臨時 買賣協議前提醒客戶,並作出適當建 議。

Ethics and Regulations

The EAA established under the Estate Agents Ordinance ("EAO") is empowered to, inter alia, regulate and control the practice of estate agents and salespersons and to take such actions as the EAA considers appropriate or necessary to promote integrity and competence amongst, or maintain or enhance the status of, estate agents and salespersons.

Estate agents and salespersons must comply with the EAO and its subsidiary legislation, including in particular the Estate Agents Practice (General Duties and Hong Kong Residential Properties) Regulation in respect of Hong Kong residential properties. They should also comply with the Code of Ethics and the practice circulars issued by the EAA.

Legal Services

The EAA reviews the practices of the trade and issues practice circulars to provide guidelines and directives on estate agency practice from time to time, to enable licensees to comply with their duties under the law. In the year, four circulars were issued.

In light of the gazettal of the Stamp Duty (Amendment) Ordinance 2014 which amended the Stamp Duty Ordinance ("SDO") to revise the Special Stamp Duty ("SSD") and to introduce a Buyer's Stamp Duty ("BSD") on certain residential property transactions with effect from 27 October 2012, the EAA issued a practice circular reminding licensees that if it can be ascertained that the sale and purchase of the residential property being handled by them will be subject to SSD or BSD, they should draw their clients' attention to the fact before entering into any provisional agreement for sale and purchase and advise their clients appropriately.

為提醒持牌人注意有關《2014年印花 税(修訂)(第2號)條例》對《印花稅條 例》的修訂,以規定在2013年2月23日 或之後所取得的住宅和非住宅物業, 須以較高的税率繳付從價印花稅,監 管局發出了「從價印花稅的調整」的執 業通告,提醒持牌人在處理物業交易 時,注意該條例對增加從價印花稅的 修訂。

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此外,由於土地註冊處推出「綜合註 冊資訊系統」網上服務流動版,監管 局發出了執業通告,詳載持牌人使用 [綜合註冊資訊系統]網上服務流動版 進行土地查冊時應注意的事宜。

而為提醒持牌地產代理須有效控制其 業務,並加深了解《地產代理常規(一 般責任及香港住宅物業)規例》(「《常 規規例》第15條」)要求他們設立妥善 的程序或制度以監督和管理其地產 代理工作業務,以確保其僱員或其轄 下的人遵守《地產代理條例》的條文, 監管局發出了名為「持牌地產代理有 效地控制其地產代理業務的責任」的 新修訂執業通告。該修訂的執業通告 為持牌地產代理提供更詳盡的指引, 確保他們遵守《常規規例》第15條。 此外,為提升業界對此執業通告的了 解並協助他們遵循有關規定,相關的 「問與答」、「一手住宅發展項目銷售 前簡介會紀錄」及「一手住宅發展項目 銷售前簡介會員工出席紀錄及員工調 派名單」的範例,以及「持牌地產代理 的清單」已上載於監管局網頁,供業 界參考。

To remind licensees to take note of the changes brought by the Stamp Duty (Amendment) (No. 2) Ordinance 2014 ("SDA02") which amended the SDO to provide for payment of the ad valorem duty ("AVD") at higher rates on both residential and non-residential properties acquired on or after 23 February 2013, a practice circular on "Adjustments to Ad Valorem Stamp Duty" was issued to remind licensees to take note of the changes brought by the SDA02 regarding the increase of the AVD when handling the sale and purchase of properties.

In addition, with the launch of the mobile version of the Integrated Registration Information System ("IRIS") Online Services by the Land Registry, a practice circular setting out matters that licensees should pay attention to if they choose to use the mobile version of the IRIS Online Services to conduct land searches was issued.

To remind licensed estate agents that they are obliged to exercise effective control of their businesses and to enable them to better understand the requirements of section 15 of the Estate Agents Practice (General Duties and Hong Kong Residential Properties) Regulation ("PR15") that they are required to establish proper procedures or systems to supervise and manage their businesses of doing estate agency work to ensure that their employees or persons under their control comply with the provisions of the EAO, the EAA issued a revised practice circular on "Duties of Licensed Estate Agents in Ensuring Effective Control of Estate Agency Business". The revised practice circular introduced more detailed and comprehensive guidelines for the licensed estate agents to follow so as to ensure their compliance of PR15. To enhance the trade's understanding and compliance of the revised practice circular, "Questions and Answers" on pertinent issues, samples of "Record of Pre-sale Briefing for First Sale of Residential Properties", "Staff Attendance Record of Pre-sale Briefing for First Sale of Residential Properties" and "Checklist for Licensed Estate Agents" were provided at the EAA website for the trade's reference.

Upholding the Professional Standard

投訴與執法

處理投訴與查詢

在2014/15年度,投訴部繼續精簡工 作流程,確保工作質素及加快處理投 訴個案。為回應申訴專員的建議,監 管局於2014年11月24日就調查違規個 案訂立新的服務承諾,作為監察工作 標準及效率的管理工具。此外,監管 局也積極開發新的資訊管理系統/資 料庫,務求以高效率存取相關的有用 資訊,包括案例、個案調查的最佳做 法、有關處理特定類型之投訴及違規 的有用清單、以及來自紀律研訊部就 證據是否充分之意見等,以確保調查 工作維持一貫的高水平。

Complaints and Enforcement

Complaints and Enquiries Handling

In 2014/15, the Complaints Section continued to streamline work processes and procedures to ensure work quality and speed up complaint investigation. In response to The Ombudsman's recommendation, a new performance pledge for investigation of noncompliances was established on 24 November 2014 to serve as a management tool to monitor work standard and efficiency. In addition, continuous efforts were made to develop and set up a knowledge management system/database for effectively and efficiently capturing and retaining useful knowledge and expertise including precedent cases, best practices arising from case investigations, useful checklists for specific types of complaints and breaches, advice from the Disciplinary Proceedings Section concerning sufficiency of evidence to ensure a consistently high standard of investigation work.



投訴部於年內處理了6,443宗公眾查詢,主要 涉及地產代理執業事宜,並已就查詢及投訴個 案採取跟進執法行動。

The Section handled 6,443 public enquiries on estate agency practices related issues during the reporting period and had taken follow up enforcement actions in response to the enquiries and complaints.

期內,投訴部共接獲361宗投訴個 案,其中大部分關於二手住宅物業, 只有51宗或約14%涉及一手住宅物 業。同時,投訴部完成處理460宗投 訴個案,其中167宗或約36%的指稱成 立。在指稱成立的個案中,有11宗與 一手住宅物業有關。指稱成立的個案 主要涉及的指稱包括不當處理或沒有 向客戶解釋臨時買賣協議(或臨時租 約)、未有與客戶簽訂或解釋地產代 理協議,以及未有進行土地查冊或未 有向買方提供查冊結果的文本。

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此外,投訴部亦於年內處理了6,443宗 公眾查詢,主要涉及地產代理執業事 宜,並已就查詢及投訴個案採取跟進 執法行動。

During the reporting period, the Section received 361 complaints. The majority were related to second-hand residential properties, with only 51 cases, or about 14%, related to first-hand residential properties. At the same time, the Section concluded 460 complaints, of which 167, or about 36%, were substantiated. Eleven of the substantiated cases concerned first-hand residential properties. Key allegations of the substantiated cases included mishandling/failing to explain the provisional agreement for sale and purchase (or the provisional tenancy agreement), failing to enter into estate agency agreements with clients or to explain the estate agency agreements to clients, and failing to conduct a land search or provide a copy of a land search to purchasers.

Also, the Section handled 6,443 public enquiries on estate agency practices related issues during the reporting period and had taken follow up enforcement actions in response to the enquiries and complaints.

投訴個案 **Complaint Cases**

個案數目 Number of Cases



- 年內完成的個案部分為往年接獲的個案,當中包括表面證據成立並轉介予紀律委員會處理的個案,以及由行動部處理的 表面證據不成立的個案。
- Some cases completed in a year were brought forward from previous years. The figures include prima facie cases referred to and dealt with by the Disciplinary Committee and non-prima facie cases disposed of by the Operations Division.

Upholding the Professional Standard

已完成的投訴個案結果* Results of Complaint Cases Completed*



- 年內完成的個案部分為往年接獲的個案,當中包括表面證據成立並轉介予紀律委員會處理的個案,以及由行動部處理的 表面證據不成立的個案
- 已完成處理的個案如其中所涉及任何指稱被分類為「指稱成立」,該個案即會被歸類為「指稱成立」。
- 包括擱置調查、取消投訴和未能證實的個案。
- Some cases completed in a year were brought forward from previous years. The figures include prima facie cases referred to and dealt with by the Disciplinary Committee and non-prima facie cases disposed of by the Operations Division.
- A completed case will be classified as "Substantiated" if any of the allegations involved therein has been concluded as "Substantiated".
- Include cases which were curtailed, withdrawn or not proven.

巡查及調查

在2014/15年度,執行部繼續採用配合 機構政策及行動程序的執法策略及行 動,使監管局得以適時地、有效地且 持續地履行執法職責。年內,執行部 共進行了2,968次巡查,當中1,159次 是巡查一手樓盤地點,其餘1,809次則 是巡查地產代理商舖。此外,執行部 就地產代理公司發布的網上廣告進行 了614次抽查。就以上行動,執行部 對其中59宗涉嫌違規個案展開調查。 期間,執行部共完成處理187宗主動 調查的個案,當中92宗指稱成立。而 在指稱成立的92宗個案中,有11宗涉 及一手住宅物業。

Compliance Inspections and Investigations

In 2014/15, the Enforcement Section continued to adopt appropriate and effective enforcement strategies and actions that were in line with established corporate policies and operational procedures to perform a timely, effective and sustainable enforcement role. During the reporting period, the Section conducted 2,968 compliance inspections, of which 1,159 were at firstsale sites and 1,809 at estate agency shops. The Section also carried out 614 inspections of online advertisements posted by estate agencies. As a result of these inspections, the Section instigated investigations into 59 suspected non-compliance cases. During the period, the Section completed 187 selfinitiated investigation cases, of which 92 cases were concluded as substantiated. Out of the 92 cases, 11 were related to first-hand residential properties.

巡查行動 **Compliance Inspections**

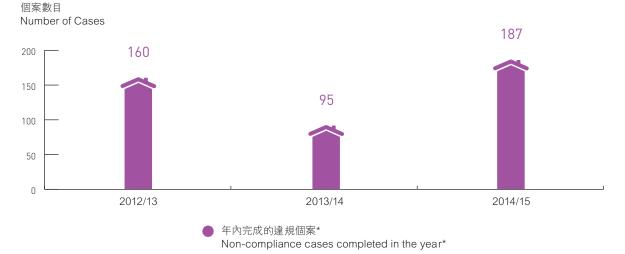
巡查次數 Number of Inspections



- 包括樓盤所在處、樓盤銷售處及其附近。
- Include the development sites, sales offices and vicinity areas.

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- 年內完成的個案部分為往年接獲的個案。
- Some cases completed in a year were brought forward from previous years.

Upholding the Professional Standard

已完成的個案結果* Results of Cases Completed*



- 年內完成的個案部分為往年接獲的個案,當中包括表面證據成立並轉介予紀律委員會處理的個案,以及由行動部處理由 於證據不足而不成立的其他個案。
- 已完成處理的個案如其中所涉及任何指稱被分類為「指稱成立」,該個案即會被歸類為「指稱成立」。
- 包括擱置調查和未能證實的個案。
- Some cases completed in a year were brought forward from previous years. The figures include prima facie cases referred to and dealt with by the Disciplinary Committee and other cases disposed of by the Operations Division due to insufficient evidence.
- A completed case will be classified as "Substantiated" if any of the allegations involved therein has been concluded as "Substantiated".
- Include cases which were curtailed and those that were not proven.

為確保有效地收集、交流及分析有用 資訊和情報,以採取一貫的適時及積 極之執法行動,執行部已透過不同部 署,從各個方面搜集當其時及新出現 問題的情報,及早偵察違規及不當行

在巡查過程中,執行部亦會把握機會 向從業員講解《地產代理條例》及其附 屬法例、《操守守則》及監管局發出的 其他指引,確保他們熟悉相關規定。

在2014/15年度,執行部調查了77宗涉 嫌在申請牌照或續牌時作出虛假聲明 或提供虛假文件的個案,以及24宗由 有犯罪記錄的持牌人及新申請人提出 的牌照申請個案,以考慮他們是否符 合法定的「適當人選」要求。

To ensure that useful information and intelligence were gathered, exchanged and analysed effectively to facilitate consistent and timely proactive enforcement effort, the Section had adopted various mechanisms to obtain intelligence on the prevailing and emerging issues from all fronts for early detection of breaches and malpractices.

During compliance inspections, the Section also took the opportunity to educate practitioners on the EAO, its subsidiary legislation, the Code of Ethics and other guidelines issued by the EAA to ensure they were conversant with the related issues.

In 2014/15, the Section conducted investigations into 77 licence applications in which the applicants were suspected of making false declarations or providing false documents in the licence application or licence renewal process. Besides, the Section also looked into 24 licence applications submitted by existing licensees and new applicants, who had criminal records, to consider whether they met the statutory requirement of being "fit and proper" persons.

對涉嫌在申請牌照時作出虛假聲明或提供虛假文件的持牌人/牌照申請人的調查 Investigations into Licensees/Licence Applicants Who are Suspected of Making False Declarations or Providing False Documents in the Application Process

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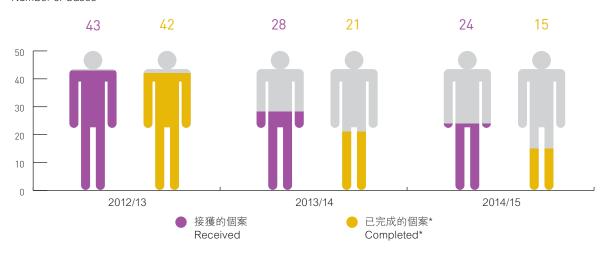
個案數目 Number of Cases



- 年內完成的個案部分為往年接獲的個案。
- Some cases completed in a year were brought forward from previous years.

對有犯罪記錄的持牌人/牌照申請人的調查 Investigations into Licensees/Licence Applicants Who Had Criminal Records

個案數目 Number of Cases



- 年內完成的個案部分為往年接獲的個案。
- Some cases completed in a year were brought forward from previous years.

Upholding the Professional Standard

紀律行動

紀律研訊

當監管局行政總裁有理由相信任何持牌人沒有遵守《地產代理條例》及/或其附屬法例:或沒有資格持有或繼續持有牌照:或沒有遵守附加於其牌照上的任何指明的條件,行政總裁可向紀律委員會提出呈述,以決定是否就該個案進行研訊。

假如紀律委員會認為投訴或呈述成立,可行使紀律制裁權,當中包括訓誡或譴責有關持牌人,將條件附加於有關牌照上或更改牌照上的條件,暫時吊銷或撤銷其牌照,判處罰款以及作出支付費用的命令。

在2014/15年度,紀律委員會共判決了256宗個案,其中251宗(佔98%)的指稱成立。結果,共有255名持牌人被紀律處分,其中143名為個人持牌人¹,112名為公司持牌人。

於同年內,紀律委員會暫時吊銷了10個牌照,吊銷期由三天至三個月不等。受處分的持牌人涉及作出違反專業操守的行為,如作出誤導性陳述、未有保障和促進客戶的利益,以及為客人服務時沒有盡量小心和盡一切應盡的努力。

共有179名持牌人被罰款,金額由500 元至60,000元不等。

Disciplinary Actions

Inquiry Hearings

Where the EAA's Chief Executive Officer ("CEO") has reason to believe that a licensee has failed to comply with the EAO and/or its subsidiary legislation; or is not eligible to hold or continue to hold a licence; or has failed to comply with a specified condition attached to his licence, a submission shall be made by the CEO to the Disciplinary Committee for consideration if an inquiry hearing should be conducted.

If the Disciplinary Committee is satisfied that the complaint or submission is well-founded, it may exercise disciplinary powers including admonishing or reprimanding the licensee concerned, attaching/varying a specified condition attached to his licence, suspending/revoking his licence, imposing a fine and making a costs order.

In 2014/15, the Disciplinary Committee adjudicated 256 cases, of which 251 were substantiated (i.e. 98%). As a result, a total of 255 licensees were disciplined, among whom 143 were individual licensees¹ and 112 were company licensees.

During the same period, 10 licences were suspended for periods ranging from three days to three months. Licensees disciplined were found to have been engaged in unprofessional conduct such as making misrepresentations, failing to protect and promote the interests of their clients, or failing to exercise due care and due diligence.

A total of 179 licensees were fined, with the fines ranging from \$500 to \$60,000.

包括以獨資/合夥方式經營地產代理業務的獨資經營者/合夥人。

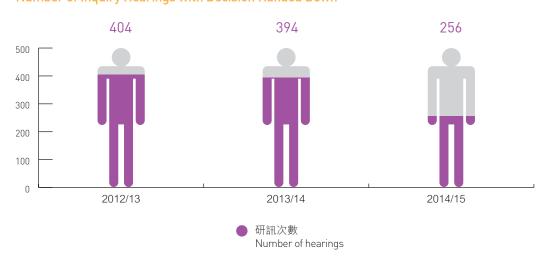
Including sole-proprietors and partners of estate agency firms.



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模擬紀律研訊圖片。 A staged inquiry hearing.

