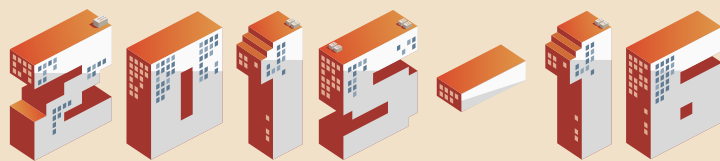
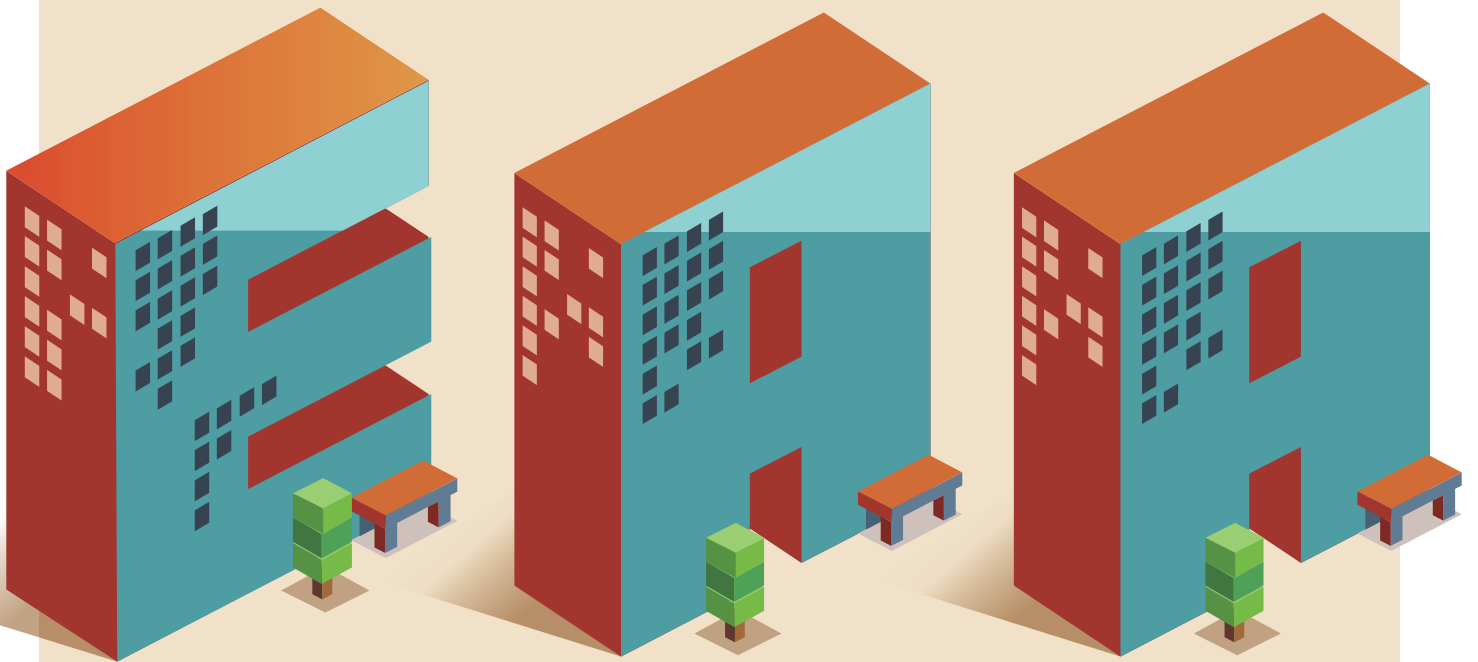


地產代理監管局  
ESTATE AGENTS AUTHORITY



年報 ANNUAL REPORT









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# 主要統計數字一覽

## Key Figures at a Glance

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牌照和營業詳情說明書數目  
(截至2016年3月31日)  
Number of Licences and Statements of  
Particulars of Business (as at 31/3/2016)



考生人數 (2015/16年度)  
Number of Examination  
Candidates (2015/16)



投訴個案 (2015/16年度)  
Number of Complaint Cases (2015/16)



\* 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，以及由投訴部及執行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 Complaints and Enforcement Sections.

巡查次數 (2015/16年度)  
Number of Compliance Inspections (2015/16)



\* 包括樓盤所在處、樓盤銷售處及其附近。

\* Includes the development sites, sales offices and vicinity areas.

被暫時吊銷 / 撤銷的牌照數目 (2015/16年度)  
Number of Licences Suspended/ Revoked (2015/16)



持續專業進修活動的參與人次 (2015/16年度)  
Number of Enrolments in Continuing Professional  
Development Activities (2015/16)





# 機構簡介

## Corporate Profile

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### 關於我們

#### About Us

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地產代理監管局(「監管局」)是於1997年11月根據《地產代理條例》而成立的法定機構，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.





# 願景與使命

## Vision & Mission



### 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

“ 不論市況如何，監管局將繼續提升業界的專業水平及誠信，令地產代理服務的用家獲得更佳保障。

Regardless of what the market sentiment is, the EAA will continue to upgrade the trade's professionalism and integrity so that users of estate agents' services will be better protected. ”

主席

梁永祥 太平紳士，SBS

Chairman

*William*

LEUNG Wing-cheung, SBS, JP





# 主席的話

## Chairman's Message

### 市況不穩 迅速行動

對於地產代理業界來說，2015/16無疑是困難的一年，充滿不利因素。成交數字低迷，對業界及持牌人的生計造成深遠的影響。

在這顛簸的路途上，我們明白業界的競爭越趨激烈及部分持牌人因而面對前所未有的巨大壓力。在這種充滿挑戰的環境下，監管局必須時刻保持警覺，積極及迅速地行動，盡力遏止及預防從業員做出任何的違規行為。

### 多管齊下 加緊積極

持牌人在物業交易的過程中擔當着重要的角色。而監管局的職責就是要好好監察他們的執業手法，確保他們守法循規。

年內，監管局致力從各方面監察地產代理的執業。除了加強巡查傳媒焦點所在的一手樓盤銷售點外，鑑於網上推廣活動漸趨盛行、有時甚至過於便利，我們的團隊也積極抽查網上物業廣告，及密切監察網上物業平台的情況。

我們關注到有關持牌人的投訴個案最近有所增加，情況讓人憂慮。投訴數字的上升，可能與持牌人因為要追求銷售成績而承受沉重壓力有密切關係。我們未能查證，究竟這些壓力是源於持牌人本身、地產代理公司的管理層，抑或兩者俱有。無論如何，我們會密切留意業界的執業情況，並在需要時採取行動，以減少因不恰當的管理模式而導致員工作出違規行為。

### A turbulent year that requires swift action

It is undeniable that 2015/16 was a turbulent year for the estate agency trade, with low transaction figures creating a far-reaching impact on the trade and the livelihood of our licensees.

We appreciate the fierce competition among the trade on this bumpy road and the consequential enormous pressure faced by some licensees. In this challenging environment, the EAA must stay proactive, remain vigilant and act swiftly to deter and prevent as much as possible any non-compliance acts by practitioners.

### Stepping up our efforts on multiple fronts

Our licensees play an important role in the process of property transaction and it is the EAA's duty to monitor their practices and ensure their compliance of the regulations.

During the year, the EAA reinforced its efforts on monitoring estate agents' practices on multiple fronts. In addition to inspecting the first-sale sites which have been under the media spotlight, our team also stepped up cyber patrols to closely monitor online property advertisements and online property portals as online promotion has become more popular and sometimes too convenient.

The recent rise in complaint cases against licensees is worrying. We are concerned that licensees are suffering from tremendous pressure in producing sales results and we suspect that the number of complaints may be closely linked to sales pressure. What we have not ascertained is whether the pressure comes from the licensees themselves or is originated by the management of estate agency companies or both. We will watch the practices of our licensees closely and, if necessary, take actions to discourage undue management practices that cause malpractices of their employees.



監管局作為一個監管機構，執法無疑是主要責任之一。然而，要成就一個持續備受尊重的專業，業界自律是不可或缺的。因此，我們會繼續致力教育業界，以提高他們的專業水平和意識。

舉例我們今年推出了一本新小冊子，透過闡述真實的研訊個案，教導業界在處理一手銷售交易時，應遵守的相關指引及道德操守。

而為鼓勵持牌人參與持續專業進修計劃，監管局繼推出優越嘉許獎章「金章」和「銀章」後，將會推出全新結構性地產代理實務證書課程，務求進一步改進持牌人對規管的知識，好讓他們能在實務上實踐該知識。

此外，監管局也繼續推出多項新構思教育大眾。我們舉辦了兩場分別有關一手住宅銷售及住宅租賃事宜的公開講座。除了推出新的電視廣告外，我們今年還透過全新設計的網站提供豐富的教育資訊，以便公眾及持牌人不論在家中、辦公室，抑或路途上，都能夠輕易獲取所需資訊。

## 自我完善 邁向廿載

踏入2017年，監管局將成為一個20歲的年輕人。我們將繼續提升工作質素，以提供更優質的服務。

局內，監管局一直透過培訓及發展計劃，協助員工發揮潛能。正因如此，監管局憑藉在人力培訓及發展的傑出成績，首次獲僱員再培訓局嘉許為「人才企業」。

While law enforcement is undoubtedly the strongest tool for a regulatory body like the EAA, self-discipline is not to be neglected as it is vital to the sustainability of a respectable profession. In this regard, we continue to optimise our efforts on educating the trade to enhance their awareness and professional standard.

For instance, we published a new booklet this year to educate the trade the relevant guidelines and ethics that they should comply with when handling first-sale transactions, through illustrations of real inquiry hearing cases.

To encourage licensees' participation in the Continuing Professional Development ("CPD") Scheme, after introducing the "Gold" and "Silver" Premium CPD Attainment Symbols, the EAA will soon introduce a new structured CPD programme that will further improve our licensees' regulatory knowledge, as well as equip them with the skills to implement that knowledge in their practice.

On another front, the EAA has also continued to educate the public by a number of new initiatives. We organised two public seminars about first-sale and tenancy matters of residential properties respectively. In addition to a new TV commercial, we also provided a wealth of educational information on our newly redesigned website this year, facilitating members of the public and our licensees to acquire the information they need, no matter if they are at home, in the office, or on the go.

## Approaching 20 years of age

The EAA is a teenager turning to be 20 years of age in 2017. We shall continue to improve on our work quality for the provision of better services.

Internally, the EAA keeps on providing training and development programmes to our staff to help them realise their potential. As a result, for the first time, the EAA has been acknowledged as a "Manpower Developer" by the Employees Retraining Board for outstanding achievements in manpower training and development.



## 主席的話

## Chairman's Message



我們也首次獲香港社會服務聯會頒發「同心展關懷」標誌，表揚我們對社會發展的貢獻，以及對關懷社區、關愛員工及關注環境的承諾。

同時，監管局的兩名員工，成為50位「2015申訴專員嘉許獎」得主中的其中兩人。這是首次有監管局人員基於提供優質客戶服務的傑出表現而獲得表揚。

對於上述的種種讚譽，我們虛心致謝，也鼓勵我們繼續把工作做得更好。

We were also awarded, for the first time again, the “Caring Organisation” logo by the Hong Kong Council of Social Service in recognition of our contribution to social development and commitment to Caring for the Community, Caring for the Employees and Caring for the Environment.

In addition, two EAA staff were among the 50 recipients of “The Ombudsman’s Awards 2015”. This was the first time that EAA officers were commended for their outstanding performance in providing quality customer service.

We are thankful and modest for all the above recognition which has encouraged us to improve our work continuously.



## 準備就緒 迎接未來

去年，監管局一如以往，致力確保為持牌人提供合適的指引及專業培訓。

有如本文開首所述，我們明白2017年也將可能會充滿波動，但監管局滿懷信心，定當堅守追求卓越的承諾。

不論市況如何，監管局將繼續提升業界的專業水平及誠信，令地產代理服務的用戶獲得更佳保障。

## 由衷致謝

最後，本人謹藉此機會，感謝本局全體管理團隊及董事局成員的努力不懈，令監管局運作得以暢順。本人同時歡迎兩位於2015年11月加入董事局的新成員凌潔心女士及吳啟民先生。

本人亦衷心感謝政府及地產代理業界對監管局的不斷鼎力支持，讓本局的各項措施得以順利推行。我期待與各界繼續攜手，一同邁進標誌着監管局成立20周年的2017年。

**梁永祥** 太平紳士，SBS  
主席

## Fasten our seatbelts for the future

Last year, the EAA once again worked hard to ensure that appropriate guidelines and professional training are in place for our licensees.

As mentioned in the very beginning of my message here, we know 2017 will probably be a bumpy ride, but we are confident that the EAA's commitment to excellence will remain.

Regardless of what the market sentiment is, the EAA will continue to upgrade the trade's professionalism and integrity so that users of estate agents' services will be better protected.

## Appreciations

In closing, I would like to take this opportunity to thank all of our dedicated management team and Board members for working relentlessly to ensure the EAA's smooth operation. I also welcome two new Board members, Ms Imma Ling Kit-sum and Mr Ng Kai-man, who newly joined us in November 2015.

My heartfelt appreciation also goes to the Government and the estate agency trade, for their staunch and continuous support, without which the EAA's initiatives could not have been carried out smoothly. I look forward to continuing this journey together in 2017, a year that marks the EAA's 20<sup>th</sup> anniversary.

**William LEUNG Wing-cheung, SBS, JP**  
Chairman

# 行政總裁匯報

## Report of the Chief Executive Officer





“經過多年不斷努力教育消費者後，現今的消費者普遍較以前更加意識到自身權益的重要性，同時也更留意業界的操守。

With years of continuous efforts spent on educating consumers, it is observed that they have become more aware of their own rights and now pay more attention to the trade's conduct. ”

行政總裁

韓婉萍

Chief Executive Officer

*Ruby*

HON Yuen-ping



# 行政總裁匯報

## Report of the Chief Executive Officer

這是本人以地產代理監管局(「監管局」)行政總裁身份發表的任內第三份報告。於2015/16年度，物業市場交投急轉直下，地產代理行業的業務明顯受挫。在市況波動下，監管局會更密切監察業界的執業手法、透過持續培訓提升業界的專業水平，同時加強消費者教育。本人現簡述本局於年內各個方面的工作。

This is the third report I present as the Chief Executive Officer (“CEO”) of the Estate Agents Authority (“EAA”). During the year 2015/16, the property market experienced a deep dive and the business of the estate agency trade was notably affected. Under these volatile market conditions, the EAA was dedicated to monitoring the trade’s practice more closely, promoting the professionalism of the trade through continuous training, and enhancing consumer education. Here I would like to give a brief account of our work on various fronts over the year.

### 市場概況

儘管年內持牌人數目有所上升，物業市場卻大幅下滑。2015/16年度的整體物業交易只有62,438宗，較2014/15年度下跌31%。買賣合約總值亦下跌27%至4,490億元水平，足見業界經歷了艱辛的一年。

### Market overview

The property market experienced a dramatic drop despite a higher number of licensees in the year. The total number of property transactions amounted to 62,438 in 2015/16, which was 31% lower than the figure in 2014/15. The total consideration has also dropped by 27% to around \$449 billion. This has proven to be a hard time for the trade.

縱然如此，截至2016年3月31日，個人牌照的數量較去年同期微升3.6%至37,138個，而參與資格考試的考生人數亦較2014/15年度微升，實際應考地產代理資格考試的人數上升約0.3%，而應考營業員資格考試的人數則上升20.6%。

That said, the number of individual licences has slightly increased to 37,138 as of 31 March 2016, representing a 3.6% increase over that of the previous year, and the overall number of candidates participating in the qualifying examinations also showed a slight increase compared to that in 2014/15. The number of candidates actually sitting the Estate Agents Qualifying Examination has increased by about 0.3%, while an increase of about 20.6% was seen in the case of Salespersons Qualifying Examination.

年內，在持牌人數高企而物業交投數字減少的情況下，不難發現行業競爭激烈。無論如何，即使經營環境面臨百般挑戰，監管局仍會竭盡全力，繼續規管業界的執業及提升其專業水平。

With a higher number of licensees and fewer property transactions during the year, it is not hard to notice that there was severe competition amongst the trade. Nonetheless, the EAA has spared no effort to regulate the trade’s practice and to raise their professional standard, regardless of how challenging the operating environment had been.



## 確保業界守法循規

巡查是監管制度內最為重要的元素之一，尤其是針對競爭激烈的一手住宅銷售。經過多年不斷努力教育消費者後，現今的消費者普遍較以前更加意識到自身權益的重要性，同時也更留意業界的操守。於2015/16年度，監管局對一手樓盤銷售點及地產代理商舖分別進行了1,208次及1,477次巡查，另外就網上物業廣告進行了共607次抽查。巡查期間，監管局更向持牌人講解新執業通告內容及有關地產代理執業的要求。監管局也會透過持續專業進修計劃講座、致持牌人函件，以及與業界進行的定期聯絡會議等，提醒業界遵守新的指引。

為促使地產代理公司管理層更妥善控制其業務及前線代理守法循規，監管局定期發出執業通告及其他指引，以確保持牌人遵守有關要求。監管局於2015/16年度共發出四份執業通告，其中一份是因應有社會聲音懷疑地產代理可能有份催谷一手住宅物業銷售的購樓意向登記數字而發出。

## Ensuring compliance of the trade

One of the important components of a regulatory regime is compliance checking, particularly in one of the keen competition fields of first-sale residential properties. With years of continuous efforts spent on educating consumers, it is observed that they have become more aware of their own rights and now pay more attention to the trade's conduct. In 2015/16, the EAA conducted 1,208 compliance checks at first-sale sites and 1,477 visits at estate agency shops respectively. A total of 607 inspections of online property advertisements were also conducted during the year. During these checks and visits, licensees were also educated on the new practice circulars and the requirements relating to estate agency practice. The trade was reminded to comply with the new guidelines through Continuing Professional Development ("CPD") seminars, Letters to Licensees and regular liaison meetings held with them.

With a view to better facilitating the management of estate agency companies to properly control their business and ensure compliance of frontline agents, the EAA regularly issues practice circulars and other guidelines to make sure licensees comply with the regulatory requirements. In 2015/16, the EAA issued four practice circulars, amongst which was one to deal with the topical issue of estate agents suspected of inflating the number of registrations of intent in the sale of first-hand residential properties.



# 行政總裁匯報

## Report of the Chief Executive Officer

基於公眾關注持牌人若參與一手住宅銷售而又同時遞交有關物業的購樓意向登記，可能導致潛在利益衝突，監管局發出有關申報一手住宅物業銷售中已遞交的購樓意向登記的新執業通告。

這份適時發出的通告列出涉及銷售及/或購買一手住宅的地產代理公司及為其工作的個人持牌人，倘若同時在該些物業的銷售中遞交購樓意向登記時須遵守的指引。

另外，監管局也發出其他方面的執業通告，例如就有關缺席的訂約方須作出妥當的授權、填寫臨時租約和正式租約，以及買賣或租賃泊車位等發出相關指引。

### 努力不懈 提升業界專業水平

2015/16年度，監管局對186宗違規個案作出裁定，共向190名持牌人進行紀律處分。同時，有56個牌照被撤銷，這些被撤銷牌照的個案，是由監管局牌照委員會基於有關持牌人不再符合發牌條件而作出的決定。

In light of the public concern that there could be a potential conflict of interest if licensees who were involved in the sale and/or purchase of first-hand residential properties and who at the same time submit for themselves registrations of intent in the sale and/or purchase of such properties, a new practice circular on declaration of submission of registrations of intent in the sales of first-hand residential properties was issued.

This timely circular sets out guidelines for estate agency companies which were involved in the sale and/or purchase of first-hand residential properties and individual licensees who worked for them to follow when they or members of their staff who were licensees submit for themselves registrations of intent in that sale.

The EAA also issued other practice circulars providing guidelines in other areas such as proper authorisation by absent contracting party, completion of provisional tenancy agreement and tenancy agreement; and sale and purchase or leasing of car parking spaces.

### Continuous efforts in raising professional standards of the trade

In 2015/16, the EAA has adjudicated on 186 non-compliant cases and a total of 190 licensees were disciplined. 56 licences were revoked in the year and these revocations were decided by the EAA's Licensing Committee on the ground that their holders no longer meet the licensing requirements.



除對持牌人採取行動外，我們也注重教育持牌人以提升其專業水平。為表揚持牌人積極參與持續專業進修計劃以提升知識，監管局推出持續專業進修計劃優越嘉許獎章「金章」和「銀章」，頒發予分別連續五年和三年達成持續專業進修計劃目標的持牌人。至於全新的結構性地產代理實務證書課程正在籌備當中，並將於2016年稍後時間正式推出。

Apart from taking actions against licensees, we also focus on educating licensees to enhance their professional standard. To recognise licensees' continuous effort in enhancing their knowledge through participation in the CPD Scheme, the EAA introduced the "Gold" and "Silver" Premium CPD Attainment Symbols, which will be presented to those licensees who have respectively achieved the CPD attainment target for a consecutive period of five or three years. A new structured programme for the CPD Scheme is also on the way and will be launched later in 2016.



(左起)監管局規管及法律總監劉淑棻女士、執行總監方安妮女士、行政總裁韓婉萍女士及服務總監張秀成先生。

(From left) EAA Director of Regulatory Affairs & General Counsel Ms Eva Lau, Director of Operations Ms Annie Fonda, Chief Executive Officer Ms Ruby Hon and Director of Services Mr Cavan Cheung.



# 行政總裁匯報

## Report of the Chief Executive Officer

### 與業界及消費者的溝通

與業界保持緊密聯繫，是本局另一件重要工作。監管局年內與業界商會舉行季度聯絡會議，並舉辦聚焦小組會議與不同地區的前線持牌人會面。與業界定期對話，有助持牌人了解監管局新指引及政策背後的理念，並在措施推出之前作好準備。

同樣重要地，監管局繼續與傳媒合作，以提高大眾對監管局的認知。年內，監管局共舉辦了三場新聞發布會、發出了19篇新聞稿，並安排了八個專訪。監管局亦為媒體一共撰寫了48篇文章，藉以推廣消費者相關資訊及介紹監管局的工作。本年度，其中一個大型消費者教育活動主題與租賃事宜有關。為提醒大眾在委託地產代理訂立住宅物業租約時須注意的重要事項，監管局不僅製作新的電視宣傳短片及教育小冊子，還舉辦了公開講座。

除舉辦及參與不同展覽外，監管局本年度亦為消費者教育展開新工作，舉辦了兩場公開講座，分別名為「如何做個精明一手樓買家」及「住宅租賃知多啲」，講座反應熱烈，我們日後將舉辦更多公開講座。

### Communications with the trade and consumers

Our engagement with the trade is another important component of our regulatory work. The EAA continued to hold quarterly liaison meetings with trade associations and met frontline licensees in various districts through focus group meetings during the year. A regular dialogue with the trade helps licensees understand the rationale behind our new guidelines and policies, and prepares them for the eventual introduction of these measures.

Equally important, the EAA continued its efforts through collaborations with the media to raise the public's awareness of the EAA. In the year, the EAA organised three press conferences, issued 19 press releases, and arranged eight feature interviews. A total of 48 articles by the EAA were also contributed to the media to promote consumer related information and the EAA's work. One of the major consumer education campaigns in the year was about tenancy matters. In order to remind the public of the important points-to-note when appointing an estate agency to enter into a tenancy for residential properties, the EAA produced a new Announcement in the Public Interest together with a new education booklet on this theme, and organised a public seminar as well.

As well as holding and participating in exhibitions, the EAA started a new initiative this year on consumer education and organised two public seminars titled "Tips to become a smart purchaser of first-hand residential properties" and "Learn more about the tenancy matters of residential properties" respectively during the year. The feedback was positive and we will continue to organise more public seminars in the future.



## 鳴謝與承諾

回望這年，物業市場表現不濟，對業界及監管局來說，同樣挑戰重重。儘管如此，監管局仍竭力履行職責，繼續保持警覺及靈活多變，以遏止業界違規。本人誠心希望，業界即使面對逆境，仍能保持專業，堅定不移與監管局繼續攜手，為發展地產代理行業成為一個備受社會尊重的專業而努力。面對難關，我們也必可跨過。

一如既往，本人感激董事局、尤其是監管局主席及各位見識廣博的成員的真知灼見和鼎力支持。來年，監管局將迎接成立20周年紀念，在慶祝豐饒成果的同時，監管局與業界也勿忘要繼續力求進步。本局工作成果全賴不辭勞苦的員工，在年內的專心及投入，他們已準備就緒，迎接充滿刺激和挑戰的新一年。

**韓婉萍**  
行政總裁

## Acknowledgements and the EAA's commitment

The property market during the year was not a promising one. The year in review has been challenging both for the trade and the EAA. Notwithstanding, the EAA has discharged its various duties faithfully and will continue to remain vigilant and adapt responsively to the environment to deter any non-compliance in the trade. I wish the trade stays professional and committed, no matter how difficult the times are and together with the EAA develop an estate agency profession worthy of the respect of the community. We shall overcome.

As always, I am grateful for the advice and unfailing support the Board has rendered me, in particular, the EAA Chairman and other learned Members. With the EAA's 20<sup>th</sup> anniversary approaching next year, let us not only celebrate the work it has done but also strive for advancement, both the EAA and the trade. That said, our work could not have been accomplished without our very hard-working staff, who have shown dedication and commitment to their work throughout the year, and are geared up for another exciting yet challenging year to come.

**Ruby HON Yuen-ping**  
Chief Executive Officer



# 監管局成員

## Members of the EAA

### 主席 CHAIRMAN



#### 梁永祥太平紳士，SBS

新鴻基金融有限公司行政總裁

- 僱員再培訓局主席
- 團結香港基金顧問
- 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委員
- 扶貧委員會增補委員(教育、就業和培訓專責小組)

#### Mr William LEUNG Wing-cheung, SBS, JP

Chief Executive Officer,  
Sun Hung Kai Financial Limited

- Chairman, Employees Retraining Board
- Advisor, Our Hong Kong Foundation
- 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

大律師

- 稅務上訴委員會副主席
- 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

#### Ms Elaine LIU Yuk-ling, JP

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





## 成員 MEMBERS



### 陳超國先生

第一太平戴維斯估值及專業顧問  
(大中華區)董事總經理

- 發展局上訴審裁團(建築物)成員
- 律師紀律審裁團成員

### Mr Charles CHAN Chiu-kwok

Managing Director, Savills Valuation and Professional Services (Greater China)

- Member, Appeal Tribunal Panel (Buildings) of Development Bureau
- Member, Solicitors Disciplinary Tribunal Panel



### 鄒廣榮教授

香港大學房地產及建設系  
講座教授及系主任  
香港大學科斯產權研究中心主任

- 自置居所津貼上訴委員會成員 (2011-17)
- 上訴委員會(市區重建局條例)成員 (2013-16)
- 土地及建設諮詢委員會成員 (2015-18)
- 上訴委員會(城市規劃)成員 (2006-12)
- 岩土工程師註冊事務委員會委員 (2008-11)
- 香港測量師學會會長(2009-10)

### Professor CHAU Kwong-wing

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

- Member, Home Purchase Allowance Appeals Committee (2011-17)
- Member, Appeal Board Panel (Urban Renewal Authority Ordinance) (2013-16)
- Member, Land and Development Advisory Committee (2015-18)
- Member, Appeal Board Panel (Town Planning) (2006-12)
- Member, Geotechnical Engineers Registration Committee (2008-11)
- President, Hong Kong Institute of Surveyors (2009-10)



### 張國鈞太平紳士

張國鈞楊煒凱律師事務所合夥人  
香港理工大學兼任客席講師

- 中西區區議會民選議員
- 長遠房屋策略督導委員會委員
- 香港房屋委員會委員
- 香港按揭證券有限公司董事
- 香港會計師公會紀律小組A成員

### Mr Horace CHEUNG Kwok-kwan, JP

Partner, Cheung & Yeung, Solicitors  
Visiting Lecturer (Part-time), The Hong Kong Polytechnic University

- Elected Member, Central & Western District Council
- Member, Long Term Housing Strategy Steering Committee
- Member, Hong Kong Housing Authority
- Director, the Hong Kong Mortgage Corporation Limited
- Member, Disciplinary Panel A of the Hong Kong Institute of Certified Public Accountants



# 監管局成員

## Members of the EAA

### 成員 MEMBERS



#### 劉振江測量師

仲量聯行國際董事

- 香港測量師學會會長(2015-16)
- 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
- 行政上訴委員會成員
- 香港數碼港管理有限公司董事(2015-17)

#### Sr LAU Chun-kong

International Director, Jones Lang LaSalle Limited

- President, Hong Kong Institute of Surveyors (2015-16)
- RICS Asia Valuation Professional Group Board Member
- International Valuation Standards Council Professional Board Member
- Member, Land and Development Advisory Committee
- Member, Administrative Appeals Board
- Director, Hong Kong Cyberport Management Company Limited (2015-17)



#### 凌潔心女士

羅兵咸永道會計師事務所  
前審計合夥人

- 香港教育大學校董會成員兼審計委員會主席
- 醫院管理局廣華醫院及東華三院黃大仙醫院管治委員會成員
- 香港青年協會理事會委員
- 香港青年旅舍協會行政委員會成員
- 香港獨立非執行董事協會法規委員會執行委員
- 僱員補償援助基金管理局成員(2006-12)

#### Ms Imma LING Kit-sum

Retired Assurance Partner,  
PricewaterhouseCoopers

- Council Member and Audit Committee Chairperson, The Education University of Hong Kong
- Hospital Governance Committee Member, Kwong Wah Hospital & TWGHs Wong Tai Sin Hospital, Hospital Authority
- Council Member, The Hong Kong Federation of Youth Groups
- Executive Committee Member, The Hong Kong Youth Hostels Association
- Executive Committee Member of Regulatory Committee, The Hong Kong Independent Non-Executive Director Association
- Board Member, HKSAR Employees Compensation Assistance Fund Board (2006-12)



#### 劉哲寧先生

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

- 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
- 稅務委員會委員
- 香港房屋委員會資助房屋小組委員會成員

#### Mr LIU Che-ning

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

- 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



### 羅孔君太平紳士

大律師

- 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

### Miss Jane Curzon LO, JP

Barrister-at-law

- Member, Accreditation of Academic and Vocational Qualifications Appeal Board
- Adjudicator, Immigration Tribunal
- Vice-chairman, Security and Guarding Services Industry Authority



### 吳啟民先生

世紀 21 香港有限公司行政總裁

- 博愛醫院總理 (1994-95)
- 公益金屋邨籌款委員會聯席主席 (1995-96)

### Mr NG Kai-man

Chief Executive Officer, Century 21 Hong Kong Limited

- Director of Pok Oi Hospital (1994-95)
- Co-chairman of Community Chest Estates for the Chest Committee (1995-96)



### 蕭澤宇太平紳士，BBS

希仕廷律師行合夥人

- 發展局上訴審裁團(建築物)主席
- 環境影響評估上訴委員會主席
- 香港特別行政區護照上訴委員會副主席
- 城市規劃上訴委員會委員
- 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(2007-13)

### Mr Simon SIU Chak-yu, BBS, JP

Partner, Hastings & Co.

- Chairman, Appeal Tribunal Panel (Buildings) of Development Bureau
- 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 (2007-13)



# 監管局成員

## Members of the EAA

### 成員 MEMBERS



#### 謝順禮先生

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

- 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

#### Mr Calvin TSE Shun-lai

CEO, Ka Wai Property Agency Co. Ltd.  
CEO, Ka Hing Properties Co. Ltd.

- 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



#### 汪敦敬先生

祥益地產代理有限公司總裁

- 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

#### Mr Lawrence WONG Dun-king

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



#### 黃鳳嫻女士

消費者委員會總幹事

- 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
- 旅遊業賠償基金管理委員會委員
- 降低食物中鹽和糖委員會成員

#### Ms Gilly WONG Fung-han

Chief Executive, Consumer Council

- 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, Travel Industry Compensation Fund Management Board
- Member, Committee on Reduction of Salt and Sugar in Food



### 黃光耀先生

會德豐有限公司董事  
會德豐地產(香港)有限公司常務董事

- 香港特區政府中央政策組特邀顧問
- 香港考試及評核局香港中學文憑考試應用學習科目委員會增選委員
- 香港綠色建築議會董事會成員及綠建教育委員會副主席
- 香港僱主聯合會副主席
- 英國皇家特許測量師學會資深會員

### Mr Ricky WONG Kwong-yiu

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 of Employers' Federation of Hong Kong
- Fellow Member of Royal Institution of Chartered Surveyors



### 吳麗莎女士

畢馬威香港審計主管合夥人

- 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

### Miss Melissa WU

Head of Audit, KPMG Hong Kong

- 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



### 余惠偉太平紳士

恒基兆業地產有限公司  
地產策劃(一)部總經理

- 香港地產建設商會建築事務委員會委員
- 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)
- 建造業議會零碳天地主席(直至2015年7月31日)

### Mr YU Wai-wai, JP

General Manager (Project Management (1) Department), Henderson Land Development Company Limited

- Member, Construction Sub-Committee, The Real Estate Developers Association of Hong Kong (REDA)
- 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)
- Chairman, Zero Carbon Building, Construction Industry Council (up to 31 July 2015)



# 監管局成員

## Members of the EAA

### 成員 MEMBERS



#### 余雅芳女士

安永諮詢服務有限公司合伙人

- 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
- 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

#### Ms Avon YUE Nga-fong

Partner, Ernst & Young Advisory Services Limited

- Member, Appeal Board Panel (Town Planning)
- Member, Appeal Board on Closure Orders (Immediate Health Hazard)
- Member, Assessment Committee of Exchanges with Taiwan Funding Scheme
- Member, Fisheries Development Loan Fund Advisory Committee

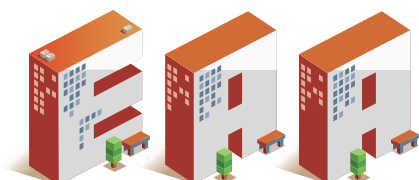


#### 王天予太平紳士

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)

#### Ms Agnes WONG Tin-yu, JP

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



監管局成員定期與行政部門舉行會議。  
Members of the EAA regularly hold meetings with the Administration.