舉行並已作出裁決的紀律研訊次數 Number of Inquiry Hearings with Decision Handed Down



Upholding the Professional Standard

	見違規事項* mmon Types of Non-compliance*	宗數 Number
1.	向客戶提供錯誤的物業或交易資料,或未有查核提供予客戶的物業或交易資料的準確性:未有向客戶提供物業資料 Providing wrong property or transaction information to client or failure to verify the accuracy of property or transaction information provided to client; failure to supply property information to client	42
2.	發出虛假或誤導性廣告:未得賣方書面同意而發出廣告:發出違反賣方指示的廣告 Issuing a false or misleading advertisement; advertising without vendor's prior written consent; advertising in contravention of vendor's instruction	41
3.	未有進行土地查冊/向買方或租客提供土地查冊結果 Failure to conduct a land search/supply the land search result to the purchaser/tenant	34
4.	在沒有取得物業的擁有人/佔用人的書面同意下,在該物業外張貼廣告/橫額 Affixing an advertisement poster/banner on the property without the property owner's/occupant's written consent	27
5.	未有確保賣方/出租方有權出售/出租物業;未有確保簽署地產代理協議/臨時買賣協議/臨時租約的人士已獲賣方/出租方或買方/租客正式授權代為簽署 Failure to ensure that the vendor/lessor has the authority to sell/rent out the property; failure to ensure that the signatory was duly authorised by the vendor/lessor or purchaser/tenant to sign the estate agency agreement/provisional agreement for sale and purchase/provisional tenancy agreement	25
6.	未有管有訂明的物業資料;未有填寫物業資料表格(表格1) Failure to possess prescribed property information; failure to complete the Property Information Form (Form 1)	19
7.	未有按照訂明表格的指示或規定填寫訂明表格 Failure to complete the prescribed form as directed or specified in the form	16
8.	未有與客戶訂立地產代理協議 Failure to enter into an estate agency agreement with clients	14
9.	在物業的實用面積可於訂明來源取得時,在該物業的廣告內所提供的樓面面積並非該物業的實用面積;或未有在廣告內清楚述明所提供的樓面面積是該物業的實用面積 Failure to provide the saleable area of a property which was available from the prescribed source when providing the floor area information in the advertisement of the property concerned or state clearly for a property that the area indicated was the saleable area of the property in the advertisement	14
10.	未有設立妥善的程序或制度以監督和管理其僱員或其轄下的人員 Failure to establish proper procedures or systems to supervise and manage the work of employees or persons under their control	12

^{*} 部分紀律研訊個案涉及超過一項違規事宜。

 $^{^{}st}$ There was more than one type of non-compliance in some inquiry hearing cases.

向持牌人或前持牌人採取的行動¹ Actions Taken Against Licensees¹	2012/13	2013/14	2014/15
有關的持牌人或前持牌人人數			
Number of licensees or former licensees involved	513	571	423
Type of actions ² 訓誡或譴責			
Admonishment/reprimand 罰款	410	398	255
Fine 在牌照上附加條件³	189	237	179
Attachment of conditions to licence ³ 暫時吊銷牌照	281	308	238
Suspension of licence 撤銷牌照	26	26	10
Revocation of licence	0	28 ⁴	45 ⁵

以上行動是根據《地產代理條例》而作出的判決,當中有部份可能不屬於紀律性質。

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- 2 在部分個案中,會對同一持牌人或前持牌人採取超過一項行動。
- 3 部分條件於批出牌照時附加,其餘則隨後附加。
- 27宗撤銷牌照個案由牌照委員會裁定。理由是持牌人不符合「適當人選」要求,因而不適合繼續持有牌照:一宗撤銷牌照 個案由紀律委員會裁定。
- 這些撤銷牌照的個案均由牌照委員會裁定。理由是持牌人不符合資格,因而不適合繼續持有牌照。
- These actions were taken pursuant to powers under the EAO. Some actions may be disciplinary in nature and others not.
- In some cases more than one action was imposed on the same licensee or former licensee.
- 3 Some conditions were attached upon the granting of licences and others attached thereafter.
- 27 cases were decided by the Licensing Committee on the ground that the licensees concerned were considered not "fit and proper" persons to continue to hold a licence, and one was decided by the Disciplinary Committee.
- These cases were decided by the Licensing Committee on the ground that the licensees concerned were considered not eligible to continue to hold a licence.

紀律處分新計劃

為提高地產代理業界對違規情況的警 覺性,長遠改善業內的違規情況,監 管局於2014年1月1日推出一項新計 劃,以處理一些比較簡單及常見的違 規個案。新計劃涵蓋違反《地產代理 條例》、《地產代理常規(一般責任及 香港住宅物業)規例》及《地產代理(發 牌)規例》的違規事項。在新計劃下, 由生效日起計,首次違反八項指明違 規事項的持牌人,在符合新計劃的條 款的情況下,將不會被紀律處分。然 而,倘若該持牌人在其後兩年內,再 度觸犯任何違規事項,則可能會被施 以較嚴重的處分。

在2014/15年度,共有87名持牌人獲 邀選擇以新計劃處理其個案。在87名 已回覆的持牌人當中,有85名選擇參 加,參與率達97.7%。

New Scheme for Disciplinary Cases

To heighten the estate agency trade's vigilance against non-compliances and improve their compliance in the long run, a New Scheme ("the Scheme") was launched on 1 January 2014 to deal with some straight-forward and prevalent breaches under the EAO, Estate Agents Practice (General Duties and Hong Kong Residential Properties) Regulation, and Estate Agents (Licensing) Regulation. Under the Scheme, licensees committing the eight specified breaches for the first time since the effective date would, subject to the terms of the Scheme, not be disciplined but any subsequent breaches within a two-year period might attract more severe sanctions.

A total of 87 licensees were invited to opt for the Scheme in 2014/15. Among the 87 licensees who have replied, 85 opted for the Scheme, representing a participation rate of 97.7%.

Upholding the Professional Standard

專業發展

監管局的其中一個使命是提升地產 代理業界的專業水平。通過推行自願 參與形式的持續專業進修計劃,監管 局致力提升地產代理從業員的專業知 識,以符合日益提高的公眾期望。

持續專業進修計劃

監管局自2005年5月起以自願參與形 式推行持續專業進修計劃,鼓勵持牌 人在為期12個月的進修時段內取得至 少12個持續專業進修學分,當中核心 科目不少於六個學分。

持續專業進修活動可由監管局、政府 部門、業界商會,或經專業發展委員 會認可的教育及培訓機構舉辦。除了 那些列於持續專業進修計劃指引屬專 業發展委員會認可範圍內的進修活 動,其他活動必須經香港學術及職業 資歷評審局評核。

進修活動的學習模式包括參加獲認可 的講座、多次性培訓活動、網上學習 活動、教授獲認可的持續專業進修課 程,以及擔任有助提升業界專業水平 或形象的義務工作等。一般而言,每 參與一小時的課堂或網上學習活動, 可獲得一個學分。

Professional Development

It is one of the EAA's missions to raise the competence of the trade. Through implementing a voluntary Continuing Professional Development ("CPD") Scheme, the EAA strives to enhance the professional knowledge of estate agency practitioners, so as to meet growing public expectations.

Continuing Professional Development Scheme

The EAA has been implementing the CPD Scheme on a voluntary basis since May 2005. Under the CPD Scheme, licensees are encouraged to earn not less than 12 CPD points within a 12-month CPD period, with at least six points from core subjects.

CPD activities are organised either by the EAA itself, the Government, trade associations or educational and training institutions as endorsed by the Professional Development Committee ("PDC"). Except those which are within the scope of the PDC's endorsement as specified in the Guidelines to the CPD Scheme, learning activities have to be assessed by the Hong Kong Council for Accreditation of Academic and Vocational Qualifications ("HKCAAVQ").

Modes of learning include attending approved seminars and multi-session training activities; participating in web-based learning activities; teaching approved CPD courses; and taking part in pro bono work. Generally, one CPD point is awarded for each contact hour of classroom or web-based learning activity.

在12個月的進修時段內取得12個持續 專業進修學分,達到持續專業進修計 劃的學分要求的持牌人,可獲頒發持 續專業進修計劃嘉許獎章。由2013年 10月1日至2014年9月30日的持續專業 進修時段起,連續三個及五個持續專 業進修時段達到持續專業進修計劃的 學分要求的持牌人,將獲頒發持續專 業進修計劃優越嘉許獎章。首批獲優 越嘉許獎章的持牌人,須於連續三個 持續專業進修時段完結時(即2014, 2015及2016年的9月30日)達到學分要 求。而營業詳情説明書持有人,如有 80%的持牌僱員(包括分行經理)達到 持續專業進修計劃的學分要求,將獲 發地產代理商舖專業進修嘉許獎章。

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Licensees who achieved their CPD attainment targets by earning 12 CPD points within a 12-month CPD period would be awarded the CPD Attainment Symbols. With effect from the CPD period commencing 1 October 2013 and ending 30 September 2014, premium CPD Attainment Symbols are to be presented to those who achieved their CPD attainment targets for three consecutive CPD periods and five consecutive CPD periods. That is, the first group of licensees who would be presented with premium CPD Attainment Symbols would be those who achieve the CPD attainment target in three consecutive CPD periods ending 30 September 2014, 2015 and 2016. Holders of Statement of Particulars of Business ("SPOB") with over 80% of their licensed employees (including the branch manager) having achieved the CPD attainment target would be presented with the CPD Mark for Estate Agencies.

成就 Achievement	獎 勵 Award
在一個進修時段達到持續專業進修計劃的學分要 求的持牌人 Licensees achieving CPD attainment target for one CPD period	持續專業進修計劃嘉許獎章 CPD Attainment Symbol
在連續三個進修時段達到持續專業進修計劃的學 分要求的持牌人(自2013年10月1日至2014年9月30 日的進修時段開始計算) Licensees achieving CPD attainment target for three consecutive CPD periods (with effect from the CPD period commencing 1 October 2013 and ending 30 September 2014)	持續專業進修計劃優越嘉許獎章 一銀章 Premium CPD Attainment Symbol — Silver Symbol
在連續五個進修時段達到持續專業進修計劃的學分要求的持牌人(自2013年10月1日至2014年9月30日的進修時段開始計算) Licensees achieving CPD attainment target for five consecutive CPD periods (with effect from the CPD period commencing 1 October 2013 and ending 30 September 2014)	持續專業進修計劃優越嘉許獎章 一金章 Premium CPD Attainment Symbol — Gold Symbol
有80%持牌僱員(包括分行經理)達到持續專業進修計劃的學分要求的營業詳情説明書持有人 Holders of SPOB with over 80% of licensed employees (including the branch manager) having achieved the CPD attainment target	地產代理商舖專業進修嘉許獎章 CPD Mark for Estate Agencies

Upholding the Professional Standard

持續專業進修活動的統計數字

本年度,各主辦機構合共舉辦了409 場持續專業進修活動,吸引28,207人 次參加,共取得59,695個持續專業進 修學分。在409場活動中,99場(佔活 動總數的24%)由監管局舉辦,參與 人次為17,408人(約佔總參與人次的 62%)。與上年度比較,總參與人次下 降了15%,而由監管局舉辦的活動及 監管局以外其他機構舉辦的活動的參 與人次分別下降7%及26%。

來自業界及教育機構的主要活動主辦 機構皆反映持牌人在培訓活動的參與 程度有所下降,一些已安排的培訓活 動由於出席率低而要取消。鑑於營商 環境困難,持牌人須更集中於推廣業 務,尤其是一手住宅物業的銷售,此 類物業的銷售安排普遍變數較多,通 知期亦較短,持牌人較難預早安排時 間出席培訓活動。有見及此,監管局 推出一系列網上學習活動,免除時間 及地域上的限制。

Statistics of CPD Activities

During the year, 409 sessions of CPD activities were organised by various activity providers with 28,207 enrolments. A total of 59,695 CPD points were attained. Among the 409 sessions held, 99 (24% of the total number of sessions) were organised by the EAA with 17,408 enrolments (about 62% of total enrolments). Compared to the previous year, the total number of enrolments decreased by 15%, while the number of enrolments of activities conducted by the EAA and providers other than the EAA decreased by 7% and 26% respectively.

Major activity providers, both from the trade and educational institutions, reflected that licensees' level of participation in training activities was dropping. Some scheduled training programmes have been cancelled due to low attendance. In light of the difficult business environment, licensees are facing challenges to plan ahead their time to attend training activities as they have to focus more on promoting their businesses, particularly for sales of first-hand residential properties which are usually launched at very short notice. To address their difficulties, the EAA has launched a number of e-Learning activities which could be taken without time and geographical constraints.

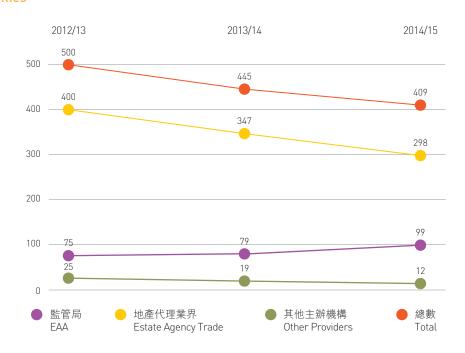


年內,監管局共舉辦了99場持續專業進修活動,吸引17,408人次參與。 During the year, the EAA organised 99 sessions of CPD activities, which attracted 17,408 enrolments.

過往三年舉辦的持續專業進修活動 CPD Activities Held in the Past Three Years

4 1

活動數目 No. of Activities



參與人次 No. of Enrolments



Upholding the Professional Standard

新鼓勵措施

申請持續專業進修活動認可

為鼓勵業界組織更多培訓活動以提高 持續專業進修的參與度,專業發展委 員會批准擴展其認可涵蓋範圍,把由 具超過五年為地產代理業界提供持續 專業進修活動經驗的活動主辦機構所 舉辦的講座包括在內。自2014年10月 1日起,合資格的地產代理公司及其 他培訓主辦機構可直接向專業發展委 員會提交其講座詳情,申請獲認可為 持續專業進修計劃活動,而毋須經過 香港學術及職業資歷評審局的評核。

網上遙距學習

網上遙距學習為從業員提供靈活性, 尤其是在他們難以出席面授課程的時 候。為保持持牌人參與網上遙距學習 活動的動力,自2014年10月1日起, 在12個月進修時段內透過參與網上遙 距學習可取得的持續專業進修學分的 上限已被取消。

監管局希望此等措施有助擴闊持牌人 進修的選擇,並使持牌人保持動力, 透過終生學習力求專業上的卓越表 現。

監管局舉辦之持續專業進 活動摘要

額外印花税、買家印花税及從價 印花税

為提醒持牌人注意額外印花稅、買家 印花税及從價印花税更新後的應用 及計算方法,監管局邀請了税務局的 代表就有關課題向持牌人進行講解。 講座期間,監管局的代表亦解釋了年 內監管局發出有關印花稅的新執業 通告(通告編號14-02[CR]及通告編號 14-03(CR))的規定。監管局共舉辦了 五場講座,吸引了916人次參加(約佔 監管局持續專業進修活動總參與人次 的5%)。

New Initiatives

Application for Endorsement of CPD Activities

To encourage the activity providers from the trade to organise more training activities so as to boost CPD participation, the PDC approved the expansion of the scope and coverage of its endorsement to include seminars organised by activity providers who have more than five years' experience in providing CPD activities for the estate agency trade. With effect from 1 October 2014, qualified estate agency companies and other training providers can submit details of their seminars to the PDC directly for endorsement of their activities to be recognised under the CPD Scheme, rather than going through the assessment procedures by HKCAAVQ.

Web-based Distance Learning

Web-based distance learning offers flexibility to practitioners, particularly when they are facing difficulties in attending face-to-face programmes. To keep licensees motivated to participate in web-based distance learning activities, starting from 1 October 2014, the cap of CPD points that can be earned by undertaking web-based distance learning activities over a 12-month CPD period has been removed.

The EAA hopes these measures would help widen licensees' choices of learning and keep up licensees' momentum to strive for professional excellence through life-long learning.

Highlights of CPD Activities Organised by the EAA

Special Stamp Duty, Buyer's Stamp Duty and Ad Valorem Stamp Duty

To draw licensees' attention to the updated application and computation of Special Stamp Duty, Buyer's Stamp Duty and Ad Valorem Stamp Duty, representatives from the Inland Revenue Department were invited to give talks to the licensees on the topics. During the seminars, EAA representatives also explained the provisions of the new practice circulars (Circular No. 14-02(CR) and Circular No. 14-03(CR)) on the stamp duties issued by the EAA during the year. Five seminars were organised, attracting 916 enrolments (about 5% of the total enrolments of EAA CPD activities).