# 活動回顧

## Events & Activities

- 有關「一手住宅物業銷售相關規定及案例」的持續專業進修講座
- CPD seminar on cases about the sale of first-hand residential properties

- 有關申報一手住宅物業銷售中已遞交的購樓意向登記的執業通告(編號 15-03(CR))的記者招待會
- Press Conference on issuing new Practice Circular of Declaration of Submission of Registrations of Intent in the Sales of First-Hand Residential Properties (No. 15-03(CR))



4/2015

5/2015

6/2015

- 有關「住宅物業驗樓及視察指南」及「有問有答 - 工商物業交易」的持續專業進修講座
- CPD seminar on "Guide to Inspection of Residential Properties" and "All You Can Ask – Industrial and Commercial Property Transactions"



- 接待青海省工商行政管理局代表團
- Receiving delegation of Qinghai Province Administration





- 監管局會見傳媒，回顧2015年上半年工作及簡介下半年工作重點
- The EAA meets the press to review its work in the first half of 2015 and introduces its initiatives for the second half



- 監管局參與於油塘舉行的招聘進修博覽
- Participating in a recruitment Expo in Yau Tong



- 有關「守法循規代理安心錦囊 – 監管局處理投訴程序詳釋」的持續專業進修講座
- CPD seminar on "Tips to promote compliance in the trade: Procedures on complaints handling of the EAA"

## 7/2015

## 8/2015

## 9/2015



- 接待法律教育基金有限公司的學生交流團
- Receiving student delegation of Legal Education Fund Limited



- 有關「新執業通告 – 持牌地產代理有效地控制其地產代理業務的責任及申報一手住宅物業銷售中已遞交的購樓意向登記」的持續專業進修講座
- CPD seminar on "New Practice Circular – Duties of Licensed Estate Agents in Ensuring Effective Control of Estate Agency Business and Declaration of Submission of Registrations of Intent in the Sales of First-Hand Residential Properties"



- 於北角舉行「精明置業系列：如何做個精明一手樓買家」公開講座
- Public Seminar on "Tips to become a smart purchaser of First-Hand Residential Properties" held in North Point





# 活動回顧

## Events & Activities



- 監管局的兩名員工獲頒申訴專員嘉許獎
- Two EAA staff receive the Ombudsman's Award



- 消費者小冊子《安心租屋指南》出版
- Consumer booklet "A Guide to Tenancy" published



### 10/2015

### 11/2015

### 12/2015



- 監管局參與「母親的抉擇」「家庭慈善步行日 2015」
- The EAA participates in the "Walkathon 2015" organised by Mother's Choice



- 有關「處理村屋買賣錦囊」的持續專業進修講座
- CPD seminar on "Tips in Handling Sale and Purchase of Village House"

- 有關「前車可鑑 – 深入拆解違規個案」的持續專業進修講座
- CPD seminar on "Lessons to Learn – In-depth Analyses of Non-Compliance Cases"



- 小冊子《地產代理紀律研訊案例選輯 – 一手住宅物業》出版
- Booklet titled "Inquiry Hearing Cases of Estate Agents – A Selection (First-Hand Residential Properties)" published





- 推出全新電視宣傳短片及舉辦相關巡迴展覽
- New Announcement in the Public Interest ("API") launched and tied in with roving exhibitions



- 農曆新年傳媒團拜
- Chinese New Year media luncheon



- 監管局參與於屯門舉行的招聘進修博覽
- Participating in a recruitment Expo in Tuen Mun



- 監管局推出革新網頁
- Revamped EAA website launched

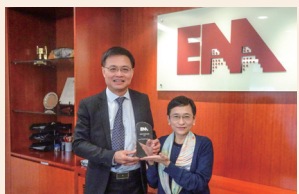
## 1/2016

## 2/2016

## 3/2016



- 監管局會見傳媒，回顧2015年工作及簡介2016年工作重點
- The EAA meets the press to review its work in 2015 and introduces its initiatives for 2016



- 接待新加坡地產代理議會代表團
- Receiving the delegation of the Council for Estate Agencies of Singapore



- 於沙田舉行「精明置業系列：住宅租賃知多啲」公開講座
- Public Seminar on "Learn more about the tenancy matters of residential properties" held in Shatin



- 持續專業進修計劃卓越嘉許獎章設計比賽頒獎典禮
- Prize presentation ceremony of the EAA's Premium CPD Attainment Symbol Design Competition





# 監管局團隊

## The EAA Team

### 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2016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%，2015/16年度的員工流失率為11%。

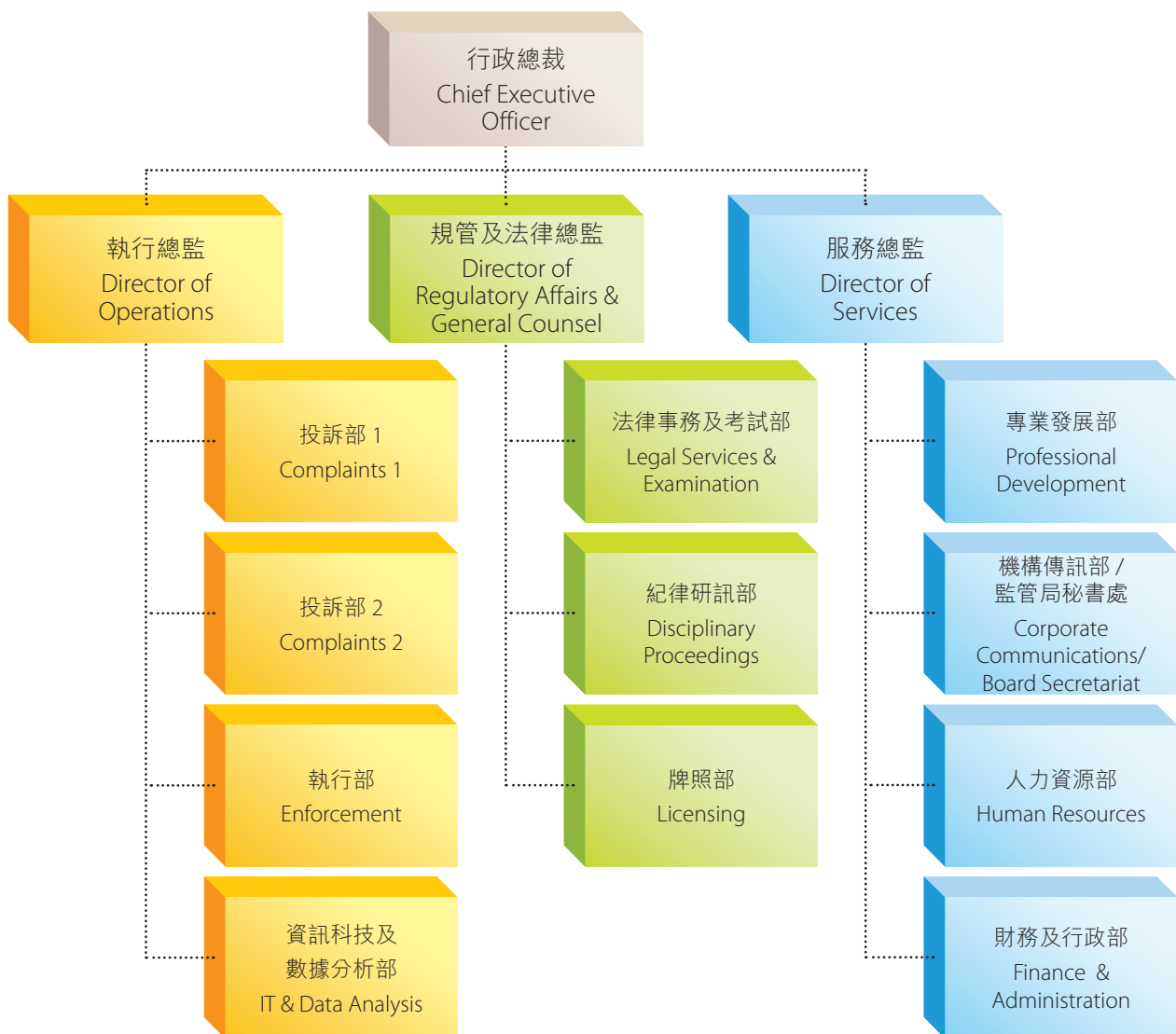
### Organisation and People

#### Staffing

The EAA 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 2016, the staff establishment was 94. The percentage of employees with disabilities was 1%. The staff turnover rate for 2015/16 was 11%.

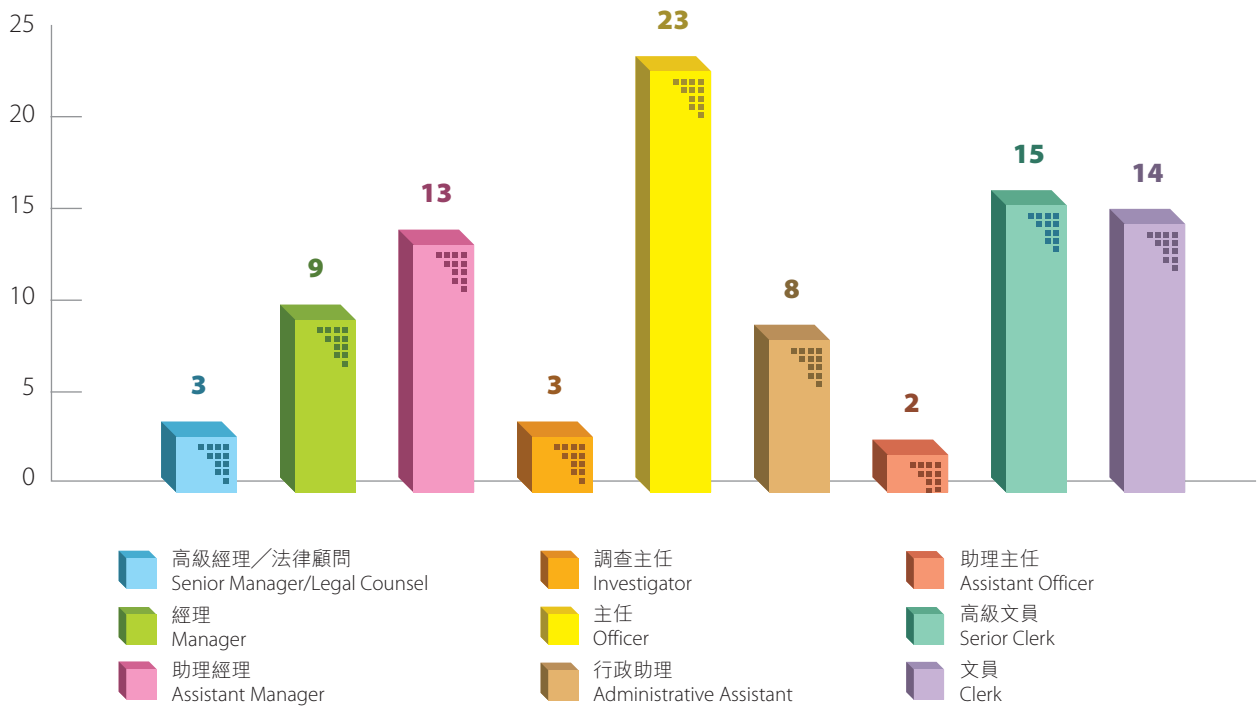
#### 監管局行政部門組織架構圖

#### Organisation chart of the EAA Administration





## 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。2016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 2016 also drew reference from the findings of the pay trend survey.



# 監管局團隊

## The EAA Team

### 本年度行政總裁和總監的薪酬

本年度支付予行政總裁和總監<sup>2</sup>的薪酬<sup>1</sup>如下：

### Remuneration of Chief Executive Officer and Directors during the year

The total remuneration<sup>1</sup> of the Chief Executive Officer and directors<sup>2</sup> during the year was as follows:

|                           | 人數<br>Number of individuals |
|---------------------------|-----------------------------|
| \$1,500,001 - \$2,000,000 | 2                           |
| \$2,000,001 - \$2,500,000 | 0                           |
| \$2,500,001 - \$3,000,000 | 2                           |
| <b>合計 Total</b>           | <b>4</b>                    |

<sup>1</sup> 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)。

<sup>2</sup> 監管局年內共有三位總監級員工，分別為規管及法律總監、執行總監及服務總監。

<sup>1</sup> Total remuneration includes salary, contract-end gratuity and performance-linked pay, if applicable.

<sup>2</sup> There are three directorate staff, namely Director of Regulatory Affairs & General Counsel, Director of Operations and Director of Services.

### 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。作為本局人力資源策略之一，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 are equipped with the necessary competencies to discharge 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 members in order to help them realise their full potential.



年內，為提升員工的自我效益及人際關係技巧，監管局為全體職員舉辦有關九型人格應用於職場上的培訓課程，並為管理人員舉辦自我肯定技巧培訓。

To enhance employees' self-effectiveness and interpersonal skills, training in Enneagram's application to the workplace was organised for all staff, and assertiveness skills for managerial staff during the year.

除上述由局方安排的培訓活動外，監管局亦鼓勵員工積極參加與工作相關的課程，並可獲有關資助。此類培訓活動更新員工的專業知識與技能、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。

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.

## 溝通

## Communication

監管局重視管理層與員工之間的溝通。透過定期舉行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、薪酬調整及架構變化等，使員工知悉監管局內的發展動向，並提供機會讓員工發表意見。監管局每年亦會舉辦一些輕鬆的聚會，如員工旅行及年度派對等，在日常工作以外促進員工溝通。年內，本局亦舉辦了電子聖誕賀卡設計比賽和奇想妙用(Bright Ideas that Work)等內部比賽，讓員工在發揮創意和藝術才能的同時，也為機構的共同利益作出貢獻。

The EAA attaches importance to 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 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, pay adjustment 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 outing and annual party, are organised each year as well to facilitate staff communication outside the daily work routines. Staff contests tapping on their creative and artistic talent while promoting their contribution to the common good of the organisation e.g. e-Christmas Card Competition and Bright Ideas that Work, were held during the year.



# 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，需要全體監管局成員的努力。

監管局內部設有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，並監察相關策略及活動。

### 獎項

監管局獲香港社會服務聯會頒發「同心展關懷」標誌，以表彰本局對社會發展的貢獻，以及對關懷社區、關愛員工及關注環境的承諾。

此外，監管局同時獲僱員再培訓局嘉許為「人才企業」，表揚局方在人才培訓及發展方面的卓越表現。

另外，監管局投訴部的一名助理經理和一名主任獲選為「2015 申訴專員嘉許獎 — 公職人員獎」得獎者，以表揚他們在客戶服務和處理投訴方面的出色表現。這也是首次有監管局員工獲提名參加申訴專員嘉許獎，共有 50 名來自不同公營機構和政府部門的公職人員獲獎。該頒獎典禮於 2015 年 10 月 29 日舉行。

### 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.

### Award

The EAA was awarded the “Caring Organisation” logo by the Hong Kong Council of Social Service in recognition of its contribution to social development and commitment to Caring for the Community, Caring for the Employees and Caring for the Environment.

In addition, the EAA was also acknowledged as a “Manpower Developer” by the Employees Retraining Board for its outstanding achievements in manpower training and development.

Furthermore, an Assistant Manager and an Officer of the EAA’s Complaints Section have been selected as the recipients of “The Ombudsman’s Awards 2015” for “Officers of Public Organisations” in recognition of their exemplary performance in customer service and complaints handling. This was the first time that EAA officers were commended for their outstanding performance in providing quality customer service. There were altogether 50 awardees from various public organisations or Government departments. The presentation ceremony was held on 29 October 2015.





監管局員工榮獲「2015 申訴專員嘉許獎」。  
EAA staff receive The Ombudsman's Awards 2015.



監管局參加由「母親的抉擇」舉辦的「家庭慈善步行日2015」活動。  
The EAA participates in the "Walkathon 2015" organised by Mother's Choice.

## 社區

監管局於2015年11月1日參加由「母親的抉擇」舉辦的「家庭慈善步行日2015」活動。「母親的抉擇」是一個宣揚關愛等待永久家庭的嬰兒及兒童、以及提供協助予意外懷孕的未婚少女及其家人的非牟利慈善機構。

是次步行籌款活動沿寶雲道健步行徑進行，沿路風景優美。參與此次活動的監管局員工及親友共31人。監管局透過是次步行籌款為「母親的抉擇」共籌得92,450元善款。

為鼓勵員工幫助弱勢社群並履行我們的企業社會責任，本局亦參與了由香港公益金(如公益便服日、公益愛牙日、公益行善「折」食日等)及香港紅十字會所舉辦的多項籌款活動，並向香港中華基督教青年會必愛之家捐贈聖誕禮品。

## Community

On 1 November 2015, the EAA participated in the "Walkathon 2015" organised by Mother's Choice, a non-profit organisation that provides and promotes loving, nurturing care for babies and children needing permanent homes, and for single girls and their family facing crisis pregnancies.

The scenic walk was held along Bowen Road Fitness Trail. A total of 31 EAA staff, their families and friends participated in the event. The EAA raised a total of \$92,450 for Mother's Choice through the Walkathon.

To encourage staff to help the underprivileged and fulfil our corporate social responsibility, we also participated in various fund-raising activities organised by the Hong Kong Community Chest (e.g. Dress Casual Day, Love Teeth Day, Skip Lunch Day etc), Hong Kong Red Cross and donated Christmas gifts to the Home of Love of the Chinese YMCA of Hong Kong.



# 監管局團隊

## The EAA Team

### 在職學習機會

#### 暑期實習計劃

我們為修讀與本局的核心職能相關學科的大學生提供暑期實習職位，使他們得以在大學學習生活中增添不同層面的體驗。教學相長，我們的主管亦可從指導年青一代中獲取經驗。

#### 展翅計劃

本局參與由勞工處主辦的展翅計劃，向離校生提供在職學習機會，藉以幫助他們提升職業技能、人際關係和溝通技巧。

### On-the-Job Learning Opportunities

#### Summer Internship Programme

We offered internship placements for university students who were undertaking disciplines of studies that were relevant to the core functions of the EAA during the summer holidays, so that the interns could add another dimension of experience to their undergraduate learning. Our supervisors could also gain experience in coaching the younger generation.

#### Youth Pre-employment Training Programme

We participated in the Youth Pre-employment Training Programme organised by the Labour Department by offering on-the-job learning opportunities to school leavers to brush up their vocational, interpersonal and communication skills.



監管局管理層頒贈證書予暑期實習生。

The management of the EAA presents certificates to the summer interns.



## 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保護方面的表現，以成為一個更為環保的機構。

為保護環境及節約地球資源，監管局把不再使用的辦公室家具、設備(例如電腦和打印機)捐贈予慈善機構循環再用。我們鼓勵員工將資源循環再用，例如紙張、碳粉盒及文儀用品等。

2015年9月，監管局亦參加了由建造業議會及香港綠色建築議會合辦的「『輕•型』上班日」，鼓勵員工以輕便又專業的裝束上班，減少辦公室的冷氣消耗。

## 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 and equipment (e.g. computers and printers) to charitable organisations for recycling. We encouraged staff to recycle usable materials e.g. paper, toner cartridges and stationery.

The EAA also participated in the Biz-Green Dress Day jointly organised by the Construction Industry Council and Hong Kong Green Building Council as a supporting organisation in September 2015. Staff were encouraged to dress light yet professional to save air conditioning consumption in the office.



監管局參與「『輕•型』上班日」，支持節約能源。  
The EAA participates in the Biz-Green Dress Day to support energy saving.

## 健康與安全

本局致力為員工提供健康及安全的工作環境，減低工作風險及推行優化措施。年內，我們對所有員工的個人工作間進行了風險評估，並作出了必要調整，以改善員工的職業安全與健康。

## Health and Safety

We are committed to providing healthy and safe work environments by identifying and reducing work hazards, and developing improvement measures. We conducted risk assessment on work stations for all staff over the year and made the necessary adjustments to individual's work setting to improve staff's occupational safety and health.



# 監管局團隊

## The EAA Team

### 財務

於本年度，監管局錄得990萬元盈餘(相比去年盈餘為980萬元)。監管局在本年度內之總收入為8,320萬元，較上年度增加350萬元或4.3%。監管局年度內之總開支為7,330萬元，較上年度增加330萬元或4.7%。

### 收入

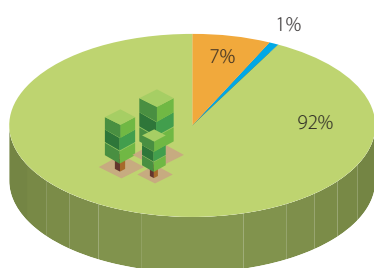
牌照費收入較上年度增加了260萬元或3.6%至7,520萬元，原因主要為年度內持牌人數持續上升。由於報考考試的考生人數增加，考試費收入較上年度增加60萬元或10.1%至650萬元。另因各銀行提高定期存款息率，令利息收入上升至150萬元，較上年度增加30萬元或19.7%。

### Finance

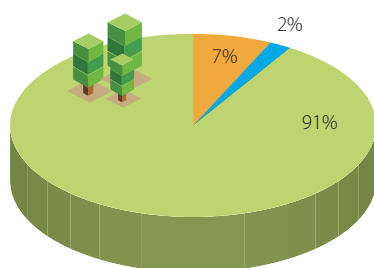
For the year under review, the EAA reported a surplus of \$9.9 million (as compared to a surplus of \$9.8 million last year). Income for the year under review was \$83.2 million, an increase of \$3.5 million or 4.3% over the previous year. Expenditure for the year was \$73.3 million, an increase of \$3.3 million or 4.7% compared to last year.