一手住宅物業銷售

監管局舉辦了兩場講座,以加深持牌 人對《一手住宅物業銷售條例》以及監 管局在有關一手住宅物業銷售的執業 通告(通告編號10-02[CR]及通告編號 13-04(CR)) 所載列指引的理解。在講 座期間,一手住宅物業銷售監管局的 代表向持牌人講解參考售樓説明書時 須特別留意的事項。同時,監管局代 表講解了監管局對有關推銷一手住宅 物業的指引。此外,監管局亦舉辦了 三個有關監管局就地產代理推廣及銷 售一手住宅物業的指引的其他講座, 以加深持牌人對此的理解,以及遵守 相關指引。上述五場講座反應良好, 吸引了608人次參加(約佔監管局持續 專業進修活動總參與人次的3%)。

Sales of First-hand Residential Properties

The EAA organised two seminars to enhance licensees' understanding of the Residential Properties (First-hand Sales) Ordinance and the EAA's guidelines set out in practice circulars (Circular No. 10-02 (CR) and Circular No. 13-04(CR)) related to the sales of first-hand residential properties. During the seminars, the representative of the Sales of First-hand Residential Properties Authority drew licensees' attention to various aspects in a sales brochure which deserved special attention. At the same time, the EAA's representative explained the EAA's guidelines on the promotion of first-hand residential properties. Furthermore, the EAA organised three other seminars on the EAA's guidelines on estate agents' promotion and sale of first-hand residential properties in a bid to enhance licensees' understanding and compliance in this respect. These five seminars were well received by licensees, attracting 608 enrolments (about 3% of the total enrolments of FAA CPD activities).



監管局透過講座,幫助持牌人熟悉《地產代理條例》、其附屬法例、《操守守則》及執業通告等。 The EAA helps licensees familiarise themselves with the EAO, its subsidiary legislations, the Code of Ethics and practice circulars through organising seminars.

Upholding the Professional Standard

《地產代理條例》、監管局指引、 與地產代理工作相關的法律及實 務知識

為幫助持牌人熟悉《地產代理條例》、 其附屬法例、《操守守則》及執業通 告、有關物業交易的法律及實務,並 鞏固持牌人在處理物業交易的實務技 能及知識,監管局就以上主題舉辦了 42場講座,吸引了6,899人次參加(約 佔監管局持續專業進修活動總參與人 次的40%)。

專業操守

為向持牌人推廣誠信及專業操守的訊 息,監管局與廉政公署、保安局禁毒 處及聯合財富情報組聯合舉辦了多場 講座。年內共舉行了六場講座,向持 牌人講解有關打擊清洗黑錢的相關 法例、識辨及舉報可疑個案的方法、 防貪措施,以及監管局與廉政公署於 2012年3月聯合出版、有關處理物業 交易、妥善管治及內部監控,以及有 效人力資源管理等的《優質執業手冊》 中的主要內容。406名持牌人出席了 此等講座(約佔監管局持續專業進修 活動總參與人次的2%)。

專題

監管局邀請大專院校學者及專業團體 的專家為持牌人講解熱門議題,旨在 提高持牌人的整體水平,以及留意影 響物業市場及地產代理工作的議題的 最新發展。年內,監管局共舉辦了十 場特別專題講座,內容涵蓋違例建築 工程、按揭、城市規劃、土地發展、 分區計劃大綱圖、土地用途更改、環 保建築、住宅物業項目規劃、住宅物 業檢驗、消費者行為及服務營銷策略 等。持牌人對此等講座反應良好,吸 引了共2,708人次參加(約佔監管局持 續專業進修活動總參與人次的16%)。

Estate Agents Ordinance, EAA Guidelines, Legal and Practical Knowledge Relating to Estate Agency Work

To help licensees familiarise themselves with the EAO. its subsidiary legislations, the Code of Ethics and practice circulars, the law and practice relating to property transactions; and consolidate licensees' practical skills and knowledge on the matters they have to attend to during property transactions, 42 sessions of seminars were held on the subjects. attracting 6,899 enrolments (about 40% of the total enrolments of EAA CPD activities).

Professional Ethics

To promote integrity and ethical practices among licensees, seminars were jointly organised by the EAA, the Independent Commission Against Corruption ("ICAC"), the Narcotics Division of the Security Bureau and the Joint Financial Intelligence Unit. During the year, six seminars were held to brief licensees on legislations in relation to anti-money laundering, ways to identify and report suspicious cases, corruption prevention measures and the subject provision of the Best Practice Checklist published by the EAA and ICAC in March 2012 regarding best practices for handling property transactions, proper governance and internal control, and effective human resources management. 406 licensees attended these seminars (about 2% of the total enrolments of CPD activities).

Topical Issues

The EAA invited academics from tertiary institutions and experts from professional bodies to brief licensees on topical issues, with an aim to raise licensees' general standards and awareness of the latest developments of some subjects which might affect the property market and estate agency work. During the year, ten special topic seminars were organised covering topics on unauthorised building works. mortgages, town planning, land development, outline zoning plan, change in land use, green building, planning of residential property projects, inspection of residential properties, and consumer behaviour and services marketing strategy. These seminars were well received by licensees with a total of 2,708 enrolments (about 16% of the total enrolments of EAA CPD activities).

網上學習

自監管局於2005年推行「網上個案研 習」後,持牌人可隨時隨地參與網上 持續專業進修活動,為拓闊他們的執 業知識提供了多一個選擇。為進一步 配合持牌人的培訓需要,並豐富他們 的網上進修體驗,監管局於2012年推 出了「網上學習活動」的平台,並於年 內增加了多個網上學習活動。此外, 監管局亦推出了一項短期鼓勵措施, 持牌人在2014年10月1日至2015年9月 30日持續專業進修時段內完成若干數 目的監管局網上學習活動便可取得持 續專業進修獎勵學分,以鼓勵持牌人 參與監管局的網上學習活動。為支持 持牌人進行可自我調節學習速度的網 上學習,監管局將會推出更多網上學 習活動。

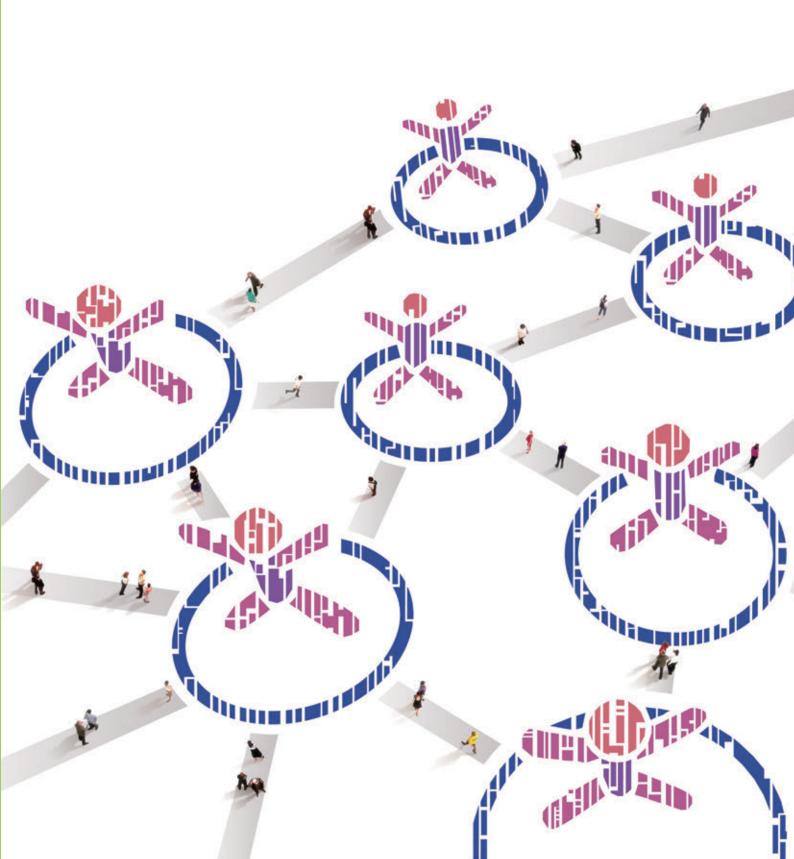
e-Learning

4

Ever since the EAA launched the e-Quiz in 2005, licensees are provided an alternative to broaden their practical knowledge by undertaking online CPD activities at anytime and anywhere. To further accommodate the training needs of licensees and enrich their online learning experience, the EAA launched an e-Learning platform in 2012. During the year, the EAA has developed a number of e-Learning programmes. Also, a short-term incentive allowing licensees to earn bonus CPD points through completion of a certain number of EAA's e-Learning programmes within the CPD period from 1 October 2014 to 30 September 2015 was also introduced to encourage participation of EAA's e-Learning programmes. To support licensees' self-paced online learning, the EAA will continue to develop more e-Learning programmes.

過往三年舉辦的持續進修活動 CPD Activities Held in the Past Three Years		活動數目(佔總數百分比) No. of Activities (% of total activities) 2012/13 2013/14 2014/15		
(1) 核心/非核心 核心	Core/Non-core Core	389 (78%)	352 (79%)	305 (75%)
非核心	Non-core	111 (22%)	93 (21%)	104 (25%)
(2) 語言 粵語 英語 普通話 雙語(中文/英文)	Language Cantonese English Putonghua Bilingual (Chinese/English)	469 (94%) 14 (3%) 11 (2%) 6 (1%)	414 (93%) 19 (5%) 6 (1%) 6 (1%)	378 (92%) 24 (6%) — 7 (2%)
(3) 地點 香港島 九龍 新界 網上遙距學習 (例如:網上個案 研習/網上學習活動)	Location Hong Kong Island Kowloon New Territories Web-based Distance Learning (e.g. e-Quizzes/e-Learning programmes)	139 (28%) 313 (63%) 42 (8%) 6 (1%)	153 (34%) 246 (55%) 38 (9%) 8 (2%)	153 (37%) 194 (47%) 48 (12%) 14 (4%)

Reaching 71 75 The Community



聯繫社群

Reaching out to the Community

消費者教育

推廣消費者資訊

監管局深信其中一個最有效保障消費 者的方法,是提升他們對物業市場的 認知。因此,在2014/15年度,監管局 繼續透過不同的溝通渠道及平台,向 公眾提供有關監管局工作的有用資訊 及物業交易的知識。

監管局於2014年4月與消費者委員會 聯合出版一本名為《購買二手住宅物 業須知》的小冊子,提醒消費者在購 買二手住宅物業時應注意的事項。此 小冊子可在監管局、消費者委員會辦 事處及民政事務處轄下的20個諮詢服 務中心索取。

Consumer Education

Promotion of Consumer Information

The EAA believes that one of the most effective ways of protecting consumers is to raise their awareness and knowledge of the property market. Hence, in 2014/15, the EAA continued to share with the public useful information on its work and knowledge on property transactions through various communication channels and platforms.

The EAA jointly published a new booklet titled "Guide to Purchasing Second-hand Residential Properties" with the Consumer Council in April 2014. It aimed at reminding consumers of the important points to note when purchasing second-hand residential properties. The booklet is available for collection at the offices of the EAA and the Consumer Council, as well as all 20 Public Enquiry Service Centres ("PESC") of the Home Affairs Department ("HAD").



監管局製作了兩段新的消費者教育短片, 並於2015年3月在城巴及新巴車隊上播放。 The EAA has produced two new consumer education videos which were launched on the bus fleets of CityBus and New World First Bus in March 2015.



此外,監管局參加了僱員再培訓局的 東九龍服務中心及西九龍服務中心分 別於2014年6月及8月舉辦的地產代理 行業就業講座,向有意加入地產代理 行業的在場人士介紹發牌要求及資格 考試,參與人士反應正面。同年9月, 監管局也參加了在奧海城舉行的招 聘進修博覽。該展覽攤位設有展板, 並播放監管局的機構短片及消費者教 育短片。監管局也派代表發表簡短演 講,介紹地產代理發牌制度及持續專 業進修計劃。上述展覽活動共吸引約 200人參觀,並派發了約480份消費者 小冊子及機構資訊刊物。

4

在2014/15年度,監管局製作了兩段新 的消費者教育短片,分別名為「為免 買賣有爭拗、持牌代理更可靠」及「臨 約簽前填清楚、漏空必定損失多」。 兩段短片已於2015年3月在城巴及新 巴車隊上播放,並上載至監管局網頁 及YouTube頻道供公眾瀏覽。相關的 兩份消費者教育小冊子也可於民政 事務處的20個諮詢服務中心取閱。此 外,監管局在2015年3月6日至2015年 4月2日期間也以「為免買賣有爭拗、 持牌代理更可靠」為題推出巴士車身 廣告。

In addition, the EAA participated in career talks on the estate agency trade organised by the Kowloon East Service Centre and the Kowloon West Service Centre of the Employees Retraining Board ("ERB") in June and August 2014 respectively. An introduction on licensing requirements and qualifying examinations was delivered to the attending ERB's public members who were interested in participating in the estate agency trade with a positive response. The EAA also participated in a recruitment fair held at the Olympian City in September 2014. Exhibition booths were set up with display panels and the EAA's corporate video and consumer educational videos were showcased. A talk on the licensing regime and the Continuing Professional Development Scheme were also delivered. During the fair, over 200 visitors were reached and about 480 copies of consumer booklets and corporate information were distributed.

In 2014/15, the EAA has produced two new consumer education videos titled "Appoint licensed estate agents to avoid disputes" and "Fill in all the blanks in the provisional agreement for sale and purchase before signing to avoid loss". Both videos are available on the EAA's website and the YouTube channel for the public's viewing, and were launched on the bus fleets of CityBus and New World First Bus in March 2015. Two corresponding consumer education leaflets were sent to all 20 PESC of the HAD for public collection. In addition, a bus body advertisement on the theme of "Appoint licensed estate agents to avoid disputes" was also launched from 6 March 2015 until 2 April 2015.

聯繫社群

Reaching out to the Community

為配合上述全新教育短片的推出, 監管局於2015年3月分別在三個商場 進行巡迴展覽,包括馬鞍山新港城中 心、土瓜灣翔龍灣廣場及小西灣藍灣 廣場。展覽攤位播放了多段消費者教 育短片及提供相關小冊子供公眾取 閱。上述展覽活動共吸引約1,300人參 觀,並派發了約1,400份消費者小冊子 及機構資訊刊物。

To tie in with the launch of the above new educational videos, a series of roving exhibitions were launched in March 2015 at three shopping malls at Sunshine City in Ma On Shan, Grand Waterfront Plaza in To Kwa Wan and Island Resort Mall in Siu Sai Wan. A number of consumer education videos including the two new ones as mentioned above were played, and related leaflets were available at the exhibition booths as well. About 1,300 visitors were reached and about 1,400 copies of consumer booklets and corporate information were distributed.



為配合全新教育短片的推出,監管局分別在全港不同的商場舉行巡迴展覽。

To tie in with the launch of the new educational videos, a series of roving exhibitions were launched at different shopping malls in Hong Kong.

傳媒關係

為增加公眾對監管局的了解,監管局 一直與傳媒保持緊密聯繫,以發布有 關本局的工作及最新動向。於2014/15 年度,監管局共發出了22篇新聞稿及 就重要政策舉行了兩次記者招待會, 監管局主席、行政總裁及行政部門高 層管理人員共接受了28次電子及印 刷傳媒的專訪。透過舉辦各種傳媒聚 會,包括午餐會、與前線記者舉行農 曆新年聚會,以及於年中及年末的簡 報會等,監管局與傳媒保持緊密聯 繫。

Media Relations

To promote a better understanding from the public on EAA's initiatives, the EAA always keeps a close connection with the media to publicise its work and efforts. In 2014/15, the EAA issued 22 press releases and held two press conferences on major initiatives with wide media coverage. A total of 28 feature interviews with the EAA Chairman, the Chief Executive Officer or senior management for print and electronic media were also arranged. Through a number of media gatherings, including luncheons, Chinese New Year gathering with frontline journalists, as well as the midyear and year-end briefings, the EAA's relationship with the media was maintained and strengthened.

監管局經常在媒體專欄撰寫有關物業 交易及地產代理應提供的服務的文 章。在2014/15年度,監管局共為三間 報章/網站專欄發表文章,包括在免 費報章《am730》發表了26篇,在《英文 虎報》發表了15篇,及於星島地產網 站及其地產版專欄刊登了12篇文章。

The EAA frequently contributed articles on topics relating to property transactions and expected services of estate agents to the media. In 2014/15, the EAA maintained three newspaper/online columns. A total of 26 articles were published in the free newspaper am730; 15 articles were contributed to The Standard; and 12 articles in the property website of Singtao and its property column.

交流與對外關係

與業界、政府及其他組織的聯繫

監管局深信與主要持份者及業界代表 維持良好關係,以獲得他們對監管局 工作的理解及支持至為重要。與地產 代理業界保持定期對話及雙向交流是 溝 通 的 重 要 元 素 之 一。於2014/15年 度,監管局與主要業界商會代表舉行 了五次聯絡會議。透過這些會議,監 管局就新的政策建議諮詢商會代表, 並討論共同關注的事項。會上,業界 可了解草擬中的執業通告的要點,而 監管局亦會考慮業界提出的意見。

Exchanges and External Relations

Liaisons with the Trade, the Government and Other Bodies

The EAA believes that it is vital to maintain good rapport with key stakeholders and trade representatives, so as to garner their understanding and support for the EAA's work. Maintaining a regular dialogue and two-way exchange with the estate agency trade is one of the important elements of communication. In 2014/15, the EAA held five liaison meetings with the representatives of major trade associations. At these meetings, the trade representatives were consulted on the EAA's new initiatives, and issues of mutual concern were discussed. The trade was also briefed on the salient points of draft practice circulars and the trade's views were noted.



為促進與業界交流,監管局定期與商會 代表舉行聯絡會議。

To enhance exchange with the trade, the EAA holds regular liaison meetings with the representatives of trade associations.