### Income

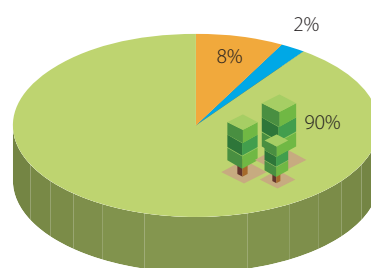
Licence fee income reported at \$75.2 million, an increase of \$2.6 million or 3.6% over the previous year. The increase was mainly due to the continued growth in the number of licensees during the year. Examination fee income reported at \$6.5 million, an increase of \$0.6 million or 10.1% over the previous year, due to the increase in the number of candidates registered for the examination. Interest income reported at \$1.5 million, an increase of \$0.3 million or 19.7% over the previous year, due to higher time deposits interest rates offered by banks.



2013/14



2014/15



2015/16

■ 牌照費 Licence fees

■ 考試費 Examination fees

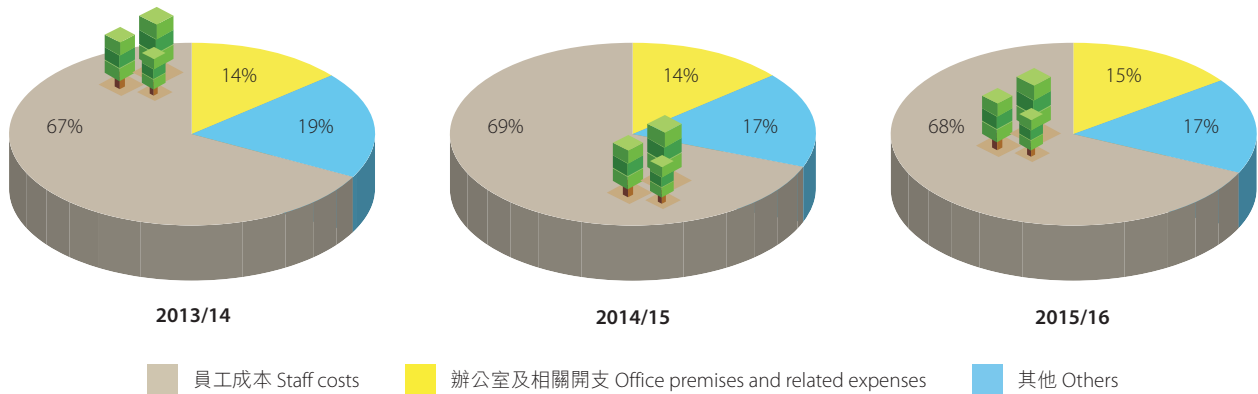
■ 利息收入 Interest income

### 開支

員工成本與辦公室及相關開支為兩大主要支出，分別佔總支出67.8%及14.8%。主要支出增加項目在於員工成本、辦公室及相關開支、折舊、公眾教育支出及考試服務費，而主要支出減少項目則為保險費及專業服務費用。

### Expenditure

Staff costs and office premises and related expenses were two major expenditure items, accounting for about 67.8% and 14.8% of our total expenditures respectively. Items that saw major increases in expenditure were staff costs, office premises and related expenses, depreciation, community education expenses, and service fees for examinations. Items that saw major decreases in expenditure were insurance and professional service fees.



## 資訊科技

自2015年11月起，全新的綜合管理資訊系統已投入運作。該系統旨在透過提供一個綜合資訊科技平台，識別並監察監管局各種職能，包括處理投訴、執法、紀律研訊、專業發展、發牌和機構傳訊之間的相關性，以配合監管局的業務需要。該系統包含九大範疇，使行政部門能夠透過資料擷取、資料分析以及追蹤工作流程及進度以評估並提高工作效率，讓監管局能夠更有效、積極和透明地履行監管職責。該系統亦改善內部工作流程，使管理層得以更有效地監察工作進度。

除主要供內部使用的新資訊系統外，我們還於2016年5月推出其他新電子服務，如網上申請續牌及支付續牌費用。

在推行任何新項目時，克服技術障礙是必須的。監管局全體員工努力適應新系統各種功能帶來的新轉變，以確保系統能快捷有效地運作。

## Information Technology

The new Integrated Management Information System has been in operation since November 2015. The system aimed at meeting the business needs of the EAA by providing an integrated information technology ("IT") platform to identify and monitor the correlation between a spectrum of EAA functions ranging from complaint handling, enforcement, disciplinary proceedings, professional development, licensing and corporate communications. The system containing nine modules would enable the Administration to assess and enhance the effectiveness of its efforts through data mining, data analysis and tracking of workflow and progress such that the EAA could discharge a more effective, responsive and transparent regulatory role. The system also improves the internal workflow and work processes and enables the management to monitor work progress more effectively and efficiently.

Together with the new Information System, which is mainly for internal usage, there are other new E-Services such as online application and payment of licence fees for licence renewal launched in May 2016.

As with the implementation of any new projects, there are technical hurdles to overcome. All EAA staff are working diligently to adapt to the new changes when using the various functions of the system to ensure it is functioning efficiently and effectively.



# 機構管治

# Corporate Governance





# 機構管治

## Corporate Governance

為加強公眾對監管局信心及以持份者的最佳利益為依歸，監管局一直致力保持良好的機構管治，在履行《地產代理條例》下的職責時，維持高度問責制、公信力、公平性和透明度。

In order to foster public confidence in the EAA and for the best interests of its stakeholders, the EAA attaches great importance to achieving high standards of corporate governance and a high level of accountability, credibility, fairness and transparency in discharging its duties under the Estate Agents Ordinance ("EAO").

### 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。

### 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20至26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。

## 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.

### 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 20 to 26.

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 the 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.



# 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。

2015/16 年度，監管局常設委員會及專責小組包括：

### 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 2015/16 included:



監管局常設委員會及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**.

<sup>1</sup> 非常設委員會，僅在需要時舉行會議

<sup>1</sup> 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。

2015/16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 2015/16, 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:

|   | 會議數目<br>Number of meetings held | 平均出席率*<br>Average attendance rate* | 經審議的文件數目<br>Number of papers considered |
|---|---------------------------------|------------------------------------|---|
| 董事局<br>The EAA Board                                      | 4                               | 75%                                | 49                                      |
| 財務及策略發展委員會<br>Finance and Strategic Development Committee | 3                               | 85%                                | 16                                      |
| 紀律委員會<br>Disciplinary Committee                           | 1                               | 82%                                | 6                                       |
| 牌照委員會<br>Licensing Committee                              | 5                               | 81%                                | 10                                      |
| 執業及考試委員會<br>Practice and Examination Committee            | 3                               | 74%                                | 10                                      |
| 專業發展委員會<br>Professional Development Committee             | 2                               | 77%                                | 8                                       |
| 第 28 條調查小組**<br>Section 28 Investigation Panel**          | 0                               | 不適用<br>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 2015/16 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 2015/16, there was no meeting held.



# 機構管治

## Corporate Governance

### 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」。

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。

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。

### 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.

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.



## 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。

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。

## 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.

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.



# 機構管治

## Corporate Governance



監管局透過大眾媒體、監管局刊物及其網站等不同渠道，向公眾發放有關監管局的工作重點的資訊。

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.

### 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圍。

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。公眾可於監管局辦事處及網站閱覽有關年報。

### 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.



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。

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.

為方便公眾取得有關監管局的資料，監管局已任命服務總監為公開資料主任，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 the Director of Services 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<br>Year | 申請數目<br>No of Applications | 申請結果<br>Application Outcome | 要求資料<br>Information Requested   |
|------------|----------------------------|-----------------------------|---|
| 2015/16    | 0                          | 不適用<br>N/A                  | 不適用<br>N/A  |
| 2014/15    | 1                          | 拒絕<br>Declined              | <ul style="list-style-type: none"> <li>涉及投訴人與第三者交涉的證據</li> <li>Evidence on a complainant's dealings with other parties</li> </ul> |



# 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。2015/16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。有關德勤•關黃陳方會計師行的獨立核數師報告及財務報表詳載於第100至125頁。

#### 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會，專責聆訊上訴。委員會的主席須就每宗上訴個案，從委員會成員中委任成員組成審裁小組進行裁決。

### Checks and Balances

#### External Audit

The EAA's statement of accounts is subject to audit by an external auditor. In the year of 2015/16, 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. The Independent Auditor's Report and Financial Statements of 2015/16 audited by Deloitte Touche Tohmatsu are included on pages 100 to 125.

#### 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.





## 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。2015/16年度內，共接獲四宗申訴專員轉介的個案，有關個案俱於年內結束及裁定為不成立。

## 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適的建議。

年內，監管局進行了一次檢討研究，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。

2015/16年度的承諾詳情及達標率列於附錄二。

## The Ombudsman's Review

The EAA came under the jurisdiction of The Ombudsman on 2 July 2010. In the year of 2015/16, a total of four inquiries from The Ombudsman were received and all of them were closed and unsubstantiated.

## 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 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.

One review study was conducted during the year and the findings were reported 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 2015/16 are listed in **Appendix II**.

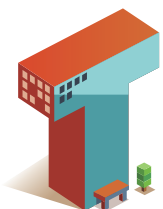
地產代理

# 專業之路

## The Road to the Estate Agency Profession







# 地產代理專業之路

## The Road to the Estate Agency Profession

### 資格考試

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：  
A comparison of the EAQE and SQE is as follows:

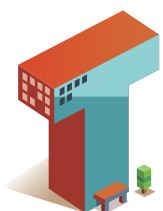
|                             | 地產代理資格考試<br>EAQE  | 營業員資格考試<br>SQE  |
|-----------------------------|---|---|
| 次數<br>Frequency             | 每年 4 次<br>4 times a year  | 每年 6 次<br>6 times a year  |
| 考試時間<br>Examination Time    | 3 小時<br>3 hours   | 2 小時 30 分鐘<br>2 hours 30 minutes  |
| 試題數目<br>Number of Questions | 第一部分：30 條獨立試題<br>第二部分：20 條試題（依據一至兩個個案分析）<br>Part 1: 30 stand-alone questions<br>Part 2: 20 questions based on one or two case studies | 第一部分：40 條獨立試題<br>第二部分：10 條試題（依據一至兩個個案分析）<br>Part 1: 40 stand-alone questions<br>Part 2: 10 questions based on one or two case studies |
| 形式<br>Format                | 多項選擇題<br>Multiple-choice questions  |   |
| 合格分數<br>Pass Mark           | 每部分最少需答對 60%<br>At least 60% of correct answers in each 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2015/16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4,742人及7,052人，前者較去年上升約0.7%，而後者則上升約21.7%。

與2014/15年度相比，實際應考地產代理資格考試的人數上升約0.3%至4,275人，而應考營業員資格考試的人數則上升約20.6%至6,126人。

在2015/16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33.7%及45.5%，而2014/15年度兩個考試的合格率則為42.7%及48.2%。

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 4,742 candidates registered for the EAQE and 7,052 candidates registered for the SQE in 2015/16, which was an increase of about 0.7% for the former and an increase of about 21.7% for the latter, as compared to those of the previous year.

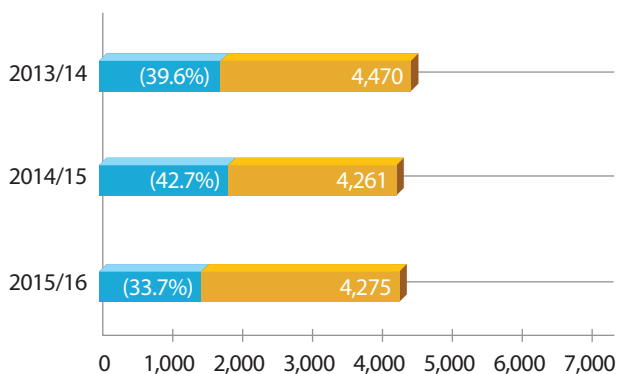
Compared to that in 2014/15, the number of candidates actually sitting the EAQE increased by about 0.3% to 4,275 and increased by about 20.6% to 6,126 in the case of SQE.

In 2015/16, the average pass rate for the EAQE and SQE were 33.7% and 45.5%, as against 42.7% and 48.2% in 2014/15.

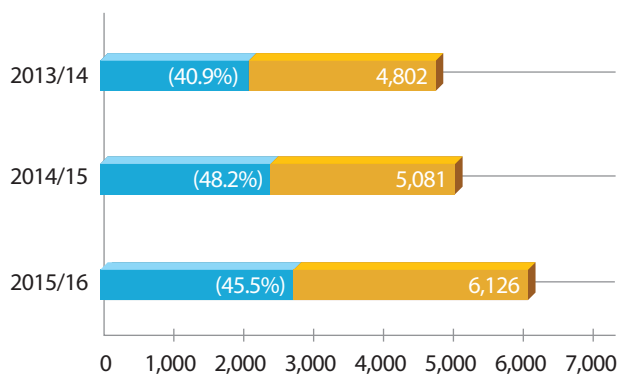
### 資格考試考生人數及合格率

#### Number of Examination Candidates and Pass Rates of Qualifying Examinations

地產代理資格考試  
Estate Agents Qualifying Examination



營業員資格考試  
Salespersons Qualifying Examination



考生人數 Number of Examination Candidates



合格率 Pass Rate



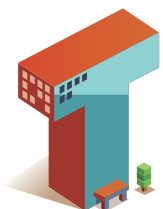
## 考生學歷

一如往年，有為數不少的高學歷考生應考資格考試。合符邏輯地，統計結果顯示，具備較高學歷的考生的合格率較低學歷的考生為高。在2015/16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41%，而2014/15年度的比率則分別為28%及43%。

## Educational Background of Candidates

As in the previous year, a significant number of candidates with higher educational levels sat for the qualifying examinations. Statistics indicated that the pass rates of candidates with higher educational qualifications were higher than those of candidates with lower educational qualifications, which was quite logical. In 2015/16, the percentage of candidates registered for the SQE who were of tertiary or above educational level was about 28%, and that for the EAQE was about 41%, as compared to 28% and 43% in 2014/15.

|  | 學歷<br>Education Level         | 2013/14  |                  | 2014/15  |                  | 2015/16  |                  |
|--|-------------------------------|--|------------------|--|------------------|--|------------------|
|  |                               | 報考考生<br>比率<br>% of<br>registered<br>candidates | 合格率<br>Pass rate | 報考考生<br>比率<br>% of<br>registered<br>candidates | 合格率<br>Pass rate | 報考考生<br>比率<br>% of<br>registered<br>candidates | 合格率<br>Pass rate |
| 地產代理<br>資格考試<br>Estate Agents<br>Qualifying<br>Examination | 中五<br>F.5                     | 31.6%  | 22.7%            | 30.4%  | 31.0%            | 30.5%  | 24.6%            |
|  | 中六或中七<br>F.6 or F.7           | 6.6%   | 33.4%            | 8.0%   | 34.4%            | 8.0%   | 26.8%            |
|  | 大專或以上<br>Tertiary or<br>above | 41.4%  | 41.4%            | 43.4%  | 42.9%            | 41.2%  | 34.6%            |
|  | 資料不詳<br>Unknown               | 20.4%  | 39.9%            | 18.2%  | 43.3%            | 20.3%  | 31.7%            |
| 營業員<br>資格考試<br>Salespersons<br>Qualifying<br>Examination   | 中五<br>F.5                     | 43.4%  | 31.6%            | 40.3%  | 36.2%            | 37.8%  | 35.4%            |
|  | 中六或中七<br>F.6 or F.7           | 14.7%  | 32.8%            | 18.0%  | 37.5%            | 19.1%  | 35.8%            |
|  | 大專或以上<br>Tertiary or<br>above | 26.6%  | 46.0%            | 27.9%  | 53.6%            | 27.8%  | 49.4%            |
|  | 資料不詳<br>Unknown               | 15.3%  | 36.3%            | 13.8%  | 43.5%            | 15.3%  | 36.2%            |



# 地產代理專業之路

## The Road to the Estate Agency Profession

### 考生的職業背景

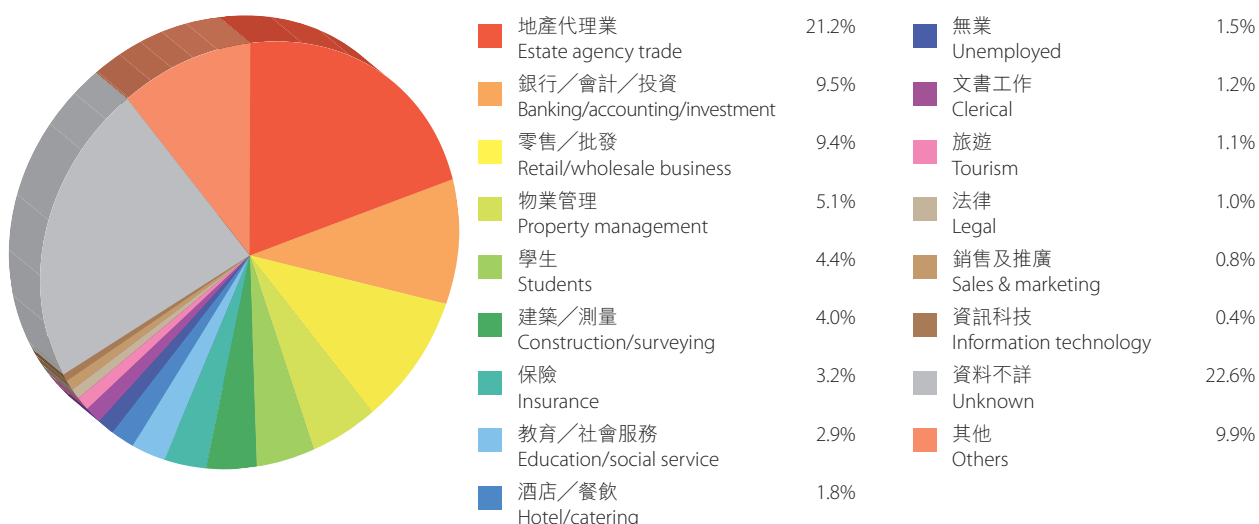
考生當中不乏學生及來自各行各業的人士，包括物業管理、建築與測量、銀行、會計、零售及批發。首次參加資格考試的人士約有51%。

### 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 51% of the candidates sat the examination for the first time.

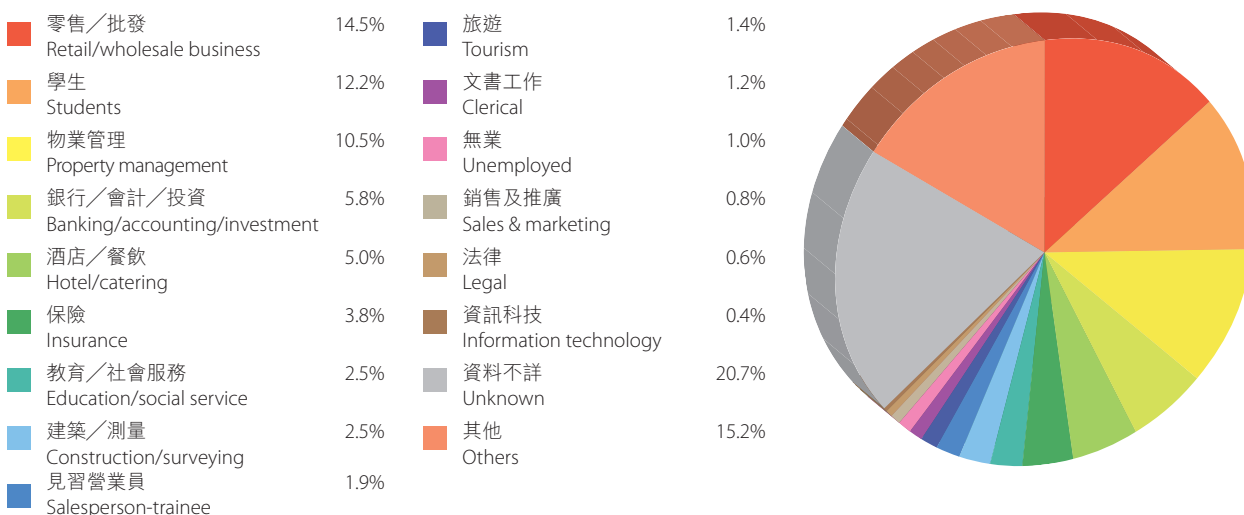
### 地產代理資格考試

#### Estate Agents Qualifying Examination



### 營業員資格考試

#### Salespersons Qualifying Examination

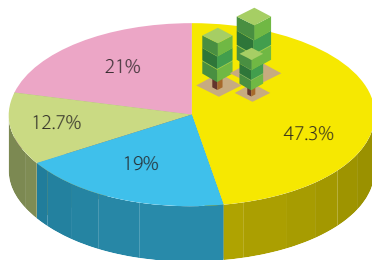






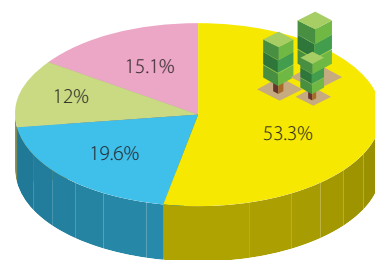
## 考生參加考試的次數 Number of Attempts at Examinations

地產代理資格考試  
Estate Agents Qualifying Examination



■ 首次應考 First attempt   
 ■ 第二次應考 Second attempt   
 ■ 第三次或以上應考 Third attempt or above   
 ■ 資料不詳 Unknown

營業員資格考試  
Salespersons Qualifying Examination



## 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<sup>1</sup>，而且被監管局認為是「適當人選」。

個人申請者可申請營業員牌照或地產代理(個人)牌照，而公司則只可申請地產代理(公司)牌照。持有營業員牌照的人士只能以持牌地產代理的營業員身分從事地產代理工作，而持有地產代理牌照的人士則不受此限。所有地產代理在任何地點以任何營業名稱開展地產代理業務前，一律須就該地點及名稱向監管局申請批給營業詳情說明書。

於 2016 年 3 月 31 日當日計算，個人牌照的總數較 2015 年 3 月 31 日上升 3.6%，達 37,138 個。公司牌照及營業詳情說明書的數目，分別達 3,226 個及 6,364 個，較上年度分別上升 1.2% 及 0.6%。

<sup>1</sup> 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。

## 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<sup>1</sup> 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 2016 increased by 3.6% over that of 31 March 2015 to 37,138. The number of company licences and SPOBs were respectively at 3,226 and 6,364, representing an increase of 1.2% and an increase of 0.6% respectively over those of last year.

<sup>1</sup> The qualifying examination must have been passed within 12 months immediately before the date of an application for the grant of a licence.



# 地產代理專業之路

## The Road to the Estate Agency Profession

在37,138名持有個人牌照的人士當中，20,005人持有營業員牌照，17,133人持有地產代理(個人)牌照。

Among the 37,138 individual licences, 20,005 were salesperson's licences and 17,133 were estate agent's licences (individual).

本年度，監管局共批出3,278個新申領的個人牌照，較上年度增加6%。

During the year, the EAA granted 3,278 new individual licences, an increase of 6% compared to that of the previous year.

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113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」。

The EAA vets each licence application to ensure compliance with the relevant laws. In the year under review, 113 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.

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56個牌照，原因是有關持牌人不符合發牌條件。

A licence may be revoked if the licensee is no longer eligible to continue to hold a licence. During the year, a total of 56 licences were revoked by the Licensing Committee because the relevant licensees no longer met the licensing requirements.

### 牌照委員會向持牌人採取的行動

#### Actions Taken Against Licensees by the Licensing Committee

| 採取的行動<br>Types of Actions                       | 2013/14 | 2014/15 | 2015/16 |
|---|---------|---------|---------|
| 在牌照上附加條件<br>Attachment of conditions to licence | 154     | 123     | 123     |
| 撤銷牌照<br>Revocation of licence                   | 27      | 45      | 56      |



本年度，監管局共批出3,278個新申領的個人牌照，較上年度上升6%。

During the year, the EAA granted 3,278 new individual licences, an increase of 6% compared to that of the previous year.



## 代理業務的規模

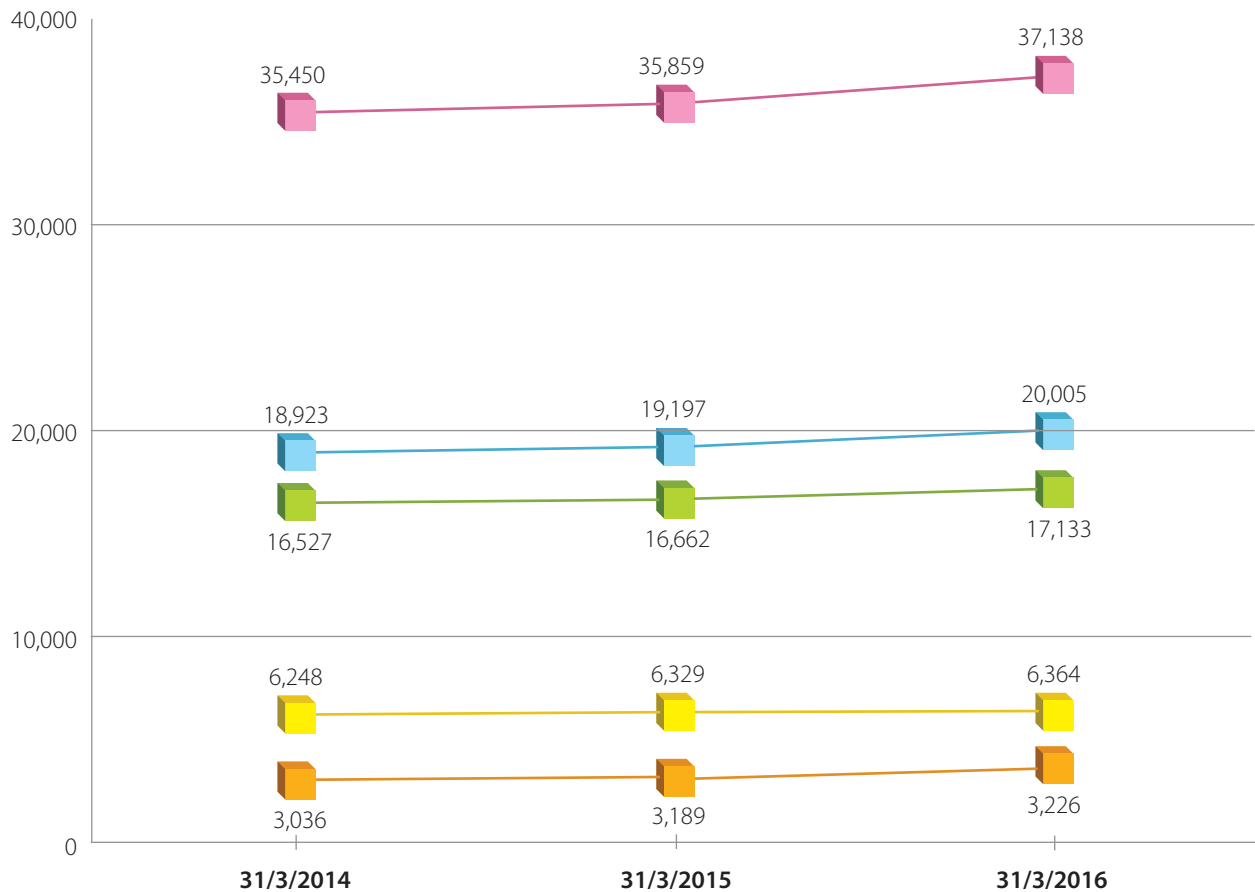
大多數地產代理業務仍然以小規模經營。截至2016年3月31日，94.2%的經營者只開設一間店舖，而同時經營五間店舖或以上的只佔少於1%。

## Size of Operations

The bulk of estate agency operations remained small in scale. As at 31 March 2016, 94.2% 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說明書數目

### Number of Licences and SPOBs in the Past Three Years



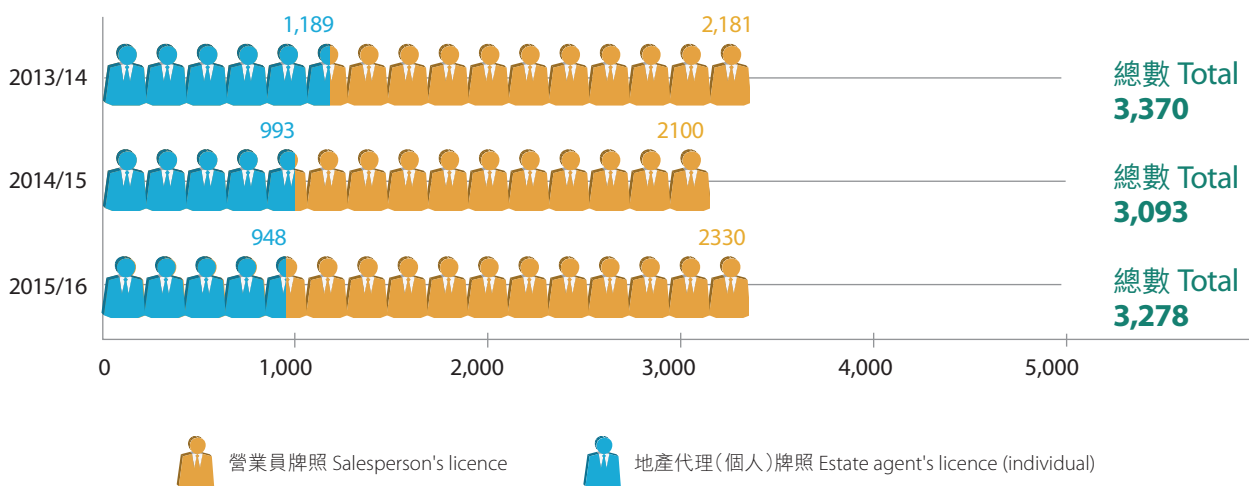


# 地產代理專業之路

## The Road to the Estate Agency Profession

過往三年新批出的個人牌照數目

New Licences (Individual) in the Past Three Years

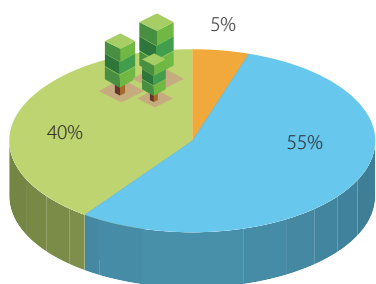


持牌人的學歷水平 (截至 2016 年 3 月 31 日)

Educational Level of Licensees (as at 31/3/2016)

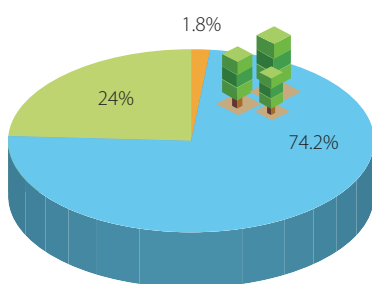
地產代理(個人)牌照持有人

Holders of estate agent's licence (individual)



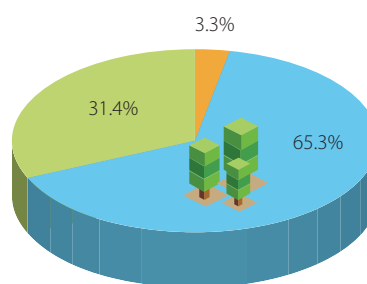
營業員牌照持有人

Holders of salesperson's licence



整體

Overall



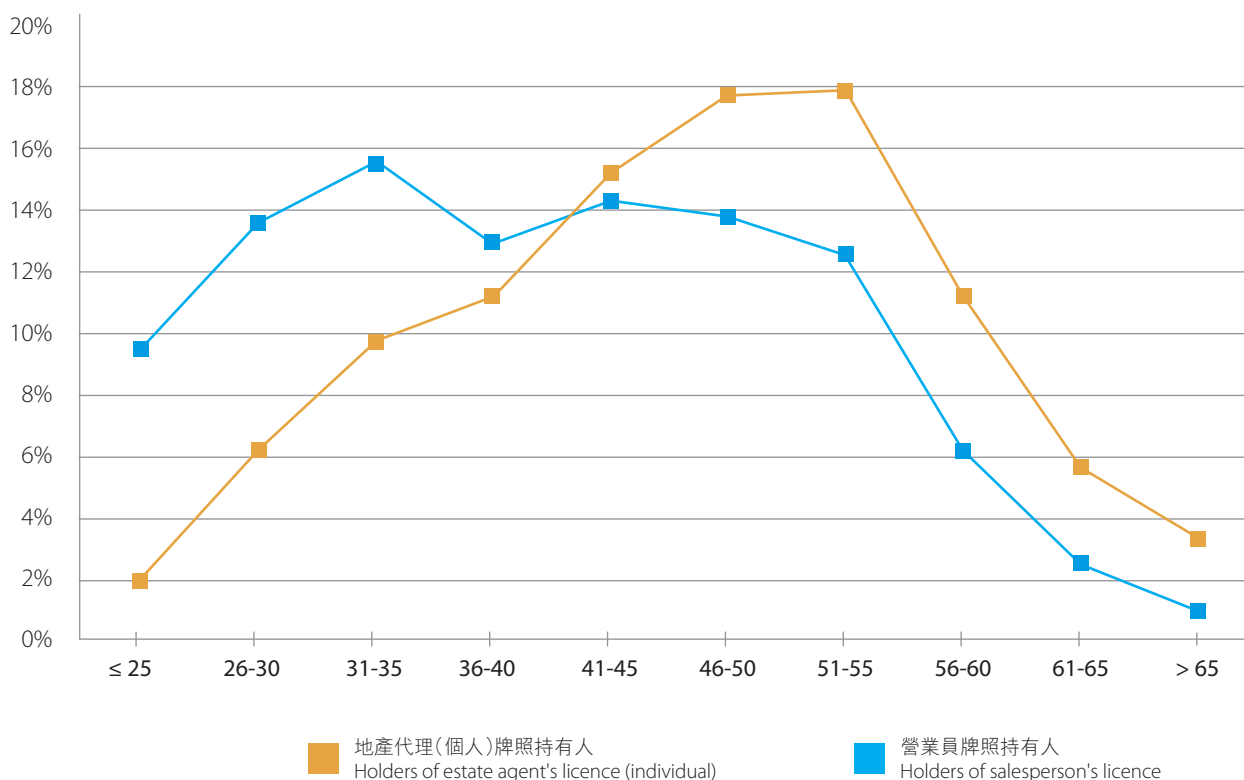
中五以下 Below F.5

完成中五或具同等學歷 Completed F.5 or equivalent

大專或以上 Tertiary or above

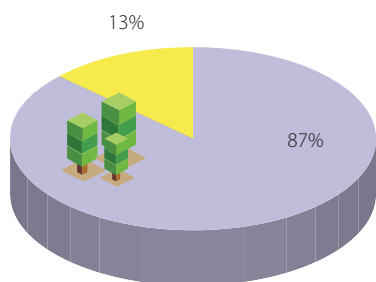


### 持牌人的年齡 (截至 2016 年 3 月 31 日) Age of Licensees (as at 31/3/2016)

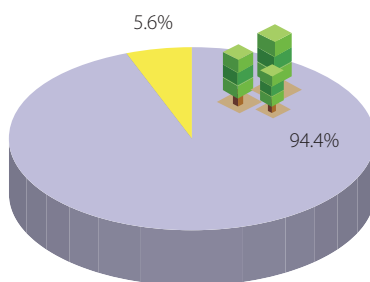


### 持牌人所選擇的通訊語言 (截至 2016 年 3 月 31 日) Licensees' Choice of Language in Communication (as at 31/3/2016)

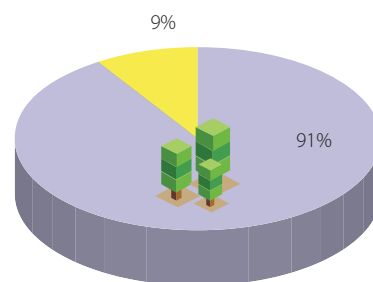
地產代理(個人)牌照持有人  
Holders of estate agent's licence (individual)