監管局在不同地區舉辦聚焦小組會議, 與前線地產代理直接對話。

Focus group meetings are held in various districts as a direct dialogue with frontline practitioners.

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Reaching out to the Community

鑑於參加者反應正面,監管局年內繼 續在不同地區舉辦聚焦小組會議,與 前線地產代理直接對話。在此等會議 中,監管局與前線從業員分享監管局 各項新的措施,並與他們討論業界從 業員所遇到的最新問題。定期交流有 助監管局為業界制定更實際可行的政 策及措施。於2014/15年度,監管局分 別於荃灣、銅鑼灣、尖沙咀及粉嶺舉 辦了四次聚焦小組會議。

監管局不時通過發出信函、電郵、手 機短訊、或透過監管局網頁發布特別 通告,提醒業界留意有關地產代理執 業的規定或政府推行的新措施。於 2014/15年度,監管局共發出了19次 此類提示/通知。此外,監管局亦刊 發了四期持牌人通訊《專業天地》,讓 持牌人知悉本局的最新監管措施及活 動。公眾人士亦可於監管局網站瀏覽 該份通訊。

為協助業界與客戶有更良好的溝通及 減少誤會,並向客戶傳達關於物業交 易的有用資訊,監管局於2014年8月 向全港所有共6,000多間地產代理商 舖派發「消費者教育套裝」。該套裝包 括有關簽訂地產代理協議的宣傳海 報及貼紙,以及載有不同消費者教育 短片的光碟。監管局鼓勵業界於店內 使用該套裝,以便向客戶傳達有關資 訊。

此外,監管局亦於2014年8月出版了 一本新刊物《加入地產代理行業》。該 刊物的目標對象為有意入行人士,內 容載有有關領取牌照的資訊。

Encouraged by the positive feedback from participants, the EAA continued to hold focus group meetings in various districts as a direct dialogue with frontline practitioners. At these meetings, the EAA shared with the frontline practitioners new initiatives of the EAA and discussed latest practice issues encountered by the trade. The exchanges helped the EAA to formulate practical policies and measures for the trade to follow. In 2014/15, a total of four such meetings were held in Tsuen Wan, Causeway Bay, Tsim Sha Tsui and Fanling respectively.

From time to time, the EAA issued letters, reminders in the format of email or SMS to licensees, or published special notices on the EAA's website to alert the trade to certain requirements relating to the estate agency practice or any new Government measures. In 2014/15, a total of 19 such reminders/notices were issued. In addition, four issues of EAA's licensee newsletter, Horizons, were published during the year to keep licensees abreast of the EAA's new regulatory measures and latest activities. Members of the public could also read the newsletter through the EAA's website.

With a view to facilitating the trade a better communication and less misunderstanding with their clients, and conveying useful information about property transactions to consumers, the EAA sent a "Consumer Education Package" to more than 6,000 estate agency shops in Hong Kong in August 2014. The Package included a poster and stickers on the importance of signing an estate agency agreement, together with a disc containing a number of consumer education videos. The EAA encouraged the trade to use the Package at their shops to convey useful information about property transactions to their clients.

In addition, a new consumer publication named "Enter into the Estate Agency Trade" was also published in August 2014. It targeted those interested in entering the trade which included information on obtaining a licence from the EAA.

年內,監管局亦一直與各持份者、政 府部門、法定及專業機構保持密切聯 繫。由於監管局非常關注地產代理在 參與一手住宅物業銷售時的行為,本 局與一手住宅物業銷售監管局緊密聯 繫,以互通有關地產代理在銷售一手 住宅物業時的有用資訊。

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監管局亦在2014年8月協助標準工時 委員會及勞工處向3,000名隨機選出 的持牌人派發有關工時情況的問卷。 此外,如前所述,監管局與消費者委 員會聯合出版了一本小冊子,並就不 同政府部門的消息或措施,向業界發 出信函或在監管局網站、通訊中發布 相關資訊。

監管局亦與不同的海外專業團體或業 界組織作國際性交流,以促進監管局 在國際間的形象。在2014/15年度,監 管局分別接待了泰國房地產經紀協會 的代表團、法律教育基金有限公司的 內地法律學生代表團,以及美國的亞 洲房地產協會代表團。在會面中,各 方交流規管經驗並分享見解。他們對 監管局的角色、職能,以及香港地產 代理行業的規管制度均甚感興趣。

Throughout the year, the EAA also maintained close liaisons with various stakeholders. Government departments, statutory and professional bodies. In particular, as the EAA is highly concerned about the conduct of estate agents participating in the sale of first-hand residential properties, we have maintained close contact with the Sales of First-hand Residential Properties Authority to keep each other informed of useful information on the practices of estate agents in the sale of first-hand residential properties.

The EAA also assisted the Standard Working Hours Committee and the Labour Department in distributing a questionnaire on the working hours' situation to 3,000 randomly selected licensees in August 2014. In addition, as mentioned above, the EAA has copublished a booklet with the Consumer Council, issued letters or published news about various Government department's news or measures in the EAA's website or newsletter for the trade's information.

The EAA also had international exchanges with different professional or trade bodies outside Hong Kong, which helped promote the image of the EAA internationally. During 2014/15, the EAA received delegations from the Thai Real Estate Broker Association from Thailand, a mainland law student delegation from the Legal Education Fund Limited and the Asian Real Estate Association of America from the USA respectively. Views and regulatory experiences were exchanged and shared during the meetings. Participating guests showed a great interest in learning the role and functions of the EAA and the regulatory system of the estate agency trade in Hong Kong.

獨立核數師報告

Independent Auditor's Report

致地產代理監管局全體成員

(根據《地產代理條例》於香港成立)

本核數師(以下簡稱「我們」)已審核列載於第101至122頁地產代理監管局(以下簡稱「監管局」)的財務報表,此財務報表包括於2015年3月31日之財務狀況表及截至該日止年度之收支結算表及其他全面收益表、儲備變動表及現金流量表,以及主要會計政策概要及其他附註解釋資料。

監管局就財務報表須承擔之 責任

監管局須負責根據香港會計師公會頒佈之《香港財務報告準則》及《地產代理條例》,編製真實而公平的財務報表,及落實其認為編製財務報表所必要之內部監控,以使財務報表不存在由於欺詐或錯誤而導致之重大錯誤陳述。

核數師之責任

TO THE MEMBERS OF ESTATE AGENTS AUTHORITY 地產代理監管局

(established in Hong Kong pursuant to the Estate Agents Ordinance)

We have audited the financial statements of the Estate Agents Authority set out on pages 101 to 122, which comprise the statement of financial position as at 31 March 2015, and the statement of profit or loss and other comprehensive income, the statement of movements in reserves and the statement of cash flows for the year then ended, and a summary of significant accounting policies and other explanatory information.

Estate Agents Authority's Responsibility for the Financial Statements

The Estate Agents Authority is responsible for the preparation of financial statements that give a true and fair view in accordance with Hong Kong Financial Reporting Standards issued by the Hong Kong Institute of Certified Public Accountants and the Estate Agents Ordinance, and for such internal control as the Estate Agents Authority determines is necessary to enable the preparation of financial statements that are free from material misstatement, whether due to fraud or error.

Auditor's Responsibility

Our responsibility is to express an opinion on these financial statements based on our audit and to report our opinion solely to you, as a body, in accordance with section 12 of the Estate Agents Ordinance, and for no other purpose. We do not assume responsibility towards or accept liability to any other person for the contents of this report. We conducted our audit in accordance with Hong Kong Standards on Auditing issued by the Hong Kong Institute of Certified Public Accountants. Those standards require that we comply with ethical requirements and plan and perform the audit to obtain reasonable assurance about whether the financial statements are free from material misstatement.



審核涉及執行程序以獲取有關財務報 表所載金額及披露資料之審核憑證。 所選定之程序取決於核數師之判斷, 包括評估由於欺詐或錯誤而導致財務 報表存在重大錯誤陳述之風險。在評 估該等風險時,核數師考慮與監管局 編製真實而公平的財務報表相關之內 部監控,以設計適當的審核程序,但 目的並非對監管局內部監控的有效性 發表意見。審核亦包括評價監管局所 採用之會計政策的合適性及作出之會 計估計的合理性,以及評價財務報表 之整體列報方式。

我們相信,我們所獲得的審核憑證能 充足和適當地為我們之審核意見提供 基礎。

意見

我們認為,上述的財務報表已根據 《香港財務報告準則》真實而公平地反 映監管局於2015年3月31日的財務狀 况,及監管局截至該日止年度的盈餘 及現金流量。

德勤 • 關黃陳方會計師行 執業會計師 香港 2015年8月25日

An audit involves performing procedures to obtain audit evidence about the amounts and disclosures in the financial statements. The procedures selected depend on the auditor's judgment, including the assessment of the risks of material misstatement of the financial statements, whether due to fraud or error. In making those risk assessments, the auditor considers internal control relevant to the entity's preparation of financial statements that give a true and fair view in order to design audit procedures that are appropriate in the circumstances, but not for the purpose of expressing an opinion on the effectiveness of the Estate Agents Authority's internal control. An audit also includes evaluating the appropriateness of accounting policies used and the reasonableness of accounting estimates made by the Estate Agents Authority, as well as evaluating the overall presentation of the financial statements.

We believe that the audit evidence we have obtained is sufficient and appropriate to provide a basis for our audit opinion.

Opinion

In our opinion, the financial statements give a true and fair view of the state of the Estate Agents Authority's affairs as at 31 March 2015, and of its surplus and cash flows for the year then ended in accordance with Hong Kong Financial Reporting Standards.

Deloitte Touche Tohmatsu Certified Public Accountants Hong Kong 25 August 2015

財務報表

Financial Statements

收支結算表及其他全面 收益表

截至2015年3月31日止年度

Statement of Profit or Loss and Other Comprehensive Income

For the year ended 31 March 2015

		附註 Notes	2015 港元 HK\$	2014 港元 HK\$
收入 牌照費 考試費 利息收入	Income Licence fees Examination fees Interest income	5 6	72,580,410 5,903,150 1,283,002	74,381,155 5,854,900 766,009
			79,766,562	81,002,064
支出 核數師酬金 公事外訪 公眾教育開支	Expenditure Auditor's remuneration Business trips Community education expenses		65,000 — 1,040,387	65,000 5,471 1,266,174
投訴、調查及紀律研訊的支出 中港代理資格互認計劃支出 折舊 器材維修保養及通訊費用	Complaints, investigation and disciplinary proceedings expenses CEPA scheme expenses Depreciation Equipment maintenance and		111,056 15,465 1,477,559	142,948 7,735 1,358,302
地產代理證支出 保險費 註銷物業、器材及設備之虧損	communication expenses Estate agent card expenses Insurance Loss on disposal of property, plant and equipment		1,080,908 111,710 1,176,641	1,024,877 123,280 1,106,160 1,027
汽車營運支出 辦公室及相關開支	Motor vehicle operating expenses Office accommodation and related		145,493	152,396
經營租賃租金-土地及樓宇	expenses Operating lease rentals in respect		2,330,152 7,756,070	2,100,226 7,791,762
郵費 印刷及文具 專業服務費用 公共關係及聯絡費 宣傳及廣告 員工成本 一薪金及津貼	of land and buildings Postage Printing and stationery Professional service fees Public relations and liaison Publicity and advertising Staff costs — wages, salaries and		7,736,070 370,024 457,367 677,200 51,167 4,400	7,771,762 331,719 442,609 1,567,200 48,783 377,500
一新並及澤知	allowances — contributions to mandatory		46,564,362	44,606,874
考試服務費 培訓活動開支 其他開支	provident fund scheme Service fees for examinations Training activity expenses Other expenses		1,351,152 4,007,500 599,615 620,444	1,157,668 3,724,457 586,728 603,943
			70,013,672	68,592,839
年內盈餘及其他全面收益總額	Surplus and total comprehensive income for the year		9,752,890	12,409,225



Statement of Financial Position

At 31 March 2015

		附註 Notes	2015 港元 HK\$	2014 港元 HK\$
北方到次京	N			
非流動資產 物業、器材及設備 購置物業、器材及設備之	Non-current assets Property, plant and equipment Deposit paid for acquisition of	8	2,187,392	3,186,589
已付按金	property, plant and equipment	8	2,385,487	1,390,887
			4,572,879	4,577,476
流動資產 應收賬款、預付款項及	Current assets Debtors, prepayments and			
按金	deposits	0	2,882,186	2,447,255
定期存款 銀行結餘及現金	Time deposits Bank balances and cash	9 9	76,154,121 137,327,454	
			216,363,761	203,945,263
流動負債	Current liabilities			
應付賬款及應計項目 遞延收入 已收牌照申請款項	Creditors and accruals Deferred income Licence application fees received	10 11	8,938,743 54,731,226 4,023,931	8,948,933 52,339,819 3,744,137
			/F / 00 000	
			67,693,900	65,032,889
流動資產淨值	Net current assets		148,669,861	138,912,374
總資產減流動負債	Total assets less current liabilities		153,242,740	143,489,850
儲備	Reserves		153,242,740	143,489,850

載於第101至122頁之財務報表於2015 年8月25日獲監管局全體成員批准及 授權刊發,並由以下代表簽署:

The financial statements on pages 101 to 122 were approved and authorised for issue by the Members of the Estate Agents Authority on 25 August 2015 and are signed on their behalf by:

梁永祥 主席

韓婉萍 行政總裁 William LEUNG Wing-cheung Chairman

Ruby HON Chief Executive Officer

財務報表

Financial Statements

儲備變動表

截至2015年3月31日止年度

Statement of Movements in Reserves

For the year ended 31 March 2015

		訴訟 均衡儲備 Litigation	資本 項目基金 Capital	累積儲備	總計
		equalisation	project	Cumulative	Total
		reserve 港元 HK\$	fund 港元 HK\$	fund 港元 HK\$	Total 港元 HK\$
於2013年4月1日 年內盈餘 由訴訟均衡儲備轉撥	At 1 April 2013 Surplus for the year Transfer from litigation	9,750,000 —	76,480,708 —	44,849,917 12,409,225	131,080,625 12,409,225
轉撥至資本項目基金	equalisation reserve Transfer to capital project	(9,750,000)	_	9,750,000	_
	fund		18,994,155	(18,994,155)	
於2014年3月31日及	At 31 March 2014 and				
2014年4月1日	1 April 2014	_	95,474,863	48,014,987	143,489,850
年內盈餘	Surplus for the year	_	_	9,752,890	9,752,890
轉撥至資本項目基金	Transfer to capital project fund	_	8,758,307	(8,758,307)	_
於2015年3月31日	At 31 March 2015	_	104,233,170	49,009,570	153,242,740

訴訟均衡儲備為用以支付因監管局的若干決定在上訴委員會被提出上訴,或在法院上受到質疑所引致的訴訟成本。監管局每年會酌情自累積儲備中轉撥款項至訴訟均衡儲備,或由訴訟均衡儲備轉撥款項至累積儲備。

資本項目基金為用以支付發展經監管局核准的資本項目成本。監管局每年會酌情自累積儲備中轉撥款項至資本項目基金,或由資本項目基金轉撥款項至累積儲備。

於2015年3月31日,資本項目基金結餘包括預留作日後可能購置永久辦公室的款項98,048,170港元(2014年:89,289,863港元)。

The litigation equalisation reserve caters for the cost of litigation arising from some of the Estate Agents Authority's decisions being appealed to the Appeal Panel or challenged in court. A transfer will be made from the cumulative fund to the litigation equalisation reserve or from the litigation equalisation reserve to the cumulative fund at the discretion of the Estate Agents Authority ("EAA").

Capital project fund caters for the cost of capital projects, as approved by the EAA. Transfers will be made from the cumulative fund to the capital project fund or from the capital project fund to the cumulative fund at the discretion of the EAA.

Capital project fund balance at 31 March 2015 included an amount of HK\$98,048,170 (2014: HK\$89,289,863) which represents funds for the possible acquisition of permanent office accommodation in future.