營業員牌照持有人  
Holders of salesperson's licence



整體  
Overall



中文 Chinese      英文 English

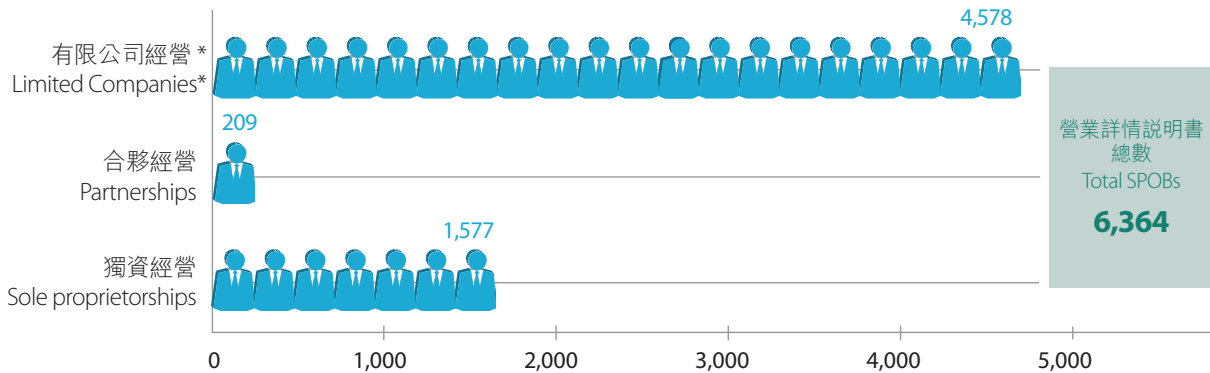


# 地產代理專業之路

## The Road to the Estate Agency Profession

代理業務的經營模式 (截至 2016 年 3 月 31 日)

Mode of Operation of Estate Agency Businesses (as at 31/3/2016)



\* 由 3,226 個公司持牌人經營

\* Operated by 3,226 company licensees

代理業務的規模 (截至 2016 年 3 月 31 日)

Size of Operation of Estate Agency Businesses (as at 31/3/2016)

| 商舖數目 *<br>Number of shops*   | 1     | 2   | 3  | 4 | 5-10 | 11-20 | 21-30 | >30 |
|------------------------------|-------|-----|----|---|------|-------|-------|-----|
| 有限公司經營<br>Limited companies  | 3,007 | 141 | 39 | 8 | 23   | 2     | 1     | 5   |
| 合夥經營<br>Partnerships         | 182   | 8   | 1  | 2 | 0    | 0     | 0     | 0   |
| 獨資經營<br>Sole proprietorships | 1,451 | 46  | 7  | 1 | 1    | 0     | 0     | 0   |

\* 即營業詳情說明書

\* i.e. SPOBs



## 內地與香港地產代理專業資格互認計劃

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日簽訂為期5年的協議，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。

自2015年6月起，監管局和中房學就探討把互認計劃延長5年的可能性展開連串對話與討論。中房學指出，因內地地產代理專業的登記安排有所更改，須待內地有關機關落實相關立法及執行細則，才能確定新協議的條文。

在協議安排下，截至2016年3月31日，共有143名香港地產代理持有由中房學頒發的註冊證書，另有17名內地地產代理持有由監管局批出的牌照。

## 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 a 5-year 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.

Since June 2015, frequent dialogues and discussions have been engaged by the EAA and the CIREA on exploring the possibility of extending the mutual recognition scheme for another five years. The CIREA has indicated that as there are changes in the registration arrangement for the estate agency profession in the Mainland, they could only confirm the details of the new agreement after Mainland Authorities have finalised the relevant legislation and implementation details.

As at 31 March 2016, 143 Hong Kong estate agents held a registration certificate issued by the CIREA and 17 Mainland estate agents held an estate agent's licence issued by the EAA, both pursuant to the arrangement.

維護

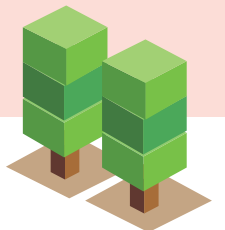
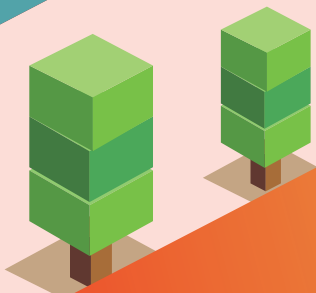
專業水平

Upholding the

Professional  
Standard









## 維護專業水平

# 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並發出執業通告，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。

有鑑於公眾關注持牌人若在參與銷售及/或購買一手住宅物業的同時為其本人遞交購樓意向登記，可能有催谷購樓意向登記數字的嫌疑，監管局發出了一份執業通告，要求參與銷售及/或購買一手住宅物業的地產代理公司及為該公司工作的個人持牌人，就遞交購樓意向登記作出申報。為協助業界遵守此執業通告的有關要求，相關的「問與答」及申報表格範本已載於監管局網頁，供業界參考。

### 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 public concern about the suspected inflation of the number of registrations of intent in the sales of first-hand residential properties by licensees through submitting registrations of intent for themselves in a development in which they are involved in the sale and/or purchase thereof, the EAA issued a practice circular requiring estate agency companies which are involved in the sale and/or purchase of first-hand residential properties in a development and individual licensees who work for them to make a declaration if they also submit for themselves registrations of intent in that development. To assist the trade to comply with the requirements of the practice circular, “Questions and Answers” on pertinent issues and samples of declaration forms were provided at the EAA website for the trade's reference.



為提醒持牌人在處理泊車位的買賣或租賃時須遵從《地產代理條例》及其附屬法例的相關條文，本局發出一份關於「買賣或租賃泊車位」的執業通告，就處理泊車位的買賣或租賃時應採取的措施提供指引，包括應確定該泊車位有否任何使用上的限制，即是否只可用作停泊所屬大廈的住戶或佔用人的車輛。為加強業界對此執業通告的了解，相關的「問與答」已上載於監管局網頁。

監管局亦發出有關「缺席的訂約方作出妥當的授權」的執業通告，為持牌人在買賣或租賃交易時如何應付聲稱獲缺席訂約方授權行事的代表提供指引；以及發出有關「填寫臨時租約和正式租約」的執業通告，以提醒持牌人在為客戶預備租賃協議時，須盡量小心和盡一切應盡的努力。

To remind licensees that they are required to observe and comply with the relevant provisions in the EAO and its subsidiary legislation when they handle the sale and purchase or leasing of car parking spaces, a practice circular on “Sale and Purchase or Leasing of Car Parking Spaces” was issued to provide guidelines to licensees on the proper practice and measures to be adopted with regard to ascertaining whether there is any restriction that the car parking space concerned can only be used for the parking of vehicles belonging to the residents or occupiers of the building when they deal with the sale and purchase or leasing of a car parking space alone. To enhance the trade's understanding and compliance of the practice circular, a set of related “Questions and Answers” was uploaded on the EAA website.

The EAA also issued practice circulars respectively on “Proper Authorisation by Absent Contracting Party” for giving guidance to licensees when dealing with any person claiming to be the authorised representative of an absent contracting party in a sale and purchase or leasing transaction, and on “Completion of Provisional Tenancy Agreement and Tenancy Agreement” to remind licensees to exercise due care and due diligence when preparing tenancy agreements for their clients.



## 維護專業水平

# Upholding the Professional Standard

### 投訴與執法

#### 處理投訴與查詢

投訴部繼續監察工作流程及程序，以確保工作質素及處理投訴的效率。自監管局於2014年11月24日就調查違規個案訂立新的服務承諾後，投訴部與紀律研訊部一直緊密合作，研究在未來設立一套新的服務承諾，以涵蓋由處理投訴至紀律研訊的整個過程。此外，投訴部會繼續善用資訊管理系統/資料庫保存相關的有用資訊，以提升處理投訴的效能和效率。

### Complaints and Enforcement

#### Complaints and Enquiries Handling

The Complaints Section continued to monitor the work processes and procedures to ensure work quality and complaint investigation efficiency. Since the introduction of the new performance pledge for investigation of non-compliances on 24 November 2014, the Complaints Section and the Disciplinary Section have been working closely to review the whole complaint handling process with a view to setting up a new performance pledge in future to cover the entire process of complaint investigation and disciplinary proceedings. Furthermore, the Complaints Section continued to make use of a knowledge management system/database to retain useful knowledge that helps to enhance complaint handling effectiveness and efficiency.

投訴部於年內處理了5,450宗公眾查詢，主要涉及地產代理執業事宜，並已就查詢採取跟進行動。

The Section handled 5,450 enquiries on estate agency practices related issues during the period and took follow-up actions in response to those enquiries.





在2015/16年度，投訴部共接獲339宗投訴，其中大部分關於二手住宅物業，只有52宗或約15%涉及一手住宅物業。期內，投訴部完成處理405宗投訴個案，其中158宗或39%的指稱成立。在指稱成立的個案中，有14宗或9%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：提供虛假或具誤導性的物業資料、不當處理或沒有向客戶解釋臨時買賣協議(或臨時租約)，以及未有與客戶簽訂或解釋地產代理協議。

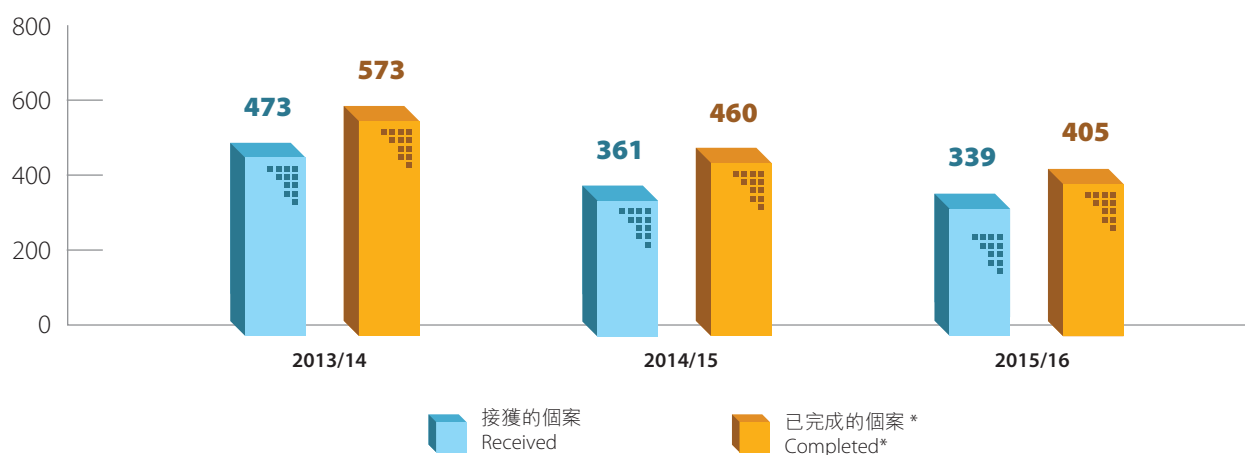
In 2015/16, the Complaints Section received 339 complaints. The majority were related to second-hand residential properties, with 52 cases, or about 15%, related to first-hand residential properties. During the period, 405 cases were concluded, of which 158, or about 39%, were substantiated. Among the 158 substantiated cases, 14 or 9% concerned first-hand residential properties. Key allegations of the substantiated cases included providing false or misleading property information, mishandling/failing to explain the provisional agreement for sale and purchase (or the provisional tenancy agreement), and failing to enter into estate agency agreements with clients or to explain the estate agency agreements to clients.

此外，投訴部亦於年內處理了5,450宗涉及地產代理執業事宜的查詢，並已就查詢採取跟進行動。

The Section also handled 5,450 enquiries on estate agency practices related issues during the period and took follow-up actions in response to those enquiries.

## 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，以及由投訴部及執行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 Complaints and Enforcement Sections.

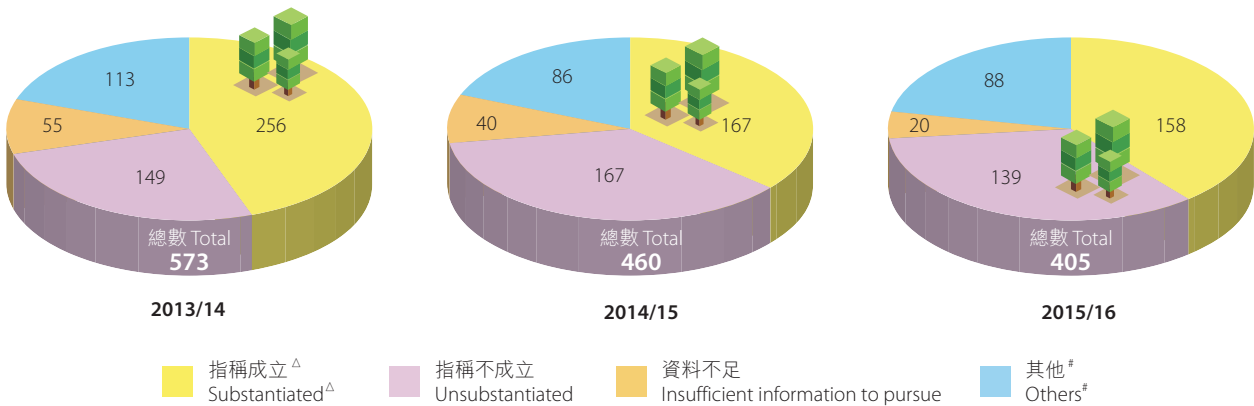


# 維護專業水平

## 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，以及由投訴部及執行部處理的表面證據不成立的個案。

<sup>△</sup> 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」。

<sup>#</sup> 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 Complaints and Enforcement Sections.

<sup>△</sup> A completed case will be classified as "Substantiated" if any of the allegations involved therein has been concluded as "Substantiated".

<sup>#</sup> Includes cases which were curtailed, withdrawn or not proven.

### 巡查及調查

在 2015/16 年度，執行部繼續更新及改善其執法行動的部署，於一手樓盤銷售處及鄰近地點作出嚴密的巡查行動，以確保持牌人參與一手銷售活動時保持良好秩序。年內，執行部也繼續向新成立的地產代理公司進行教育性探訪，確保他們守法循規。此外，執行部亦擔當有效監管角色，加強抽查網站及其廣告，以減少與廣告有關的違規。執行部也不斷檢討及改善其執法模式，尤其在一手樓盤銷售點偵測無牌從事地產代理工作及提供貸款的情況，以促使執法行動達至最佳效果。

### Compliance Inspections and Investigations

In 2015/16, the Enforcement Section continued to revise and improve its enforcement action plan to put in place stringent policing action on first-sale venues and its ancillary areas to ensure licensees' good order and discipline during first-sale activities. During the reporting period, efforts continued to be made on conducting educational visits to newly opened estate agency shops to ensure compliance. Cyber patrols had also been stepped up to closely monitor online portals and their advertisements to reduce breaches of an advertisement-related nature and to ensure the Enforcement Section's effective regulatory role. The Section also made continuous effort to review and improve its covert operations with an attempt to achieve the maximum proactive enforcement action especially in areas such as detecting unlicensed estate agency work and loan offering in first-sale sites.

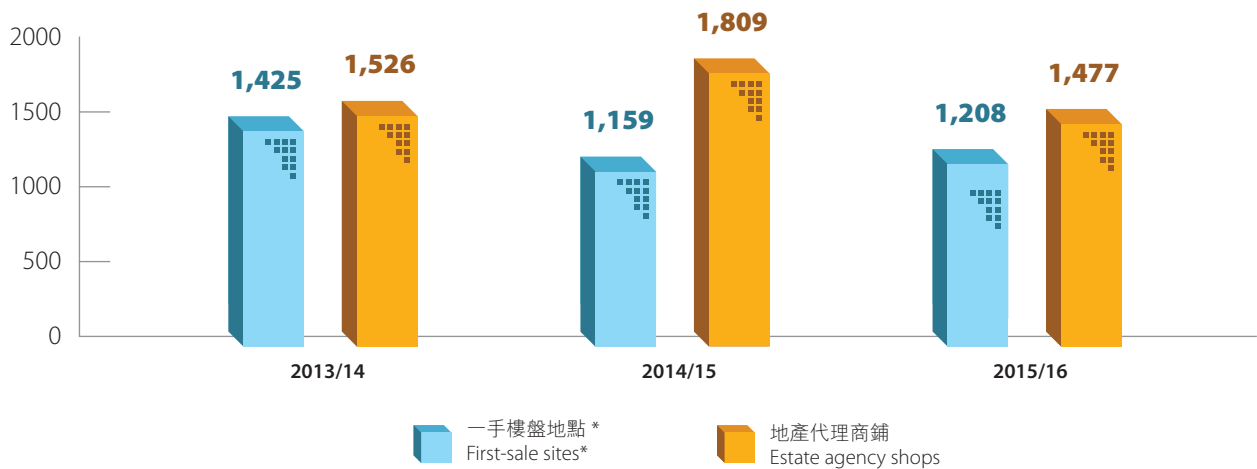


年內，執行部共進行了2,685次巡查，當中1,208次是巡查一手樓盤銷售點，其餘1,477次則是巡查地產代理商舖。執行部亦就網上廣告進行了607次抽查。就以上行動，執行部對其中17宗涉嫌與網上廣告有關的違規個案展開調查。此外，執行部發現15宗涉嫌無牌從事地產代理工作的個案，當中有三人被刑事定罪，其餘個案則仍在警方調查中。

During the reporting period, the Section conducted 2,685 compliance inspections, of which 1,208 were at first-sale sites and 1,477 at estate agency shops. The Section also carried out 607 inspections of online advertisements. As a result of these inspections, the Section instigated investigations into 17 suspected non-compliance cases on online advertisement-related breaches. The Section also detected a total of 15 cases of suspected unlicensed estate agency work in which three persons were convicted of a criminal offence. The remaining cases were still under police investigation.

## 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。

\* Includes the development sites, sales offices and vicinity areas.



## 維護專業水平

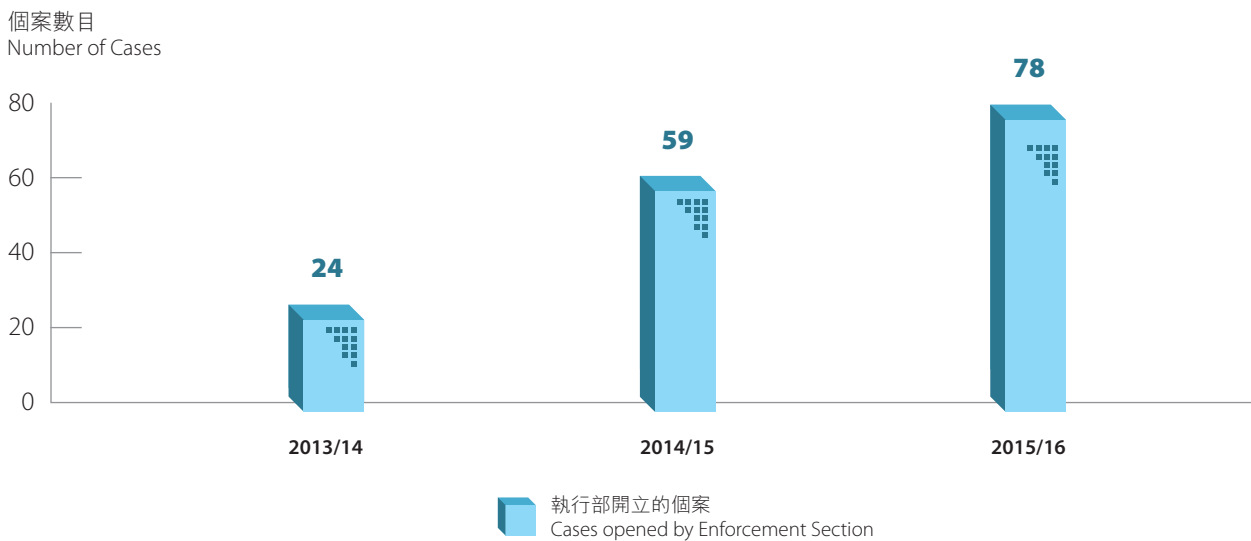
### Upholding the Professional Standard

執行部在年內共調查 78 宗個案，當中六宗在巡查一手樓盤銷售點時發現，34 宗於巡查地產代理商舖時發現，22 宗則為網上及報章的抽查個案，另有 16 宗涉及其他性質。而在該 78 宗個案中，14 宗涉及一手住宅物業。期間，執行部共完成處理 58 宗個案，其中 41 宗指稱成立，而這些指稱成立個案中有四宗涉及一手住宅物業。

The Section also conducted investigations on 78 cases during the period, with six cases on first-sale sites inspections, 34 cases on estate agency shops, 22 cases from cyber and newspaper patrols and 16 cases of a miscellaneous nature. Out of the 78 cases, 14 related to first-hand residential properties. During the period, the Section completed 58 cases, of which 41 were substantiated. Out of the 41 cases, four related to first-hand residential properties.

#### 執行部開立的個案 (包括主動調查及公眾投訴)

#### Enforcement Cases Opened (including enforcement action plus complaints from public)



在 2015/16 年度，執行部調查了 97 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 19 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。

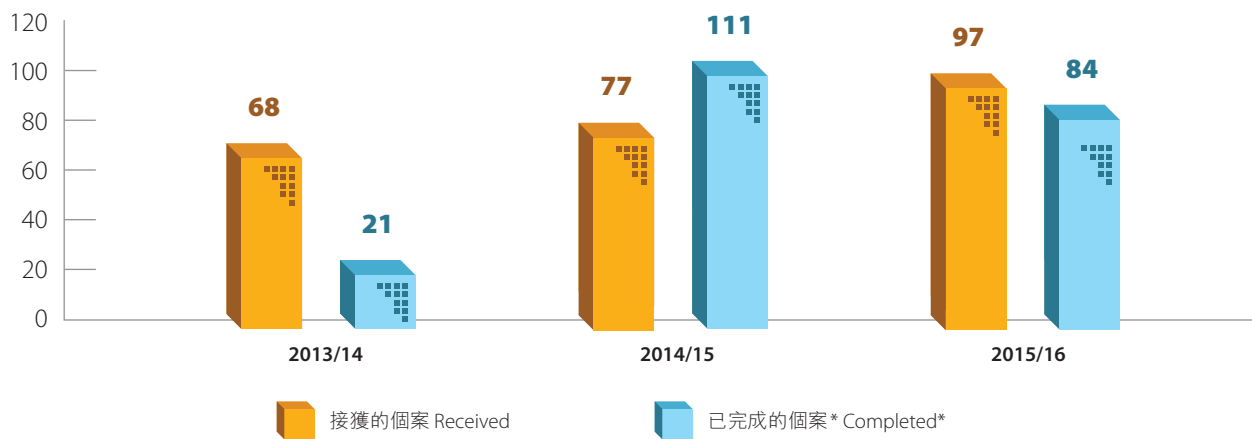
In 2015/16, the Enforcement Section also conducted investigations into 97 licence applications in which the applicants were suspected of making false declarations or providing false documents in the licence application or licence renewal process. In addition, the Section also looked into 19 licence applications 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 were suspected of Making False Declarations or Providing False Documents in the Application Process

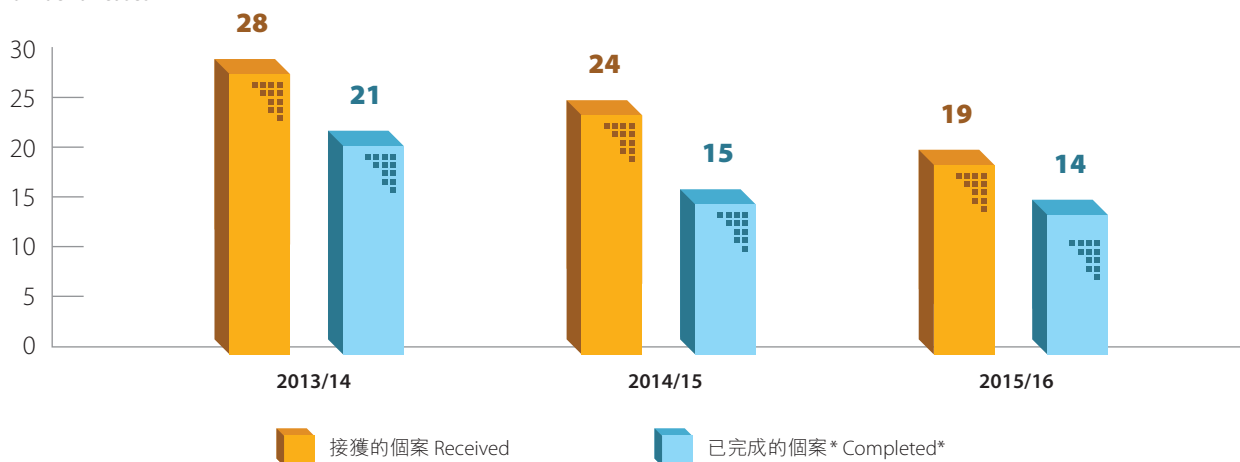
個案數目  
Number of Cases



\* 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.



# 維護專業水平

## 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附加於該牌照上的條件，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2015/16年度，紀律委員會共判決了186宗個案，其中183宗(佔98.4%)的指稱成立。結果，共有190名持牌人被紀律處分，其中127名為個人持牌人<sup>1</sup>，63名為公司持牌人。

同期，紀律委員會暫時吊銷了22個牌照，吊銷期由七日至12個月不等。受處

### 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 2015/16, the Disciplinary Committee adjudicated 186 cases, of which 183 were substantiated (i.e. 98.4%). As a result, a total of 190 licensees were disciplined, among whom 127 were individual licensees<sup>1</sup> and 63 company licensees.

During the same period, 22 licences were suspended for periods ranging from seven days to 12 months. Licensees disciplined were



模擬紀律研訊圖片。  
A staged inquiry hearing.

<sup>1</sup> 包括地產代理公司的獨資經營者/合夥人。

<sup>1</sup> Including sole-proprietors and partners of estate agency firms.



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 123 名持牌人被罰款，金額由 500 元至 90,000 元不等。

### 紀律處分新計劃

除紀律研訊外，監管局於 2014 年 1 月 1 日推出紀律處分新計劃（「新計劃」），以處理一些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 2014 年 1 月 1 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前提下，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罰。

在 2015/16 年度，共有 69 名持牌人獲邀選擇以新計劃處理其個案。在 69 名已回覆的持牌人當中，有 67 名選擇參加，參與率達 97.1%。

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 123 licensees were fined, with the fines ranging from \$500 to \$90,000.

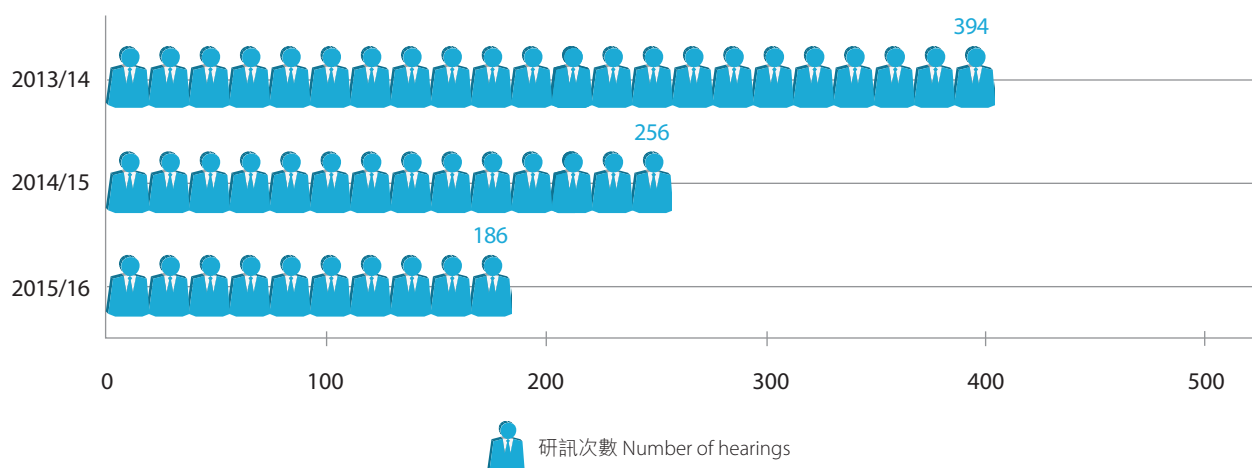
### New Scheme for Disciplinary Cases

Apart from the inquiry hearings, certain straight-forward and prevalent breaches under the EAO, Estate Agents Practice (General Duties and Hong Kong Residential Properties) Regulation and Estate Agents (Licensing) Regulation were dealt with under the New Scheme for Disciplinary Cases (“the Scheme”) introduced since 1 January 2014. Under the Scheme, licensees committing the eight specified breaches for the first time as from 1 January 2014 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 69 licensees were invited to opt for the Scheme in 2015/16. Among the 69 licensees who have replied, 67 opted for the Scheme, representing a participation rate of 97.1%.

### 已舉行並作出裁決的紀律研訊次數

#### Number of Inquiry Hearings with Decision Handed Down





## 維護專業水平

## Upholding the Professional Standard

| 2015/16 年度常見違規事項 *<br>Common Types of Non-compliance in 2015/16*  | 宗數<br>Number |
|---|--------------|
| 1. 向客戶提供錯誤的物業 / 交易資料；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<br>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   | 34           |
| 2. 發出虛假或誤導性廣告；未獲賣方事先書面同意而發出廣告；發出違反賣方指示的廣告<br>Issuing a false or misleading advertisement; advertising without vendor's prior written consent; advertising in contravention of vendor's instruction  | 27           |
| 3. 未有進行土地查冊；未有向買方 / 租客提供土地查冊結果 / 解釋土地查冊的內容<br>Failure to conduct a land search; failure to supply the land search result/explain its contents to the purchaser/tenant   | 22           |
| 4. 未有按照訂明表格的指示或規定填寫訂明表格 / 將相關訂明表格交予有關人士 / 陪同表格內所指明的文件<br>Failure to complete the prescribed form/supply it to a person/accompany it by such documents as directed or specified in the form  | 17           |
| 5. 提供貸款予一手樓盤的準買家<br>Offering a loan to a prospective purchaser of a first-sale property   | 12           |
| 6. 未有在簽署臨時租約前核實業主身份；未有確保代表簽署臨時買賣協議 / 租約 / 臨時租約的人士已獲賣方 / 出租方或買方 / 租客正式授權<br>Failure to ascertain the landlords' identities prior to the signing of the provisional tenancy agreement; failure to ensure that the signatory was duly authorised by the vendor/lessor or purchaser/tenant to sign the provisional agreement for sale and purchase/tenancy agreement/ provisional tenancy agreement | 11           |
| 7. 未有與客戶訂立地產代理協議<br>Failure to enter into an estate agency agreement with clients   | 11           |
| 8. 未有管有訂明的物業資料<br>Failure to possess prescribed property information  | 10           |
| 9. 未有履行向客戶作出的回贈承諾及 / 或以書面形式列明有關承諾<br>Failure to give and/or set out in writing the cash rebate as promised to clients   | 10           |
| 10. 安排買方 / 租客在漏空某些條款的臨時買賣協議 / 臨時租約上簽署<br>Arranging for the purchaser/tenant to sign a provisional agreement for sale and purchase/provisional tenancy agreement with certain terms of the agreement left blank  | 10           |

\* 部分紀律研訊個案涉及超過一項違規事宜。

\* 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*<br>Actions Taken Against Licensees or Former Licensees*   | 2013/14         | 2014/15         | 2015/16         |
|---|-----------------|-----------------|-----------------|
| 有關的持牌人或前持牌人人數<br>Number of licensees or former licensees involved         | 571             | 423             | 368             |
| 行動性質 <sup>1</sup><br>Type of actions <sup>1</sup>                         |                 |                 |                 |
| 訓誡 / 譴責<br>Admonishment/reprimand   | 398             | 255             | 193             |
| 罰款<br>Fine  | 237             | 179             | 123             |
| 在牌照上附加條件 <sup>2</sup><br>Attachment of conditions to licence <sup>2</sup> | 308             | 238             | 223             |
| 暫時吊銷牌照<br>Suspension of licence   | 26              | 10              | 22              |
| 撤銷牌照<br>Revocation of licence   | 28 <sup>#</sup> | 45 <sup>△</sup> | 56 <sup>△</sup> |

<sup>1</sup> 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。

<sup>1</sup> In some cases more than one action was imposed on the same licensee or former licensee.

<sup>2</sup> 部分條件於批出牌照時附加，其餘則隨後附加。

<sup>2</sup> Some conditions were attached upon the granting of licences and others attached thereafter.

\* 以上行動是根據《地產代理條例》的權力而作出的判決。當中有部份可能不屬於紀律性質。部份是往年展開調查的個案。

\* These actions were taken pursuant to powers under the EAO. Some actions may be disciplinary in nature and others not. Some cases were carried over from previous years.

<sup>#</sup> 27宗撤銷牌照個案由牌照委員會裁定，理由是持牌人不再符合相關的發牌條件；一宗撤銷牌照個案由紀律委員會裁定。

<sup>#</sup> 27 cases were decided by the Licensing Committee on the ground that the licensees concerned no longer meet the relevant licensing requirements, and the remaining one case was decided by the Disciplinary Committee.

<sup>△</sup> 這些撤銷牌照的個案均由牌照委員會裁定，理由是持牌人不再符合相關的發牌條件。

<sup>△</sup> These cases were decided by the Licensing Committee on the ground that the licensees concerned no longer meet the relevant licensing requirements.



# 維護專業水平

## 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，以符合公眾日漸提高的期望。

### 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。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。自2013年10月1日的持續專業進修時段開始計算，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。持續專業進修活動可由監管局、政府部門、業界商會，或教育及培訓機構，經專業發展委員會認可下舉辦。

進修活動的學習模式包括參加獲認可的講座、多節組成的培訓活動、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，可獲得一個持續專業進修計劃學分。

### 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. Licensees who achieved their CPD attainment targets would be awarded the CPD Attainment Symbols. With effect from the CPD period commencing 1 October 2013, Premium CPD Attainment Symbols are to be presented to licensees who achieved their CPD attainment targets for three consecutive and five consecutive CPD periods. 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").

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.



營業詳情說明書的持有人如有80%以上的持牌僱員達到持續專業進修計劃的學分要求，可獲頒發地產代理商舖專業進修嘉許獎章。

Holders of Statement of Particulars of Business (“SPOB”) with over 80% of their licensed employees having achieved the CPD attainment target would be presented with the CPD Mark for Estate Agencies.

| 成就<br>Achievement  | 獎勵<br>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<br>Licensees achieving CPD attainment target for one CPD period*  | 持續專業進修計劃嘉許獎章<br>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<br>(自2013年10月1日起的進修時段開始計算)<br>Licensees achieving CPD attainment target for three consecutive CPD periods (with effect from the CPD period commencing 1 October 2013) | 持續專業進修計劃優越嘉許獎章 — 銀章<br>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<br>(自2013年10月1日起的進修時段開始計算)<br>Licensees achieving CPD attainment target for five consecutive CPD periods (with effect from the CPD period commencing 1 October 2013)  | 持續專業進修計劃優越嘉許獎章 — 金章<br>Premium CPD Attainment Symbol – Gold Symbol   |
| 有80%持牌僱員達到持續專業進修計劃的學分要求的營業詳情說明書持有人<br>Holders of SPOB with over 80% of licensed employees having achieved the CPD attainment target  | 地產代理商舖專業進修嘉許獎章<br>CPD Mark for Estate Agencies                       |

\* 每個持續專業進修時段為期12個月，由每年10月1日起至翌年9月30日止。

\* Each CPD period shall be a 12-month period commencing 1 October each year and ending on 30 September the following year.



## 維護專業水平

# Upholding the Professional Standard

### 持續專業進修計劃優越嘉許獎章設計比賽

為表揚持牌人持續參與持續專業進修計劃以提升其專業知識，本局於2015年12月舉辦了持續專業進修計劃優越嘉許獎章公開設計比賽。是次比賽反應熱烈，我們收到來自不同界別，包括地產代理界、建築界、測量與物業管理界以及學生的參賽作品。專業評審團根據參賽作品的原創性、吸引力、啟發性、精巧度及實用性，評選出優勝作品。

### Premium CPD Attainment Symbol Design Competition

To promote recognition of the licensees' continuous effort in enhancing their knowledge through participation of CPD activities, an open competition for the design of the Premium CPD Attainment Symbols was organised in December 2015. The response to the competition was overwhelming with design entries received from participants from different sectors, including estate agency, construction, surveying and property management, and also students. Winning designs were selected by a professional judging panel based on the creativity, originality, popular appeal, inspiration, sophistication and practicality of the entries.



專業評審團根據參賽作品的原創性、啟發性及實用性，評選出優勝作品。

A professional judging panel assesses the entries based on the creativity, originality, sophistication and practicality etc.

冠軍作品的設計概念源自成功之鑰匙。持牌人透過持續參與持續專業進修計劃及達到學分要求後，可豐富他們在物業交易方面的知識，並獲取優越嘉許獎章。

The concept behind the Champion design is about the key to success. Through continuous participation in the CPD Scheme and achieving the CPD attainment target, licensees can enrich their knowledge in the property business and receive the Premium CPD Attainment Symbols.