現金流量表 截至2015年3月31日止年度

Statement of Cash Flows

For the year ended 31 March 2015

		2015 港元 HK\$	2014 港元 HK\$
營運活動 年內盈餘 就下列各項作出調整:	OPERATING ACTIVITIES Surplus for the year Adjustments for:	9,752,890	12,409,225
利息收入 打舊 註銷物業、器材及設備之虧損	Interest income Depreciation Loss on disposal of property, plant	(1,283,002) 1,477,559	(766,009) 1,358,302
	and equipment	_	1,027
營運資金變動前之營運現金流量 應收賬款、預付款項及按金	Operating cash flows before movements in working capital (Increase) decrease in debtors,	9,947,447	13,002,545
(增加)減少	prepayments and deposits	(298,656)	374,056
應付賬款及應計項目(減少)增加遞延收入增加(減少)已收牌照申請款項增加(減少)	(Decrease) increase in creditors and accruals Increase (decrease) in deferred income Increase (decrease) in licence	(10,190) 2,391,407	910,355 (683,753)
	applications received	279,794	(477,327)
營運活動所得現金淨額	NET CASH FROM OPERATING ACTIVITIES	12,309,802	13,125,876
投資活動 存置定期存款 購置物業、器材及設備	INVESTING ACTIVITIES Placement of time deposits Purchase of property, plant and	(76,154,121)	_
	equipment	(478,362)	(1,256,577)
購置物業、器材及設備之 已付按金 已收利息	Deposit paid for acquisition of property, plant and equipment Interest received	(994,600) 1,146,727	(1,390,887) 747,069
贖回持有至到期日投資	Redemption on held-to-maturity investment	_	2,029,742
投資活動(所用)所得現金淨額	NET CASH (USED IN) FROM INVESTING ACTIVITIES	(76,480,356)	129,347
現金及現金等價物(減少) 增加淨額	NET (DECREASE) INCREASE IN CASH AND CASH EQUIVALENTS	(64,170,554)	13,255,223
年初的現金及現金等價物	CASH AND CASH EQUIVALENTS AT THE BEGINNING OF THE YEAR	201,498,008	188,242,785
年終的現金及現金等價物	CASH AND CASH EQUIVALENTS AT THE END OF THE YEAR	137,327,454	201,498,008
現金及現金等價物結餘分析:	ANALYSIS OF BALANCES OF CASH AND CASH EQUIVALENTS:		
銀行結餘及現金	Bank balances and cash	137,327,454	201,498,008

財務報表

Financial Statements

財務報表附註

截至2015年3月31日止年度

1. 一般資料

地產代理監管局(「監管局」)根據於1997年5月29日頒佈的《地產代理條例》成立。其主要職能為促進地產代理的專業操守,提高從業員的專業水平,及簽發地產代理牌照。監管局的註冊辦事處及主要營業地點為香港灣仔皇后大道東合和中心48樓。

本財務報表以港元呈列,而港元 同樣為監管局的功能貨幣。

2. 應用新訂及經修訂之香 港財務報告準則

於本年度,監管局首次應用以下 由香港會計師公會頒佈之《香港 財務報告準則》修訂及詮釋:

香港財務報告準則第10號、 第12號及香港會計準則第27號 (修訂本)

Amendments to HKFRS 10, HKFRS 12 and HKAS 27

香港會計準則第32號(修訂本) Amendments to HKAS 32

香港會計準則第36號(修訂本) Amendments to HKAS 36

香港會計準則第39號(修訂本) Amendments to HKAS 39

Notes to the Financial Statements

For the year ended 31 March 2015

1. General

The EAA was established with the principal functions of promoting integrity and competence of estate agents and issuing estate agents' licences under the Estate Agents Ordinance dated 29 May 1997 (date of enactment). The address of the registered office and principal place of business of the EAA is 48th Floor, Hopewell Centre, Queen's Road East, Hong Kong.

The financial statements are presented in Hong Kong dollars, which is the same as the functional currency of the EAA.

2. Application of New and Revised Hong Kong Financial Reporting Standards ("HKFRSs")

The EAA has applied the following amendments to HKFRSs and interpretation issued by the Hong Kong Institute of Certified Public Accountants (the "HKICPA") for the first time in the current year.

投資實體

Investment Entities

金融資產及金融負債之抵銷 Offsetting Financial Assets and Financial Liabilities

非金融資產可收回金額之披露 Recoverable Amount Disclosures for Non-Financial Assets

衍生工具之更替及對沖會計法之延續 Novation of Derivatives and Continuation of Hedge Accounting

徵費

Levies



於本年度應用此等香港財務報告 準則之修訂及詮釋對財務報表中 所報告的金額及/或所載之披露 資料並無構成重大影響。

監管局並未提早應用下列已頒佈 但尚未生效的新訂及經修訂《香 港財務報告準則》:

香港財務報告準則第9號 HKFRS 9

香港財務報告準則第14號 HKFRS 14

香港財務報告準則第15號 HKFRS 15

香港會計準則第1號(修訂本) Amendments to HKAS 1

香港會計準則第16號及第38號 (修訂本)

Amendments to HKAS 16 and HKAS 38

香港會計準則第16號及第41號 (修訂本)

Amendments to HKAS 16 and HKAS 41

香港會計準則第19號(修訂本) Amendments to HKAS 19

香港會計準則第27號(修訂本) Amendments to HKAS 27

香港財務報告準則第10號及 香港會計準則第28號(修訂本) Amendments to HKFRS 10 and HKAS 28

香港財務報告準則第10號、第12號 及香港會計準則第28號(修訂本) Amendments to HKFRS 10, HKFRS 12 and HKAS 28

香港財務報告準則第11號(修訂本) Amendments to HKFRS 11

Application of New and Revised Hong Kong Financial Reporting Standards ("HKFRSs") (Continued)

The application of the amendments to HKFRSs and interpretation in the current year has had no material effect on the amounts reported and/or disclosures set out in the financial statements.

The EAA has not early applied the following new and revised HKFRSs that have been issued but are not yet effective.

金融工具6 Financial Instruments⁶

監管遞延賬户4 Regulatory Deferral Accounts⁴

來自客戶合約的收入5 Revenue from Contracts with Customers⁵

披露計劃3 Disclosure Initiative³

澄清折舊及攤銷的可接受方法3

Clarification of Acceptable Methods of Depreciation and Amortisation³

農業:生產性植物3

Agriculture: Bearer Plant³

界定福利計劃:僱員供款1

Defined Benefit Plans: Employees Contributions¹

獨立財務報表之權益法3

Equity Method in Separate Financial Statements³

投資者與其聯營或合營企業之間的資產出售或注資3

Sale or Contribution of Assets between an Investor and its Associate or Joint Venture³

投資實體:豁免應用合併3

Investment Entities: Applying the Consolidation Exception³

收購共同營運權益的會計法³ Accounting for Acquisition of Interests in Joint Operations³

Financial Statements

2. 應用新訂及經修訂之香 港財務報告準則(續)

2. Application of New and Revised Hong Kong Financial Reporting Standards ("HKFRSs") (Continued)

香港財務報告準則(修訂本) Amendments to HKFRSs

香港財務報告準則(修訂本) Amendments to HKFRSs

香港財務報告準則(修訂本) Amendments to HKFRSs 2010至2012年週期香港財務報告準則之年度改進² Annual Improvements to HKFRSs 2010–2012 Cycle²

2011至2013年週期香港財務報告準則之年度改進¹ Annual Improvements to HKFRSs 2011–2013 Cycle¹

2012至2014年週期香港財務報告準則之年度改進³ Annual Improvements to HKFRSs 2012–2014 Cycle³

- 1 於2014年7月1日或之後開始之會計期間生效。
- ² 於2014年7月1日或之後開始之會計期間生效, 少數例外情況除外。
- 3 於2016年1月1日或之後開始之會計期間生效。
- 6 於2016年1月1日或之後開始之首份年度財務報表生效。
- 5 於2017年1月1日或之後開始之會計期間生效。
- 6 於2018年1月1日或之後開始之會計期間生效。
- ¹ Effective for accounting periods beginning on or after 1 July 2014.
- ² Effective for accounting periods beginning on or after 1 July 2014 with limited exceptions.
- ³ Effective for accounting periods beginning on or after 1 January 2016.
- Effective for first annual financial statements beginning on or after 1 January 2016.
- ⁵ Effective for accounting periods beginning on or after 1 January 2017.
- ⁶ Effective for accounting periods beginning on or after 1 January 2018.

監管局現正就應用新訂及經修訂 之香港財務報告準則之潛在影響 作出評估,並預期此舉將不會對 監管局的業績及財務狀況造成重 大影響。 The EAA is in the process of assessing the potential impact and anticipates that the application of the new and revised HKFRSs will have no material impact on the results and the financial position of the EAA.

3. 主要會計政策

本財務報表按歷史成本法及根據 香港會計師公會頒佈的《香港財 務報告準則》及《地產代理條例》 編製。主要採用的會計政策如 下:

收入確認

牌照收入乃根據牌照年期以直線 法確認。

考試收入乃根據考試日期確認。

金融資產的利息收入於有關經濟 利益將可能流入監管局及收入金 額能予可靠計量時確認。利息收 入乃按時間基準計算,並參考尚 餘本金額及適用之實際利率(即 透過將該項金融資產估計年期預 計之未來現金收入折讓至該項資 產於初次確認時之賬面淨值之息 率)。

物業、器材及設備

物業、器材及設備乃按成本減其 後累計折舊及累計減值虧損(如 有)於財務狀況表列賬。

物業、器材及設備折舊乃按其估 計可使用年期,以直線法撇銷其 成本減剩餘價值。估計可使用年 期,剩餘價值及折舊方法於各報 告期終時檢討,並會考慮到未來 估計任何變動的影響。

3. Significant Accounting Policies

The financial statements have been prepared under the historical cost basis and in accordance with Hong Kong Financial Reporting Standards issued by the HKICPA and the Estate Agents Ordinance. The significant accounting policies adopted are as follows:

Revenue recognition

Income from issuing licences is recognised on a straight-line basis over the life of the licence.

Income from examinations is recognised on the date of the examination.

Interest income from a financial asset is recognised when it is probable that economic benefits will flow into the EAA and the amount of income can be measured reliably. Interest income is accrued on a time basis, by reference to the principal outstanding and at the effective interest rate applicable, which is the rate that exactly discounts the estimated future cash receipts through the expected life of the financial asset to that asset's net carrying amount on initial recognition.

Property, plant and equipment

Property, plant and equipment are stated in the statement of financial position at cost less subsequent accumulated depreciation and subsequent accumulated impairment losses, if any.

Depreciation is recognised so as to write off the cost of items of property, plant and equipment less their residual values over their estimated useful lives, using the straight-line method. The estimated useful lives, residual values and deprecation method are reviewed at the end of each reporting period, with the effect of any changes in estimate accounted for on a prospective basis.

Financial Statements

3. 主要會計政策(續)

物業、器材及設備項目於出售後 或預期持續使用該資產將不會產 生未來經濟利益時終止確認。 售或報銷物業、器材及設備項目 時所產生之任何收益或虧損,按 出售所得款項與該資產賬面值之 差額釐定,並於收支結算表內確 認。

有形資產之減值

可收回金額為公平價值減銷售成本與使用價值兩者之較高者。於評估使用價值時,估計未現現別使用稅前貼現率折現至現值,該貼現率反映現時市計場與貨幣時間值之評估,及估計未來現金流量未經調整的資產之獨有風險。

倘資產〔或現金產生單位〕之可 收回金額估計低於賬面值,則會 將該項資產〔或現金產生單位〕 之賬面值減至其可收回金額。減 值虧損即時於損益內確認。

倘減值虧損其後撥回,則該資產 之賬面值將增加至經修訂的估計 可收回金額,惟增加後的賬面值 不得超過倘以往年度並無就該項 資產〔或現金產生單位〕確認減 值虧損而應有的賬面值。減值虧 損撥回即時確認為收入。

3. Significant Accounting Policies (Continued)

An item of property, plant and equipment is derecognised upon disposal or when no future economic benefits are expected to arise from the continued use of the asset. Any gain or loss arising on the disposal or retirement of an item of property, plant and equipment is determined as the difference between the sales proceeds and the carrying amount of the asset and is recognised in profit or loss.

Impairment of tangible assets

At the end of the reporting period, the EAA reviews the carrying amounts of its tangible assets to determine whether there is any indication that those assets have suffered an impairment loss. If any such indication exists, the recoverable amount of the asset is estimated in order to determine the extent of the impairment loss, if any. When it is not possible to estimate the recoverable amount of an individual asset, the EAA estimates the recoverable amount of the cash-generating unit to which the asset belongs. Where a reasonable and consistent basis of allocation can be identified, corporate assets are also allocated to individual cash-generating units, or otherwise they are allocated to the smallest group of cash-generating units for which a reasonable and consistent allocation basis can be identified.

Recoverable amount is the higher of fair value less costs to sell and value in use. In assessing value in use, the estimated future cash flows are discounted to their present value using a pre-tax discount rate that reflects current market assessments of the time value of money and the risks specific to the asset for which the estimates of future cash flows have not been adjusted.

If the recoverable amount of an asset (or a cashgenerating unit) is estimated to be less than its carrying amount, the carrying amount of the asset (or a cashgenerating unit) is reduced to its recoverable amount. An impairment loss is recognised immediately in profit or loss.

Where an impairment loss subsequently reverses, the carrying amount of the asset is increased to the revised estimate of its recoverable amount, but so that the increased carrying amount does not exceed the carrying amount that would have been determined had no impairment loss been recognised for the asset (or a cash-generating unit) in prior years. A reversal of an impairment loss is recognised as income immediately.

3. 主要會計政策(續)

金融工具

當監管局成為工具合約條文的訂 約方時,確認金融資產及金融負 債。金融資產及金融負債初步按 公平價值計量。因收購或發行金 融資產及金融負債而直接產生交 易成本,於首次確認時於該項金 融資產或金融負債的公平價值中 計入或扣除(視適用情況而定)。

金融資產

監管局的金融資產主要為貸款 及應收款項。分類視乎金融資產 的性質及目的,於初步確認時釐 定。所有定期方式購買或銷售的 金融資產以交易日期作基準確認 及取消確認。定期方式購買或銷 售指要求按規則或市場慣例所定 的時間規範內將資產運抵的金融 資產買賣。

實際利息法

實際利息法為計算債務工具於有 關期間攤銷成本以及分配利息收 入之方法。實際利率指將金融資 產於整個預計可使用年期或較短 期間內(倘適用)的估計未來現金 收入(包括屬於實際利率不可分 割部份的所有已付或已收費及 點數、交易成本及其他溢價或折 讓)剛好貼現為初步確認時賬面 淨值的利率。

就債務工具而言,利息收入按實 際利息基準確認。

貸款及應收款項

貸款及應收款項為具有固定或可 釐定付款之非衍生金融資產,該 等資產於活躍市場上並無報價。 初次確認後,貸款及應收款項 (包括應收賬款、定期存款以及 銀行結餘)乃使用實際利息法按 攤銷成本減任何減值計算(見下 文金融資產減值之會計政策)。

3. Significant Accounting Policies (Continued)

Financial instruments

Financial assets and financial liabilities are recognised on the statement of financial position when the EAA becomes a party to the contractual provisions of the instrument. Financial assets and financial liabilities are initially measured at fair value. Transaction costs that are directly attributable to the acquisition or issue of financial assets and financial liabilities are added to or deducted from the fair value of the financial assets or financial liabilities, as appropriate, on initial recognition.

Financial assets

The EAA's financial assets are classified as loan and receivables. The classification depends on the nature and purpose of the financial assets and is determined at the time of initial recognition. All regular way purchases or sales of financial assets are recognised and derecognised on a trade date basis. Regular way purchases or sales are purchases or sales of financial assets that require delivery of assets within the time frame established by regulation or convention in the marketplace.

Effective interest method

The effective interest method is a method of calculating the amortised cost of a financial asset and of allocating interest income over the relevant period. The effective interest rate is the rate that exactly discounts estimated future cash receipts (including all fees and points paid or received that form an integral part of the effective interest rate, transaction costs and other premiums or discounts) through the expected life of the financial asset, or, where appropriate, a shorter period to the net carrying amount on initial recognition.

Interest income is recognised on an effective interest basis.

Loans and receivables

Loans and receivables are non-derivative financial assets with fixed or determinable payments that are not quoted in an active market. Subsequent to initial recognition, loans and receivables (including debtors, time deposits and bank balances) are carried at amortised cost using the effective interest method, less any impairment losses (see accounting policy on impairment on financial assets below).

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3. 主要會計政策(續)

金融資產減值

金融資產於報告期末評定是否有減值跡象。當有客觀證據顯示金融資產之估計未來現金流量因於初步確認該金融資產後發生之一項或多項事件而受到影響時,該金融資產視為已減值。

減值的客觀證據可包括:

- 發行人或交易對方有重大財 政困難;或
- 違反合約,如未能繳付或延 遲償還利息或本金;或
- 借款人有可能面臨破產或財務重組;或
- 因財政困難而導致該金融資產失去活躍市場。

關於按攤銷成本入賬的金融資產,減值虧損確認為資產賬面值與按金融資產原實際利率對估計未來現金流量貼現後的現值兩者之間的差額。

所有金融資產之減值虧損會直接 自金融資產之賬面值扣減,惟應 收賬款則除外,其賬面值會透過 撥備賬作出扣減。當應收賬款視 為不可收回時,其將於撥備賬內 撒銷。於其後收回的已撇銷款項 將計入損益。

3. Significant Accounting Policies (Continued)

Impairment of financial assets

Financial assets are assessed for indicators of impairment at the end of the reporting period. Financial assets are considered to be impaired where there is objective evidence that, as a result of one or more events that occurred after the initial recognition of the financial asset, the estimated future cash flows of the financial assets have been affected.

Objective evidence of impairment could include:

- significant financial difficulty of the issuer or counterparty; or
- breach of contract, such as default or delinquency in interest or principal payments; or
- it becoming probable that the borrower will enter bankruptcy or financial re-organisation; or
- disappearance of an active market for that financial asset because of financial difficulties.

For certain categories of financial asset, such as debtors, assets that are assessed not to be impaired individually are, subsequently, assessed for impairment on a collective basis. Objective evidence of impairment for a portfolio of receivables could include the EAA's past experience of collecting payments, an increase in the number of delayed payments in the portfolio past the average credit period, and observable changes in local economic conditions that correlate with default on receivables.

For financial assets carried at amortised cost, the amount of the impairment loss recognised is the difference between the asset's carrying amount and the present value of the estimated future cash flows discounted at the financial asset's original effective interest rate.

The carrying amount of the financial asset is reduced by the impairment loss directly for all financial assets with the exception of debtors, where the carrying amount is reduced through the use of an allowance account. When a debtor is considered uncollectible, it is written off against the allowance account. Subsequent recoveries of amounts previously written off are credited to profit or loss.

3. 主要會計政策(續)

就按攤銷成本計量之金融資產而 言,倘於其後期間其減值虧損之 金額減少,而該減少可以客觀地 與確認減值虧損後發生之一項事 件有關,則先前已確認之減值虧 損透過損益撥回,惟該資產撥回 減值虧損當日之賬面值,不得超 過該資產於未確認減值時之已攤 銷成本。

金融負債

金融負債乃根據所訂立合約安排 之內容及金融負債之定義分類。

實際利息法

實際利息法為計算金融負債於有 關期間之攤銷成本以及分配利息 支出之方法。實際利率指將金融 負債於預計可使用年期或較短 期間內(視適用情況而定)的估計 未來現金付款(包括組成實際利 率、交易成本及其他溢價或折讓 不可分割部份已付或已收之所有 費用及點數)剛好貼現為初步確 認時賬面淨值的利率。

金融負債

金融負債〔包括應付賬款及應計 項目〕乃其後以實際利息法按攤 銷成本計量。

終止確認

監管局僅於資產現金流量之合約 權利屆滿時,或將金融資產及資 產所有權之絕大部份風險及回報 轉讓予另一實體時終止確認金融 資產。倘監管局並無轉讓亦無保 留所有權之絕大部分風險及回 報,而繼續控制已轉讓資產,則 監管局會按其持續參與程度繼續 確認資產及相關負債。倘監管局 保留已轉讓金融資產所有權之絕 大部分風險及回報,則監管局繼 續確認該金融資產,亦會就已收 取之所得款項確認已抵押借貸。

3. Significant Accounting Policies (Continued)

For financial assets measured at amortised cost, if, in a subsequent period, the amount of impairment loss decreases and the decrease can be related objectively to an event occurring after the impairment losses was recognised, the previously recognised impairment loss is reversed through profit or loss to the extent that the carrying amount of the asset at the date the impairment is reversed does not exceed what the amortised cost would have been had the impairment not been recognised.

Financial liabilities

Financial liabilities are classified in accordance with the substance of the contractual arrangements entered into and the definition of a financial liability.

Effective interest method

The effective interest method is a method of calculating the amortised cost of a financial liability and of allocating interest expense over the relevant period. The effective interest rate is the rate that exactly discounts estimated future cash payments (including all fees and points paid on received that form an integral part of the effective interest rate, transaction costs and other premiums or discounts) through the expected life of the financial liability, or, where appropriate, a shorter period to the net carrying amount on initial recognition.

Financial liabilities

Financial liabilities (including creditors and accruals) are subsequently measured at amortised cost, using the effective interest method.

Derecognition

The EAA derecognises a financial asset only when the contractual rights to the cash flows from the asset expire, or when it transfers the financial asset and substantially all the risks and rewards of ownership of the asset to another entity. If the EAA neither transfers nor retains substantially all the risks and rewards of ownership and continues to control the transferred asset, the EAA continues to recognise the asset to the extent of its continuing involvement and recognises an associated liability. If the EAA retains substantially all the risks and rewards of ownership of a transferred financial asset, the EAA continues to recognise the financial asset and also recognises a collateralised borrowing for the proceeds received.

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3. 主要會計政策(續)

完全終止確認金融資產時,該資產之賬面值與已收及應收代價總和及已於其他全面收益當中確認之累計收益或虧損間之差額乃於損益中確認。

僅於監管局的責任解除、取消或 屆滿時,方終止確認金融負債。 終止確認的金融負債賬面值與已 付及應付代價之差額於損益中確 認。

和賃

經營租賃款項按租賃年期以直線 法確認為開支,惟有另一項有系 統性之基準更能反映消耗租賃資 產所產生之經濟效益之時間模式 則作別論。

倘於訂立經營租賃時獲得租賃優惠,則有關優惠確認為負債。優惠總利益以直線法確認為租金開支減少,惟有另一項有系統性之基準更能反映消耗租賃資產所產生之經濟效益之時間模式則作別論。

僱員福利

僱員可享年假權利

僱員可享年假之權利在其符合資 格享有時確認。

就截至結算日止因僱員已提供服 務而產生之估計年假責任已作出 撥備。

僱員福利一公積金責任

監管局在香港設立一項強制性公積金計劃(「強積金計劃」)。強積金計劃的資產分開存放在由信託人管理的基金內。監管局及其關以每月均須繳付相等於僱員有關收入5%之供款,上限為1,500港元(2014年:1,250港元)。監管局就強積金計劃所作供款於作出供款時確認為開支。

3. Significant Accounting Policies (Continued)

On derecognition of a financial asset in its entirety, the difference between the asset's carrying amount and the sum of the consideration received and receivable and the cumulative gain or loss that had been recognised in other comprehensive income is recognised in profit or loss.

The EAA derecognises financial liabilities when, and only when, the EAA's obligations are discharged, cancelled or expire. The difference between the carrying amount of the financial liability derecognised and the consideration paid and payable is recognised in profit or loss.

Leasing

Operating lease payments are recognised as an expense on a straight-line basis over the lease term, except where another systematic basis is more representative of the time pattern in which economic benefits from the leased asset are consumed.

In the event that lease incentives are received to enter into operating leases, such incentives are recognised as a liability. The aggregate benefit of incentives is recognised as a reduction of rental expense on a straight-line basis over the lease term, except where another systematic basis is more representative of the time pattern in which economic benefits from the leased asset are consumed.

Employee benefits

Employee leave entitlements

Employee entitlements to annual leave are recognised when they accrue to employees.

A provision is made for the estimated liability for annual leave as a result of services rendered by employees up to the end of the reporting period.

Employee benefits — provident fund obligations

The EAA operates a mandatory provident fund scheme ("MPF scheme") in Hong Kong. The assets of the MPF scheme are held in a separate trustee-administered fund. Both the EAA and the employees are required to contribute 5% of the employee's relevant income up to a maximum of HK\$1,500 (2014: HK\$1,250) per employee per month. The EAA's contributions to the MPF scheme are expensed as incurred.

4. 關鍵會計判斷及估計不確定因素之主要來源

於應用監管局之會計政策時(已 於附註3詳述),管理層作出下列 對財務報表所確認之金額具有最 重大影響之關鍵判斷。

應收賬款之呆壞賬撥備

應收賬款初次確認乃按公平價值 計算,其後則按實際利息法以攤 銷成本計算。倘有客觀證據顯示 該資產出現減值,則就估計不可 收回金額計算之適當撥備於全面 收益表內確認。

決定個別撥備時,監管局認為已 實施周詳程序以監控此項風險。 釐定是否需要作出呆壞賬撥備 時,監管局已考慮賬齡狀況、可 收回之可能性及估計貼現未來現 金流量。特定撥備僅就不大可能 收回之應收款項而作出。倘若此 等賬款轉壞,導致其還款能力減 退,則可能須作出撥備。

4. Critical Accounting Judgment and Key Sources of Estimation Uncertainty

In the process of applying the EAA's accounting policies, which are described in note 3, management had made the following judgments that have the most significant effect on the amounts recognised in the financial statements.

Allowances for bad and doubtful debts of debtors

Debtors are measured at initial recognition at fair value, and are subsequently measured at amortised cost using the effective interest method. Appropriate allowances for estimated irrecoverable amounts are recognised in the statement of comprehensive income when there is objective evidence that the asset is impaired.

In determining individual allowances, the EAA has considered that detailed procedures have been in place to monitor this risk. In determining whether allowance for bad and doubtful debts is required, the EAA takes into consideration the aging status, the likelihood of collection and the estimated discounted future cash flows. Specific allowance is made for debtors that are unlikely to be collected. If the financial conditions of these debtors were to deteriorate, resulting in an impairment of their ability to make payments, allowances may be required.

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5. 牌照費

5. Licence Fees

		2015 港元 HK\$	2014 港元 HK\$
牌照費總收入	Total licence fees	72,580,410	74,381,155

6. 考試費

6. Examination Fee

		2015 港元 HK\$	2014 港元 HK\$
地產代理及營業員資格考試	Estate agents and salespersons qualifying examinations	5,903,150	5,854,900

7. 税項

7. Taxation

根據《税務條例》第87條,監管局獲豁免繳納香港利得税。

The EAA is exempt from Hong Kong Profits Tax under section 87 of the Inland Revenue Ordinance.

Property, Plant and Equipment/Deposit Paid for Acquisition of Property, Plant and Equipment

		租賃物業裝修 Leasehold	汽車 Motor	傢俬及裝置 Furniture and	設備	合計
		improvements	vehicles	fixtures	Equipment	Total
		港元	港元	港元	港元	港元
		HK\$	HK\$	HK\$	HK\$	HK\$
成本	COST					
於2013年4月1日	At 1 April 2013	4,210,236	557,264	1,759,189	9,875,232	16,401,921
添置	Additions	355,217	_	52,990	848,370	1,256,577
註銷	Disposals		_	(36,485)	(252,463)	(288,948)
於2014年3月31日	At 31 March 2014	4,565,453	557,264	1,775,694	10,471,139	17,369,550
添置	Additions	_	, _	14,450	463,912	478,362
撇銷	Disposals	_	_	(22,237)	(37,084)	(59,321)
於2015年3月31日	At 31 March 2015	4,565,453	557,264	1,767,907	10,897,967	17,788,591
折舊	DEPRECIATION					
於2013年4月1日	At 1 April 2013	3,682,403	255,610	1,578,428	7,596,139	13,112,580
年內撥備	Provided for the year	298,675	163,102	53,534	842,991	1,358,302
撇銷	Eliminated on disposals	_	_	(36,485)	(251,436)	(287,921)
於2014年3月31日	At 31 March 2014	3,981,078	418,712	1,595,477	8,187,694	14,182,961
年內撥備	Provided for the year	369,079	136,796	54,583	917,101	1,477,559
撇銷	Eliminated on disposals			(22,237)	(37,084)	(59,321)
於2015年3月31日	At 31 March 2015	4,350,157	555,508	1,627,823	9,067,711	15,601,199
賬面值	NET BOOK VALUES					
於2015年3月31日	At 31 March 2015	215,296	1,756	140,084	1,830,256	2,187,392
於2014年3月31日	At 31 March 2014	584,375	138,552	180,217	2,283,445	3,186,589

物業、器材及設備折舊乃按其估 計使用年期以直線法按以下年率 撇銷其成本:

Depreciation is recognised so as to write off the cost of items of property, plant and equipment over their estimated useful lives, using the straight-line method, at the following rates per annum:

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租賃物業 20%或按租賃年期 裝修 (倘少於五年)

汽車 30%傢俬及裝置 20%

設備 20%至30%

於本年度內,監管局支付了作為發展綜合管理資訊系統按金994,600港元,該系統之預算總價為5,866,587港元,已支付總按金截至結算日為2,385,487港元(2014年:1,390,887港元)。

9. 銀行結餘及現金及定期存款

銀行結餘及現金包括監管局持有之現金及到期日為90至92日(2014:90至92日)按當時市場年利率介乎0.01%至1.00%(2014年:介乎0.01%至0.58%)計息之短期銀行存款。

定期存款包括到期日為181至185日(2014年:無)按當時市場年利率介乎0.5%至0.7%(2014年:無)計算之六個月定期銀行存款。

監管局認為該等資產之賬面值與 其公平價值相若。

8. Property, Plant and Equipment/Deposit Paid for Acquisition of Property, Plant and Equipment (Continued)

Leasehold 20% or over the period of improvements the lease term if it is less

than 5 years

Motor vehicles 30% Furniture and fixtures 20%

Equipment 20% to 30%

During the year, the EAA paid a deposit amounting to HK\$994,600 for the development of an integrated management information system. The total consideration for the system was HK\$5,866,587 and the total deposit paid at the end of the reporting period amounted to HK\$2,385,487 (2014: HK\$1,390,887).

Bank Balances and Cash and Time Deposits

Bank balances and cash comprise cash held by the EAA and short-term bank deposits with a maturity of 90 to 92 days (2014: 90 to 92 days) at prevailing market interest rates ranging from 0.01% to 1.00% per annum (2014: 0.01% to 0.58% per annum).

Time deposits comprise six-month bank deposits with a maturity of 181 to 185 days (2014: Nil) at prevailing market interest rates ranging from 0.50% to 0.70% per annum (2014: Nil).

The EAA considers that the carrying amounts of these assets approximate their fair values.

10. 遞延收入

遞延收入乃指地產代理為牌照有 效期繳交之牌照費,按監管局的 收入確認政策作遞延處理。

11. 已收牌照申請款項

該等款項乃指地產代理連同牌照 申請一併繳交之款項,其牌照申 請並於結算日仍在處理中。

12. 資本承擔

10. Deferred Income

Deferred income represents licence fees received from estate agents for a validity period, which are deferred according to the EAA's income recognition policy.

11. Licence Application Fees Received

These represent amounts paid by estate agents applying for the licences which were still being processed but not yet approved at the end of the reporting period.

12. Capital Commitments

		2015 港元 HK\$	2014 港元 HK\$
就購置物業、器材及設備之 資本開支:	Capital expenditure in respect of the acquisition of property, plant and equipment:		
已授權但未訂約	— authorized but not contracted for in the financial	-	_
已訂約但未在財務報表中 撥備	statements — contracted but not provided in the financial statements	3,481,000	4,475,000

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於結算日,監管局就租用樓宇之 不可撇銷之經營租賃,於下列期 間之未來最低租賃款項承擔如 下:

13. Operating Lease Commitments

At the end of the reporting period, the EAA had commitments for future minimum lease payments under non-cancellable operating leases in respect of rented premises which fall due as follows:

	2015 港元 HK\$	2014 港元 HK\$
一年內 Within one year 第二至第五年(包括首尾兩年) In the second to fifth year inclusive	4,743,571 —	8,143,836 4,750,571
	4,743,571	12,894,407

經營租賃款項乃監管局就其辦公室物業應付之租金。租賃及租金平均每三年(2014:三年)議定一次。

Operating lease payments represent rentals payable by the EAA for certain of its office premises. Leases are negotiated for and rentals are fixed for an average term of three years (2014: three years).

14. 資本風險管理

監管局的資本主要是來自其成立 以來所累積的盈餘。其資本管理 的目的是要確保監管局能持續經 營,以提升地產代理的專業操守 及專業水平。

監管局定期檢討並管理其資本架構,以確保監管局有充足的資資以作營運及資本需求。監管局對產生的盈餘實行零攤派政策。所有盈餘均轉入累積儲備,以應付未來營運的需求。地產代理每年須向監管局繳付牌照費。

監管局定期檢討增加牌照費的需要,以確保妥善切合營運需求。

14. Capital Risk Management

The EAA's capital comprises primarily the fund accumulated since its incorporation and its objective when managing capital is to ensure that the EAA will be able to continue as a going concern so that it can continue to promote integrity and competence of estate agents.

The EAA regularly reviews and manages its capital to ensure adequacy for both the operational and capital needs. The EAA operates a zero distribution policy with regard to surpluses generated. All surpluses are transferred to the cumulative fund for future operational needs. The EAA charges an annual licence fees on the estate agent.

The EAA regularly reviews the need to increase licence fees to ensure operational needs are fully covered.

15 金融工具

15. FINANCIAL INSTRUMENTS

a. 金融工具類別

a. Categories of financial instruments

		2015 港元 HK\$	2014 港元 HK\$
金融資產: 貸款及應收款項(包括現金及 現金等價物)	Financial assets: Loans and receivables (including cash and cash equivalents)	215,804,280	203,560,078
金融負債: 攤銷成本	Financial liabilities: Amortised costs	8,756,984	8,437,349

b. 金融風險管理目標及政

監管局之主要金融工具包括 應收賬款、定期存款、銀行 結餘及應付賬款及應計項 目。該等金融工具詳情於各 附註披露。該等金融工具之 相關風險包括市場風險(包 括利率風險)、信貸風險及 流動資金風險。如何減輕該 等風險的政策載於下文。管 理層管理及監控該等風險, 以確保可及時及有效地實施 適當措施。

Financial risk management objectives and policies

The EAA's major financial instruments include debtors, time deposits, bank balances and creditors and accruals. Details of the financial instruments are disclosed in respective notes. The risks associated with these financial instruments include market risk (including interest rate risk), credit risk and liquidity risk. The policies on how to mitigate these risks are set out below. The management manages and monitors these exposures to ensure that appropriate measures are implemented in timely and effective manner.

Financial Statements

15 金融工具(續)

市場風險

現金流量利率風險

監管局因計息金融資產利率 變動的影響而面對現金流量 利率風險。計息金融資產主 要為銀行結餘,全屬短期性 質。因此,未來任何利率變 動將不會對監管局之業績造 成重大影響。

信貸風險

信貸風險指交易對手未能履 行合約責任而引致監管局蒙 受財務損失之風險。監管局 會持續監控及審核因交易對 手而面對之信貸風險。

為了盡量減低信貸風險,監 管局於每個結算日就應收款 項之可收回金額進行檢討, 以確保對不可收回金額充分 計算減值損失。就此而言, 監管局認為其信貸風險已大 幅降低。

定期存款及流動資金之信貸 風險不大,原因是交易對手 為具良好聲譽之銀行。

流動資金風險

監管局管理層對流動資金風 險負有最終管理責任,彼等 已就監管局之短期、中期及 長期資金及流動資金管理規 定建立適當之流動資金風險 管理框架。監管局管理層透 過維持足夠儲備以及持續監 察預測及實際現金流量,以 管理流動資金風險。

15. FINANCIAL INSTRUMENTS (Continued)

Market risk

Cash flow interest rate risk

The EAA is exposed to cash flow interest rate risk through the impact of rate changes on interest bearing financial assets. Interest bearing financial assets are mainly balances with banks which are all short term in nature. Therefore, any future variation in interest rates will not have a significant impact on the results of the EAA.

Credit risk

Credit risk refers to the risk that the counterparty will default on its contractual obligations resulting in financial loss to the EAA. The EAA's exposure of its counterparties are continuously monitored, received and approved.

In order to minimise the credit risk, the EAA reviews the recoverable amount of the receivables at the end of each reporting period to ensure that adequate impairment losses are made for irrecoverable amounts. In this regard, the EAA considers that the EAA's credit risk is significantly reduced.

The credit risk on time deposits and liquid funds is limited because the counterparties are banks with good reputation.

Liquidity risk

Ultimate responsibility for liquidity risk management rests with the management of the EAA, which has built an appropriate liquidity risk management framework for the management of the EAA's short, medium and long-term funding and liquidity management requirements. The management of the EAA manages liquidity risk by maintaining adequate reserves and continuously monitors the forecast and actual cash flows.

15 金融工具(續)

流動資金表

下表載列監管局非衍生金 融負債之餘下合約到期日。 該表乃根據監管局可被要求 支付金融負債之最早日期編 製,以反映金融負債之未貼 現現金流量。

15. FINANCIAL INSTRUMENTS (Continued)

Liquidity tables

The following tables detail the EAA's remaining contractual maturity for its non-derivative financial liabilities on the agreed repayment terms. The tables have been drawn up based on the undiscounted cash flows of financial liabilities based on the earliest date on which the EAA can be required to pay.

		加權平均 實際利率% Weighted average effective	0至30天	31至60天	未貼現現金 流量總額 Total	賬面值
		interest			undiscounted	Carrying
		rate	0-30 days	31-60 days	cash flows	amount
			港元	港元	港元	港元
		%	HK\$	HK\$	HK\$	HK\$
2015年 應付賬款及應計項目	2015 Creditors and accruals	_	8,225,207	531,777	8,756,984	8,756,984
2014年 應付賬款及應計項目	2014 Creditors and accruals	_	7,733,385	703,964	8,437,349	8,437,349

公平價值

金融資產及金融負債之公平 價值,乃根據普遍採納之定 價模式,按貼現現金流量分 析釐定。

監管局認為,於財務報表按 攤銷成本入賬的金融資產及 金融負債之賬面值與其公平 價值相若。

c. Fair values

The fair values of financial assets and financial liabilities are determined in accordance with generally accepted pricing models based on discounted cash flow analysis.

The EAA considers that the carrying amounts of financial assets and financial liabilities recorded at amortised cost in the financial statements approximate their corresponding fair values.

附錄一:監管局常設委員會與專責小組

Appendix I: Standing Committees and Working Panel of the EAA

財務及策略發展委員會

職權範圍:

- 研究具有長遠性影響的策略性議題以備提交監管局董事局審議。
- 審核重要的財政議題一特別是 員工開支對監管局財政狀況的影響、預算事項、長遠的財政規劃 和資產管理,並將建議提交監管 局董事局審議。
- 3. 監督人力資源管理事宜,並審視 及批核編製架構和重組安排、人 力規劃,以及人力資源政策和程 序的制訂。
- 4. 研究重要的人力資源管理議題 一尤其薪酬架構、薪酬和津貼 政策,以及監管局員工(包括行 政總裁和總監)的聘用條款和條 件,並將建議提交監管局董事局 審議。
- 5. 根據監管局主席的指示,審視及檢討行政總裁和總監的工長試明,以確定是否聘用、延長續明,等升、解僱、終止或繼續,或其他與聘用相關事宜,以及確定是否批出按表現發放實,並將建議提交監管局董事局審議。
- 6. 審視及批署由監管局行政部門所 預備的年度工作計劃和預算案, 並於確認後提交監管局董事局審 議。
- 就監管局資金的投資事宜制定指 引並向監管局董事局提交建議。

Finance and Strategic Development Committee

- 1. To consider strategic issues of long-term significance, in preparation for consideration by the Board.
- To examine issues of major financial significance, in particular, staff cost implications, budgetary matters, long-term financial planning and asset management, and to make recommendations to the Board for consideration.
- To oversee human resources management and to review and approve establishment structure, reorganisation, manpower planning and development of human resources policies and procedures.
- 4. To examine issues of major significance in human resources management, in particular, the pay structure, remuneration and allowance policies and terms and conditions of employment of the EAA employees (including the Chief Executive Officer and Directors), and to make recommendations to the Board for consideration.
- 5. At the direction of the Chairman, to review and evaluate the performance of the Chief Executive Officer and Directors for the purpose of confirmation of appointment, extension of probation, promotion, dismissal, termination or renewal of employment or other employment related issues and the granting of any performance-linked awards, and to make recommendations to the Board for consideration
- 6. To review and endorse the annual work plan and budget prepared by the Administration and to recommend the same to the Board for consideration.
- 7. To devise guidelines for and make recommendations to the Board on the investment of the EAA monies.

8. 留意業界及公眾人士對監管局的 規例及政策的反應,並據此向監 管局董事局及/或有關委員會建 議適當對策。

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- 執行由監管局董事局授權處理的 工作。
- 10. 如認為需要,就委員會行使其職 能和權力獲取法律及/或專業意 見或服務。
- To monitor trade and community response to the EAA regulations and policies and, on such basis, recommend appropriate actions to the Board and/ or the standing committees for consideration.
- To perform such other tasks as the Board may 9. from time to time delegate.
- 10. To obtain legal and/or expert advice or service relating to the exercise of the Committee's functions and powers as and when the Committee considers necessary.

成員(2014	4年4月1日至2014年10月31日):	Membershi	ip (1 April 2014 to 31 October 2014):
主席:	陳韻雲女士,SBS·JP	Chairman:	Ms Vivien CHAN, sbs, JP
成員:	梁永祥先生,BBS·JP	Members:	Mr William LEUNG Wing-cheung, BBS, JP
	葉松茂博士		Dr Saimond IP
	劉詩韻測量師,JP		Sr Serena LAU Sze-wan, JP
	李國麟議員,SBS,JP		Prof the Hon Joseph LEE Kok-long, SBS, JP
	廖玉玲女士,JP		Ms Elaine LIU Yuk-ling, JP
	呂耀華先生		Mr Alexander LUI Yiu-wah
	伍景華先生		Mr NG King-wah
	黃鳳嫺女士		Ms Gilly WONG Fung-han
	吳麗莎女士		Miss Melissa WU
	運輸及房屋局常任秘書長 (房屋)或其代表		Permanent Secretary for Transport & Housing (Housing) or his representative

	成員(2014	<i>年11月1日至2015年3月31日):</i>	Membershi	p (1 November 2014 to 31 March 2015):
Ī	主席:	梁永祥先生,BBS·JP	Chairman:	Mr William LEUNG Wing-cheung, BBS, JP
ĺ	成員:	陳超國先生	Members:	Mr Charles CHAN Chiu-kwok
ĺ		張國鈞先生,JP		Mr Horace CHEUNG Kwok-kwan, JP
		劉振江測量師		Sr LAU Chun-kong
		廖玉玲女士,JP		Ms Elaine LIU Yuk-ling, JP
		黃鳳嫺女士		Ms Gilly WONG Fung-han
		吳麗莎女士		Miss Melissa WU
		余惠偉先生,JP		Mr YU Wai-wai, JP
		運輸及房屋局常任秘書長 (房屋)或其代表		Permanent Secretary for Transport & Housing (Housing) or his representative

附錄一:監管局常設委員會與專責小組

Appendix I: Standing Committees and Working Panel of the EAA

紀律委員會

職權範圍:

- 訂立指引和程序,確保以公平及 貫徹一致的立場,處理紀律個 案。
- 2. 接受、考慮和查究由監管局轉介 至紀律委員會,根據《地產代理 條例》第29[1]條所作的投訴及《地 產代理條例》第29[2]條由行政總 裁作出的呈述,並在考慮該等投 訴和呈述後,進行其認為合適的 研訊。
- 3. 接受及查究涉及持牌地產代理或 營業員的投訴,是否抵觸監管局 不時向業界發出的《操守守則》、 執業通告或指引。
- 4. 審閱監管局根據《地產代理條例》 第28條委任的調查員提交的報告 及建議(經由第28條調查小組轉 介),考慮就涉嫌和指稱觸犯或 沒有遵守《地產代理條例》條文的 個案,進行其認為合適的研訊。
- 5. 按照《地產代理條例》第30條賦予 之紀律制裁權,行使其認為適當 的權力。
- 6. 在牌照上附加委員會認為適當的 條件。
- 7. 視乎情況將委員會審議的不良執 業手法或投訴個案轉交其他委員 會,以便制訂及/或修訂政策、 常規或規例,從而更有效地執行 監管局之職能。
- 8. 如認為需要,就委員會行使其職 能和權力獲取法律及/或專業意 見或服務。

Disciplinary Committee

- 1. To draw up guidelines and procedures to ensure consistency and fairness in handling disciplinary cases
- 2. To receive, consider and inquire into complaints as mentioned in section 29(1) of the Estate Agents Ordinance ("EAO") and submissions by the Chief Executive Officer as mentioned in section 29(2) of the EAO that are referred by the EAA to the Committee, and to conduct such inquiry as the Committee may think fit after having considered such complaints and submissions.
- 3. To receive and inquire into complaints lodged against licensed estate agents or salespersons for breaches of the *Code of Ethics*, Practice Circulars or guidelines issued to the trade from time to time by the EAA.
- 4. To consider the reports and recommendations of the investigator appointed by the EAA under section 28 of the EAO, with referral by the Section 28 Investigation Panel, to look into suspected and alleged breaches or non-compliance of the provisions of the EAO and to conduct such inquiry as the Committee may think fit after having considered such reports and recommendations.
- 5. To exercise any of the disciplinary powers provided under section 30 of the EAO as the Committee considers appropriate.
- 6. To attach to licences such conditions as the Committee may consider appropriate.
- 7. To refer from time to time cases of malpractice or complaints considered by the Committee to other committees for formulation and/or revision of policies, practice or regulations for better discharge of the EAA's functions.
- 8. To obtain legal and/or expert advice or service relating to the exercise of the Committee's functions and powers as and when the Committee considers necessary.

成員(201	4年4月1日至2014年10月31日):	Membershi	ip (1 April 2014 to 31 October 2014):
主席:	廖玉玲女士,JP	Chairman:	
成員:	陳超國先生	Members:	Mr Charles CHAN Chiu-kwok
	鄒廣榮教授		Professor CHAU Kwong-wing
	張國鈞先生,JP		Mr Horace CHEUNG Kwok-kwan, JP
	鍾詠雪女士		Ms Cynthia CHUNG Wing-suet
	葉松茂博士		Dr Saimond IP
	郭昶先生	1	Mr Anthony KWOK Chong
	劉振江測量師		Sr LAU Chun-kong
	李景亮先生		Mr LEE King-leong
	劉哲寧先生		Mr LIU Che-ning
	呂耀華先生		Mr Alexander LUI Yiu-wah
	吳麗莎女士		Miss Melissa WU
	余惠偉先生,」P		Mr YU Wai-wai, JP
委任成員	:	Board-appo	ointed Members:
	陳少棠先生,MH		Mr CHAN Siu-tong, мн
	陳東岳先生		Mr Tony CHAN Tung-ngok
	周富祥先生,PDSM		Mr Sidney CHAU Foo-cheong, розм
	張麗珍女士		Ms Winnie CHEUNG Lai-chun
	朱樂生先生		Mr Antonio CHU Lok-sang
	姚定國先生		Mr IU Ting-kwok
	江玉歡女士		Ms Doreen KONG Yuk-foon
	林文娟女士		Ms Phyllis M.K. LAM
	梁家駒先生		Mr Johnny LEUNG Ka-kui
	謝順禮先生		Mr Calvin TSE Shun-lai
	汪敦敬先生		Mr Lawrance WONG Dun-king
	黃燦光先生,OBE ·QPM ·CPM		Mr WONG Tsan-kwong, ове, арм, срм

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成員(2014	4年11月1日至2015年3月31日):	Membershi	ip (1 November 2014 to 31 March 2015):
主席:	廖玉玲女士,JP	Chairman:	Ms Elaine LIU Yuk-ling, JP
成員:	羅孔君女士	Members:	Ms Jane Curzon LO
	蕭澤宇先生,BBS·JP		Mr Simon SIU Chak-yu, ввѕ, лр
	謝順禮先生		Mr Calvin TSE Shun-lai
	徐若婷女士		Ms Maggie TSUI Yeuk-ting
	汪敦敬先生		Mr Lawrance WONG Dun-king
	黃光耀先生		Mr Ricky WONG Kwong-yiu
	吳麗莎女士		Miss Melissa WU
	余雅芳女士		Ms Avon YUE Nga-fong
委任成員	:	Board-appo	inted Members:
	陳東岳先生		Mr Tony CHAN Tung-ngok
	張麗珍女士		Ms Winnie CHEUNG Lai-chun
	江玉歡女士		Ms Doreen KONG Yuk-foon
	郭昶先生		Mr Anthony KWOK Chong
	黎斯維先生		Mr Alex LAI Sze-wai
	李曉華女士		Ms Sylvia LEE
	廖志明先生		Mr LIU Chi-ming
	葉慕貞女士		Ms Jessica YIP Mo-ching

牌照委員會

職權範圍:

研究及建議地產代理及營業員之 發牌規定。

J.

- 研究及建議豁免某類人士發牌規 定的準則。
- 指示監管局行政部門處理牌照/ 營業詳情説明書的申請,並向符 合發牌條件的申請人發出或續發 有關牌照/營業詳情説明書。
- 審閱提交予委員會之牌照/營業 詳情説明書申請,若認為適當, 可批准或拒絕申請。
- 行使及執行《地產代理條例》第 17、23、24、25及27條及《地產代 理(發牌)規例》第9條訂明監管局 的任何職能和權力。
- 6 制定有關發牌事項的政策。
- 檢討及建議牌照費用及監管局各 類服務之收費幅度。
- 研究及設計與發牌事項有關的表 格及文件。
- 如認為需要,就委員會行使其職 能和權力獲取法律及/或專業意 見或服務。

Licensing Committee

- To consider and recommend licensing requirements for estate agents and salespersons.
- 2. To consider and recommend the criteria for exemption from the licensing requirements for any particular class of persons.
- To instruct the EAA Administration to process applications for licences/statements of particulars of business (SPOBs) and to grant or renew such licences/SPOBs to applicants meeting the licensing requirements.
- To consider and if thought appropriate, to approve or refuse applications for licences/SPOBs brought before the Committee
- To exercise and perform any and such of the EAA's functions and powers under sections 17, 23, 24, 25 and 27 of the Estate Agents Ordinance and section 9 of the Estate Agents (Licensing) Regulation.
- To set policies relating to licensing matters.
- To review and make recommendation on the scale 7. of licence fees and charges for services provided by the EAA.
- To consider and design the relevant forms and related documents pertaining to licensing matters.
- To obtain legal and/or expert advice or service relating to the exercise of the Committee's functions and powers as and when the Committee considers necessary.

附錄一:監管局常設委員會與專責小組 Appendix I: Standing Committees and Working Panel of the EAA

成員(2014	4年4月1日至2014年10月31日):	Membershi	ip (1 April 2014 to 31 October 2014):
主席:	劉詩韻測量師,JP	Chairman:	Sr Serena LAU Sze-wan, JP
成員:	鄒廣榮教授	Members:	Professor CHAU Kwong-wing
	張國鈞先生,JP		Mr Horace CHEUNG Kwok-kwan, JP
	葉松茂博士		Dr Saimond IP
	劉振江測量師		Sr LAU Chun-kong
	李國麟議員,SBS·JP		Prof the Hon Joseph LEE Kok-long, SBS, JP
委任成員	:	Board-appo	inted Members:
	譚秀娥女士(消費者 委員會代表)		Miss Vera TAM Sau-ngor (representative of Consumer Council)
	余家旗先生		Mr Alex YU Ka-ki
15 (
成員(2014	4 年11月1日至2015年3月31日):	Membershi	ip (1 November 2014 to 31 March 2015):
主席:	劉振江測量師	Chairman:	Sr LAU Chun-kong
成員:	鄒廣榮教授	Members:	Professor CHAU Kwong-wing
	羅孔君女士		Ms Jane Curzon LO
	謝順禮先生		Mr Calvin TSE Shun-lai
	徐若婷女士		Ms Maggie TSUI Yeuk-ting
	黃光耀先生		Mr Ricky WONG Kwong-yiu
	余雅芳女士		Ms Avon YUE Nga-fong
委任成員	:	Board-appo	inted Members:
	張玉雲女士(消費者 委員會代表)		Ms Winnie CHEUNG Yuk-wan (representative of Consumer Council)
			N4 1 111 01 : :
	廖志明先生		Mr LIU Chi-ming

執業及考試委員會

職權範圍:

制訂、檢討及修訂操守守則,規 管地產代理行業的操守及執業方

4

- 檢討《地產代理條例》所載有關地 產代理的執業及運作的規例,並 就此提供建議。
- 不時考慮及檢討地產代理行業的 執業手法,並制訂或研究關於地 產代理工作的執業通告或指引。
- 監察業界遵行《地產代理條例》及 其附屬法例、《操守守則》、執業 通告或其他指引的情况; 並聯絡 業界,共同研究提升執業水準及 服務質素的方法。
- 制訂地產代理和營業員資格考試 的範圍及費用。
- 為資格考試的執行工作制訂準 則。
- 監督資格考試的試題設定與調 整、考生違反考試規則的懲處決 定,並就此向監管局行政部門發 出指引。
- 檢討及釐定資格考試及其各個部 分(如適用)的合格分數和優異分 數。
- 如認為需要,就委員會行使其職 能和權力獲取法律及/或專業意 見或服務。

Practice and Examination Committee

- To draw up, review and revise code(s) of ethics governing the conduct and practice of the estate agency trade.
- To review and make recommendation on the regulations under the EAO relating to the practice and operation of estate agents.
- 3. To consider and review practices within the trade and prepare or consider Practice Circulars or other guidelines on various aspects of estate agency work from time to time.
- To monitor compliance of the EAO and its subsidiary legislations, code(s) of ethics, Practice Circulars or other guidelines; and to liaise with the trade on ways to improve the standard of practice and quality of service.
- 5. To determine the syllabi and fees for the qualifying examinations for estate agents and salespersons.
- To set the parameters for the administration of 6. the qualifying examinations.
- To oversee and give direction to the EAA 7. Administration in the setting and moderation of examination questions and determination of penalties for breaches of examination regulations by candidates.
- To review and determine the pass marks and commendation marks for the qualifying examinations and, where appropriate, those for each part thereof.
- To obtain legal and/or expert advice or service relating to the exercise of the Committee's functions and powers as and when the Committee considers necessary.

附錄一:監管局常設委員會與專責小組 Appendix I: Standing Committees and Working Panel of the EAA

成員(2014	<i>4年4月1日至2014年10月31日)</i> :	Membershi	p (1 April 2014 to 31 October 2014):
主席:	梁永祥先生,BBS·JP	Chairman:	Mr William LEUNG Wing-cheung, BBS, JP
副主席:	黃鳳嫺女士	Vice-chairmar	n: Ms Gilly WONG Fung-han
成員:	陳超國先生	Members:	Mr Charles CHAN Chiu-kwok
	鄒廣榮教授		Professor CHAU Kwong-wing
	鍾詠雪女士		Ms Cynthia CHUNG Wing-suet
	郭昶先生		Mr Anthony KWOK Chong
	李景亮先生		Mr LEE King-leong
	伍景華先生		Mr NG King-wah
	余惠偉先生,JP		Mr YU Wai-wai, JP
	運輸及房屋局常任秘書長 (房屋)或其代表		Permanent Secretary for Transport & Housing (Housing) or his representative
委任成員	:	Board-appo	inted Members:
	傅德華先生		Mr FU Tak-wah
	吳芝萍女士		Ms Jasmine NG Chi-ping
	黃靜怡女士		Miss Angela WONG Ching-yi
	汪敦敬先生		Mr Lawrance WONG Dun-king
	黃錦昌博士		Ir Dr Stanley K.C. WONG

成員(2014	4年11月1日至2015年3月31日):	Membership	o (1 November 2014 to 31 March 2015):
主席:	張國鈞先生,JP	Chairman:	Mr Horace CHEUNG Kwok-kwan, JP
副主席:	黃鳳嫺女士	Vice-chairmar	n: Ms Gilly WONG Fung-han
成員:	陳超國先生	Members:	Mr Charles CHAN Chiu-kwok
	鄒廣榮教授		Professor CHAU Kwong-wing
	劉哲寧先生		Mr LIU Che-ning
	羅孔君女士		Ms Jane Curzon LO
	蕭澤宇先生,BBS,JP		Mr Simon SIU Chak-yu, BBS, JP
	謝順禮先生		Mr Calvin TSE Shun-lai
	汪敦敬先生		Mr Lawrance WONG Dun-king
	黃光耀先生		Mr Ricky WONG Kwong-yiu
	余雅芳女士		Ms Avon YUE Nga-fong
	運輸及房屋局常任秘書長 (房屋)或其代表		Permanent Secretary for Transport & Housing (Housing) or his representative
委任成員	:	Board-appo	inted Members:
	陳永傑先生		Mr Louis CHAN Wing-kit
	李志成先生		Mr Richard LEE Chi-shing
	李景亮先生		Mr LEE King-leong

附錄一:監管局常設委員會與專責小組

Appendix I: Standing Committees and Working Panel of the EAA

專業發展委員會

職權範圍:

- 研究業界的培訓需要,並設計合 適的培訓課程,以提升持牌人的 執業水平。
- 2. 監督「持續專業進修計劃」的執行,包括:
 - a. 定期檢討計劃的重點、範疇 和要求;
 - b. 訂立分配核心及非核心科目 活動的指引;
 - c. 審批持續專業進修活動的主 辦機構及評估持續專業進修 活動;
 - d. 將其他專業界別和行業的合 適持續專業進修活動納入監 管局的持續專業進修計劃:
 - e. 監察持續專業進修計劃的成效,並向監管局董事局提交 適當建議。
- 就專業交流活動提供意見,並監察地產代理業內專業資格互認計劃的執行。
- 4. 如認為需要,就委員會正確履行 及行使其職能和權力獲取這方面 的法律及/或專業意見。

Professional Development Committee

- 1. To examine the training needs and design appropriate training programmes to raise the competence of licensees.
- To oversee the implementation of the Continuing Professional Development ("CPD") Scheme including:
 - a. conducting periodic reviews on its focus, scope and requirements;
 - determining guidelines for assigning core and non-core activities;
 - c. approving CPD activity providers and evaluating CPD activities;
 - adopting appropriate CPD activities of other professions and trades into the CPD Scheme of the EAA; and
 - e. monitoring the effectiveness of the CPD Scheme and making recommendations to the Board as appropriate.
- 3. To advise on professional exchange activities and monitor the administration of scheme(s) relating to reciprocal recognition of professional qualifications for the estate agency trade.
- 4. To obtain such legal and/or expert advice as the Committee may consider necessary for or in relation to the proper discharge and exercise of the Committee's functions and powers.

成員(2014	4年4月1日至2014年10月31日):	Membershi	ip (1 April 2014 to 31 October 2014):
主席:	伍景華先生 	Chairman:	Mr NG King-wah
成員:	張國鈞先生,JP	Members:	Mr Horace CHEUNG Kwok-kwan, JP
	郭昶先生		Mr Anthony KWOK Chong
	李景亮先生		Mr LEE King-leong
	劉哲寧先生		Mr LIU Che-ning
	余惠偉先生,JP		Mr YU Wai-wai, JP
	運輸及房屋局常任秘書長 (房屋)或其代表		Permanent Secretary for Transport & Housing (Housing) or his representative
委任成員	(:	Board-appo	inted Members:
	李子華先生		Mr LEE Chi-wah
	廖志明先生		Mr LIU Chi-ming
	楊彩鳳女士		Miss Caroline YEUNG Choi-fung
	袁海星博士		Dr Horace YUEN Hoi-sing
	職業訓練局代表		Representative of the Vocational Training Council
成員(201	4年11月1日至2015年3月31日):	Membersh	ip (1 November 2014 to 31 March 2015):
主席:	余惠偉先生,JP	Chairman:	Mr YU Wai-wai, JP
成員:	劉哲寧先生	Members:	Mr LIU Che-ning
	蕭澤宇先生,BBS·JP		Mr Simon SIU Chak-yu, BBS, JP
	徐若婷女士		Ms Maggie TSUI Yeuk-ting
	汪敦敬先生		Mr Lawrance WONG Dun-king
	運輸及房屋局常任秘書長 (房屋)或其代表		Permanent Secretary for Transport and Housing (Housing) or his representative
委任成員	:	Board-app	ointed Members:
	郭昶先生		Mr Anthony KWOK Chong
	李子華先生		Mr LEE Chi-wah
	黃靜怡女士		Ms Angela WONG Ching-yi
	袁海星博士		Dr Horace YUEN Hoi-sing
	職業訓練局代表		Representative of the Vocational Training Council

附錄一:監管局常設委員會與專責小組

Appendix I: Standing Committees and Working Panel of the EAA

第28條調查小組1

Section 28 Investigation Panel¹

職權範圍:

- 就如何選取需要根據《地產代理 條例》第28條展開調查的個案制 定指引和程序。
- 2. 監督根據《地產代理條例》第28條 進行的調查,確保調查工作符合 法例規定。
- 3. 接受和考慮監管局行政部門就其認為有需要根據《地產代理條例》第28條進行調查的懷疑或涉嫌違反或沒有遵守《地產代理條例》的規定或其他條文的個案所呈交的報告和建議。
- 4. 根據《地產代理條例》第28條委任 調查員,展開小組認為有需要的 調查及執行其認為有需要的職 務。
- 5. 接受和考慮根據《地產代理條例》 第28條小組委任的調查員所提交 的報告和建議。
- 6. 如調查員建議小組該考慮行使 《地產代理條例》第30條所訂明的 紀律處分的權力,則將有關個案 轉交紀律委員會處理。
- 7. 如認為需要,就行使《地產代理條例》第28條所訂明的監管局職能和權力獲取法律及/或專業意見或服務。
- 8. 行使及執行《地產代理條例》第28 條所訂明的監管局職能和權力。

- 1. To formulate guidelines for and procedures on the selection of cases for investigation under section 28 of the EAO.
- 2. To oversee the conduct of investigation under section 28 of the EAO to ensure its full compliance.
- 3. To receive and consider reports and recommendations from the EAA Administration on suspected or alleged cases of breaches or non-compliance of a requirement(s) or other provision(s) of the EAO warranting investigation under section 28 of the EAO.
- 4. To appoint investigator(s) under section 28 of the EAO to conduct such investigation and carry out such duties as the Panel considers necessary.
- 5. To receive and consider the reports and recommendations from the investigator appointed by the Panel under section 28 of the EAO.
- 6. Where the investigator recommends to the Panel that the exercise of disciplinary powers under section 30 of the EAO should be considered, to refer the case to the Disciplinary Committee for its consideration.
- 7. To obtain legal and/or expert advice or service relating to the exercise of the EAA's functions and powers as prescribed by section 28 of the EAO as and when the Panel considers necessary.
- 8. To exercise and perform any and such of the EAA's functions and powers as prescribed by section 28 of the EAO.

不屬常設委員會,僅在需要時召開會議

Not a standing committee, meet as and when needed

4月1日至2014年10月31日):	Membershi	ip (1 April 2014 to 31 October 2014):
劉詩韻測量師,JP	Chairman:	Sr Serena LAU Sze-wan, JP
李國麟議員,SBS·JP	Members:	Prof the Hon Joseph LEE Kok-long, SBS, JP
伍景華先生		Mr NG King-wah
·11月1日至2015年3月31日):	Membershi	ip (1 November 2014 to 31 March 2015):
陳超國先生	Chairman:	Mr Charles CHAN Chiu-kwok
劉哲寧先生	Members:	Mr LIU Che-ning
余惠偉先生,JP		Mr YU Wai-wai, JP
	李國麟議員,SBS·JP 伍景華先生 (11月1日至2015年3月31日): 陳超國先生 劉哲寧先生	劉詩韻測量師,JP Chairman: 李國麟議員,SBS·JP Members: 伍景華先生 11月1日至2015年3月31日): Membershi 陳超國先生 Chairman: 劉哲寧先生 Members:

附錄二:2014/15年度行政部門服務達標率

Appendix II: Achievement of the Administration's Performance Standards 2014/15

查詢 Enquiries				
服務類別 Service type		指標 Standard		達標率 Results
回覆查詢	Response to enquiries			
• 電話查詢 (留言信息)	 Telephone enquiries (voice mail messages) 	• 1個工作天內 ¹	Within 1 working day ¹	99.99%
• 書面查詢	Written enquiries	 7個工作天內² 	• Within 7 working days ²	100%

資格考試 Qualifying	g Examinations			
服務類別 Service type		指標 Standard		達標率 Results
發出成績 通知單 ³	Issue result slips³	考試後的14個 工作天內	Within 14 working days after the examination	100%

牌照 Licensing				
服務類別 Service type		指標 Standard		達標率 Results
處理新牌照申請	Process new licence applications	收到新申請後的 10個工作天內4	Within 10 working days for new applications ⁴	99.80%
處理續牌申請	Process renewal licence applications	收到續牌申請後 的20個工作天內	Within 20 working days for renewal applications	99.98%
退款予不獲發 牌照或取消牌照 申請的申請人	Refund of application fees for rejected/cancelled applications	10個工作天內5	Within 10 working days ⁵	100%

- 監管局的工作天為星期一至五。
- 2 收到查詢後下一個工作天開始計算。
- 監管局委託香港考試及評核局舉辦資格考試。 考試的成績通知單由香港考試及評核局發出。
- 4 由監管局收妥牌照申請、所需費用及文件之下 一個工作天起計,至發出牌照/營業詳情説明 (即牌照可供領取之日)為止。如牌照申請須交 由監管局牌照委員會考慮申請人是否符合法定 的「適當人選」標準及其他發牌要求,此時, 標則不適用。監管局處確產管理。 時請人或第三者(例如破產管理署後,才可以決 定批准或拒絕申請。
- 5 由取消或拒絕申請之下一個工作天起計;如屬 破產個案,則由收到破產管理署或信託人指示 之下一個工作天起計。

- The EAA's working days are from Monday to Friday.
- From the next working day following receipt of the enquiry.
- ³ Issued by the Hong Kong Examinations and Assessment Authority, authorised by the EAA to administer the examinations.
- From the next day following the receipt of an application, the required fee and documents to the day the licence/statement of particulars of business is issued (i.e. the day the licence is available for collection). This service target does not apply to applications which require the EAA Licensing Committee to determine whether the applicant fulfills the "fit and proper" requirement and other licensing requirements as prescribed under the EAO. A longer duration is needed for such cases for the EAA to make enquiries and for the applicant or any third party (such as the Official Receiver's Office, trustees-in-bankruptcy or the Police) to respond before the EAA approves or rejects the application.
- From the next day after an application is cancelled or rejected; for bankruptcy cases, from the next day following the receipt of instructions from the Official Receiver's Office or the trustee-in-bankruptcy.

投訴及執法				
	and Enforcement			
服務類別 Service type		指標 Standard		達標率 Results
確認收到投訴人 的書面投訴	Acknowledge receipt of written complaints	5個工作天內	Within 5 working days	100%
收到足夠證明 文件後向投訴人 作出書面回覆	Provide a written response to complainants upon receipt of sufficient supporting documents	15個工作天內	Within 15 working days	100%
行動部完成調查違 Complete investigat	規個案 ⁶ : ion of non-compliance cases	by the Operations Divis	sion ⁶ :	
• 快速個案 (紀律處分新 計劃下,不牽涉 證人並只涉及 八項指明違規 事項的個案)	• Fast Track Cases (Cases involving no witnesses and concerning allegation(s) of the Eight Specified Breaches under the Nev Scheme for Disciplinary Cases only)	V	Within 3 calendar months	100%
• 普通個案 (非快速個案 並只涉及 不多於2項 指稱的個案)	 Normal Cases (Cases other than Fast Track Cases concerning not more than 2 allegations) 	6個月內	Within 6 calendar months	不適用 N/A
• 複雜個案 (除快速個案及 普通個案 以外的個案)	Complex Cases (Cases other than Fast track cases and Normal Cases)	9個月內	Within 9 calendar months	不適用 N/A
通知投訴人調查 結果	Notify complainants of the outcome of the case	10個工作天內	Within 10 working days	99.29%
通知被投訴人 (持牌人)調查 結果	Notify complainees (licensees) of the outcome of the case	10個工作天內	Within 10 working days	99.70%

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此新的服務承諾適用於2014年11月24日或之後 接獲的投訴及當日或之後發現的違規個案。因 此截至2015年3月31日之普通個案及複雜個案, 並未能計算其達標率。

This performance pledge was introduced on 24 November 2014 and is applicable to complaint cases received or non-compliance cases detected on or after 24 November 2014. For Normal and Complex Cases, it cannot be measured as at 31 March 2015 yet.

附錄二:2014/15年度行政部門服務達標率

Appendix II: Achievement of the Administration's

Performance Standards 2014/15

紀律研訊 Disciplinar	y Proceedings			
服務類別 Service type		指標 Standard		達標率 Results
舉行首次 紀律研訊	Conduct the first disciplinary inquiry hearing of a case	完成調查後的 90個工作天內	Within 90 working days after completion of investigation	98.01%

持續專業進修 Continuing Professional Development ("CPD")				
服務類別 Service type		指標 Standard		達標率 Results
完成處理持續 專業進修活動 認可的申請	Process applications for endorsement of CPD activities	20個工作天內	Within 20 working days	100%
發出「出席證書」 予參加監管局 舉辦的持續 專業進修活動 的持牌人	Issue certificates of attendance for EAA-organised CPD activities	30個工作天內	Within 30 working days	100%