冠軍作品(如有需要會作出修改)將採納為優越嘉許獎章，印在得獎者的地產代理證及名片上。優越嘉許獎章同時亦會製成小徽章，供持牌人佩戴。

The Champion design, with modifications if required, would be adopted as the Premium Symbols, which would be printed on the awardees' Estate Agent cards and business cards. The physical prints of the Premium CPD Attainment Symbols would also be made available as small badges for licensees to wear.





本局於2016年3月舉辦了持續專業進修計劃優越嘉許獎章公開設計比賽頒獎典禮。

The prize presentation ceremony of the EAA's Premium CPD Attainment Symbol Design Competition was held in March 2016.

### 持續專業進修活動的統計數字

年內，各主辦機構合共舉辦了336場持續專業進修活動，吸引24,970人次參加，共取得51,378個持續專業進修學分。在336場活動中，104場(佔活動總數的31%)由監管局舉辦，參與人次為16,267人(約佔總參與人次的65%)。與上年度比較，總參與人次下降了11%，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19%。有鑑於營商環境困難，持牌人須更集中推廣業務，尤其是一手住宅物業的銷售，而這類銷售安排普遍通知期較短，以致培訓活動的參與度有所下降。

### Statistics of CPD Activities

During the year, 336 sessions of CPD activities were organised by various activity providers with 24,970 enrolments. A total of 51,378 CPD points were attained. Among the 336 sessions held, 104 (31% of the total number of sessions) were organised by the EAA with 16,267 enrolments (about 65% of total enrolments). Compared to the previous year, the total number of enrolments decreased by 11%, while the number of enrolments of activities conducted by the EAA and providers other than the EAA decreased by 7% and 19% respectively. Practitioners' level of participation in training activities dropped as they had to focus more on promoting business, particularly for the sales of first-hand residential properties which were launched at very short notice.

### 過往三年的持續專業進修活動

#### CPD Activities in the Past Three Years

|                               | 2013/14                      |                              | 2014/15                      |                              | 2015/16                      |                              |
|-------------------------------|------------------------------|------------------------------|------------------------------|------------------------------|------------------------------|------------------------------|
|                               | 活動數目<br>No. of<br>Activities | 參與人次<br>No. of<br>Enrolments | 活動數目<br>No. of<br>Activities | 參與人次<br>No. of<br>Enrolments | 活動數目<br>No. of<br>Activities | 參與人次<br>No. of<br>Enrolments |
| 監管局<br>EAA                    | 79                           | 18,698                       | 99                           | 17,408                       | 104                          | 16,267                       |
| 地產代理業界<br>Estate Agency Trade | 347                          | 14,264                       | 298                          | 10,663                       | 224                          | 8,483                        |
| 其他主辦機構<br>Other Providers     | 19                           | 369                          | 12                           | 136                          | 8                            | 220                          |
| 總數<br>Total                   | 445                          | 33,331                       | 409                          | 28,207                       | 336                          | 24,970                       |



# 維護專業水平

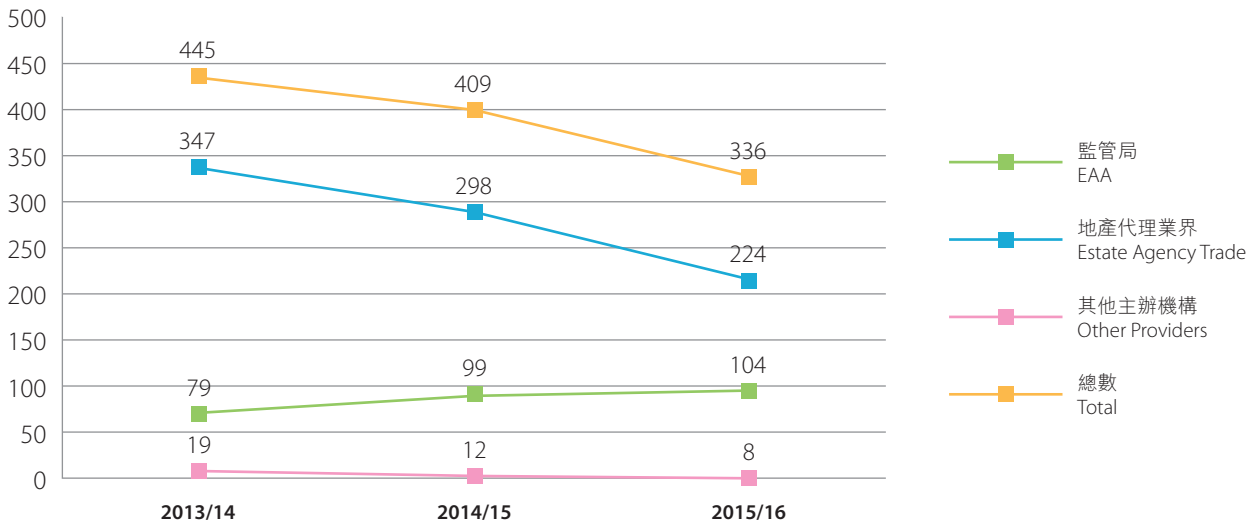
## Upholding the Professional Standard

### 過往三年的持續專業進修活動

### CPD Activities in the Past Three Years

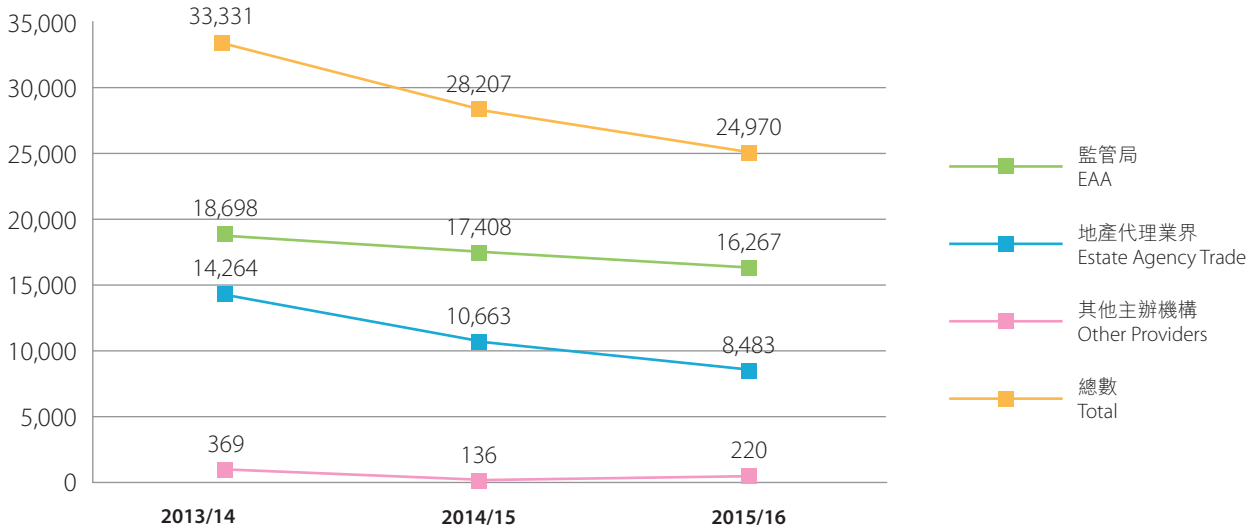
活動數目

Number of Activities



參與人次

Number of Enrolments





## 監管局舉辦之持續專業進修活動摘要

### 《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，並加強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43場講座，吸引了5,032人次參加(約佔監管局持續專業進修活動總參與人次的31%)。

### 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洗黑錢的相關法例、辨識及舉報可疑個案的方法、防貪措施，以及監管局與廉政公署聯合出版的有關處理物業交易、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。338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%)。

## Highlights of CPD Activities Organised by the EAA

### 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, 43 sessions of seminars were held on the subjects, attracting 5,032 enrolments (about 31% 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 regarding best practices for handling property transactions, proper governance and internal control, and effective human resources management. Some 338 licensees attended these seminars (about 2% of the total enrolments of CPD activities).



# 維護專業水平

## Upholding the Professional Standard

### 「有問有答」系列活動

為更有效解答持牌人的疑問，本局於2015年推出「有問有答」系列，以「問與答」形式，與參與者進行互動。全新的互動形式深受參與者歡迎。此系列共舉行了七場講座，吸引1,246人次參加(約佔監管局持續專業進修活動總參與人次的8%)。

### “All You Can Ask” Series

To address more closely the licensees' concerns by answering their queries, interactive programmes which were formatted as “Questions and Answers” sessions titled the “All You Can Ask” series were organised in 2015. This new interactive format was well received by the participants. Seven seminars under this series were organised, attracting 1,246 enrolments (about 8% of total enrolments of EAA CPD activities).



年內，各主辦機構合共舉辦了336場持續專業進修活動，吸引24,970人次參加。

During the year, 336 sessions of CPD activities were organised by various activity providers with 24,970 enrolments.

局方舉辦與物業交易的法律及實務有關的講座，以鞏固持牌人在處理物業交易的實務技能及知識。

CPD Seminars with topics on the law and practice relating to property transactions are organised to consolidate licensees' practical skills and knowledge.





## 營商及軟技巧

營商及軟技巧均有助提升地產代理從業員的整體水平及質素。監管局邀請專業培訓機構籌辦有關溝通、談判及如何建立關係的講座，提升持牌人在業務發展及提供優質客戶服務方面的能力。年內，本局已舉辦10場有關業務營運及溝通技巧的講座，吸引1,440人次參加(約佔監管局持續專業進修活動總參與人次的9%)。

## 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16場特別專題講座，內容涵蓋違例建築工程、活化工業大廈、按揭計劃、環保建築、能源管理及節能措施、公契及物業管理、實用面積、發展商住宅物業發展項目規劃以及住宅物業驗樓及視察。持牌人對此等講座反應熱烈，吸引共3,259人次參加(約佔監管局持續專業進修活動總參與人次的20%)。

## Practical Business and Soft Skills

Practical business and soft skills are conducive to raising the general standards and inner qualities of estate agency practitioners. External professional training providers were engaged to organise seminars on communication, negotiation and relationship building skills to expand licensees' capabilities in business development and provision of quality customer services. During the year, 10 seminars on practical business and soft skills were held, attracting 1,440 enrolments (about 9% of total enrolments of EAA 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, 16 special topic seminars were organised covering topics on unauthorised building works, revitalising industrial buildings, mortgage programmes, green building, energy management and saving measures, deeds of mutual covenants and building management, saleable area, planning of residential property development projects by developers and inspection of residential properties. These seminars were well received by licensees with a total of 3,259 enrolments (about 20% of the total enrolments of EAA CPD activities).



# 維護專業水平

## Upholding the Professional Standard

### 網上學習

自監管局於2005年推出「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，監管局去年推出的短期鼓勵措施，持牌人透過完成若干數目的網上學習活動，可取得持續專業進修獎勵學分，已延長多一個進修時段(由2015年10月1日至2016年9月30日)，以進一步鼓勵持牌人參與監管局的網上學習活動。另外，為了方便持牌人，監管局於2016年2月開始提供流動版網上學習活動。年內，監管局推出的網上學習活動吸引1,372人次參加(約佔監管局持續專業進修活動總參與人次的8%)。

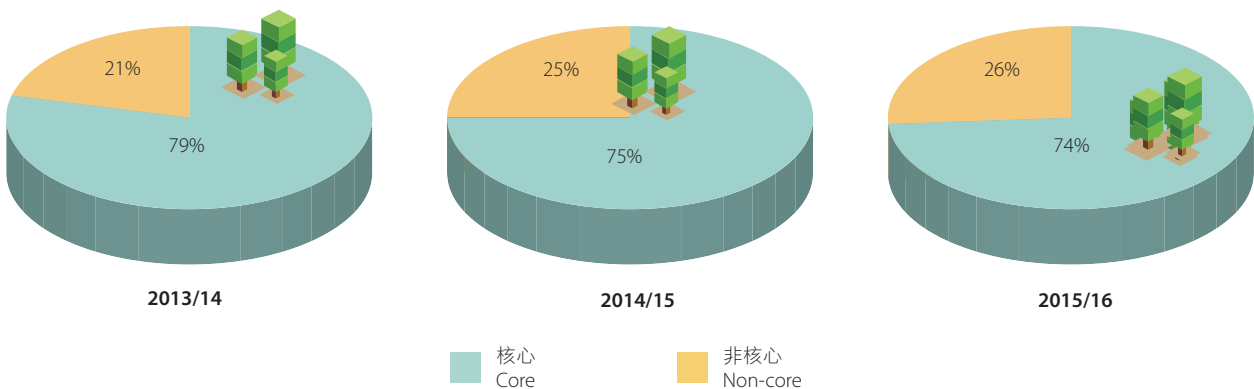
### e-Learning

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, the short-term incentive allowing licensees to earn bonus CPD points through completion of a certain number of the EAA's e-Learning programmes introduced last year was extended for one CPD period from 1 October 2015 to 30 September 2016 to further encourage participation of the EAA's e-Learning programmes. In addition, for licensees' convenience, a mobile version of the EAA's e-Learning programmes was made available since February 2016. During the year, the EAA's e-Learning programmes attracted 1,372 enrolments (about 8% of the total enrolments of EAA CPD activities).

### 科目(核心/非核心)

#### Subjects (Core/Non-core)

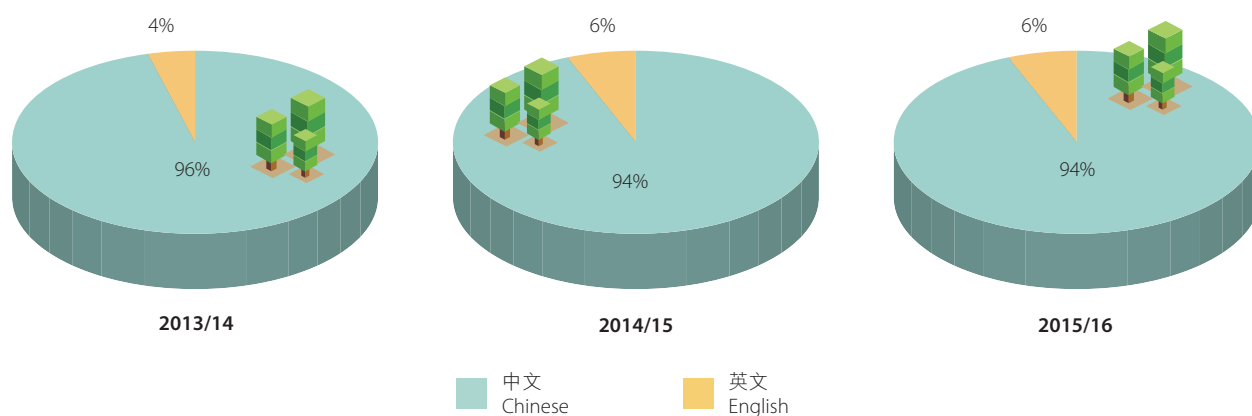
過往三年的持續專業進修活動  
CPD Activities in the Past Three Years





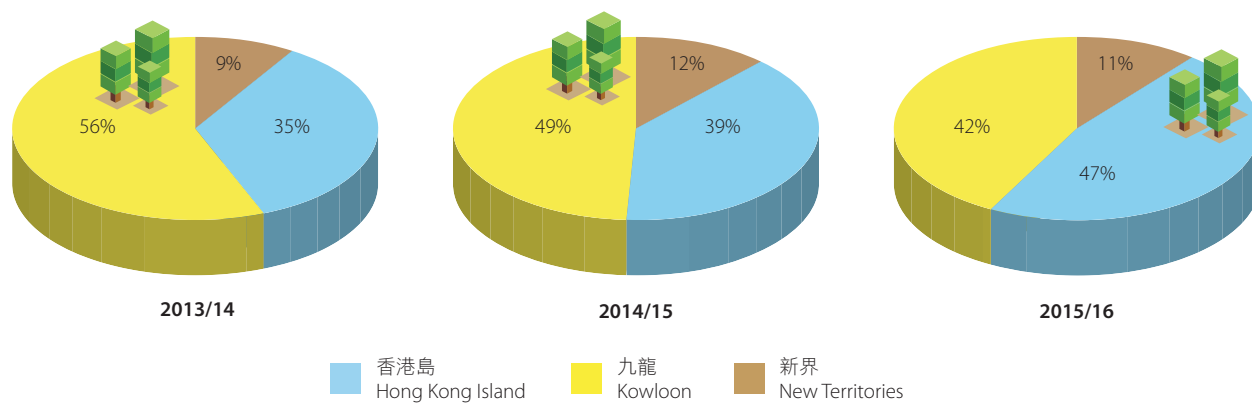
## 語言 Language

過往三年的持續專業進修活動  
CPD Activities in the Past Three Years



## 地點 Location

過往三年的持續專業進修活動  
CPD Activities in the Past Three Years



聯繫社

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## 聯繫社群

# Reaching out to the Community

### 消費者教育

#### 推廣消費者資訊

監管局相信提升消費者對物業市場的認知十分重要。因此，在2015/16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。

監管局分別於2015年9月及2016年3月舉辦了兩場「精明置業系列」公開講座。第一場名為「如何做個精明一手樓買家」，嘉賓分享其對市場走勢的見解及在參觀示範單位及委託地產代理時須留意的要點。至於第二場的公開講座的題目為「住宅租賃知多啲」，旨在幫助業主和租客了解更多住宅物業租賃事項。兩場講座均反應熱烈。

### Consumer Education

#### Promotion of Consumer Information

The EAA believes that it is important to raise the awareness of consumers and their knowledge of the property market. Hence, in 2015/16, the EAA continued to share with the public some useful information on its work and knowledge on property transactions through various communication channels and platforms.

The EAA organised two public seminars in September 2015 and March 2016 respectively. The first seminar was titled "Tips to become a smart purchaser of first-hand residential properties". Guest speakers shared their insights on the market trend and the important points-to-note when visiting show flats and appointing estate agents. The second public seminar, titled "Learn more about the tenancy matters of residential properties", aimed at helping landlords and tenants to have a better understanding on residential tenancy matters. Both seminars received an overwhelming response from the audience.



監管局分別於2015年9月及2016年3月舉辦了兩場公開講座，兩場講座均反應熱烈。

The EAA organised two public seminars in September 2015 and March 2016 respectively, both received an overwhelming response from the audience.



為加深公眾對住宅租賃事宜的認識，監管局除於2016年3月舉辦上述的第二場公開講座外，亦舉辦了一系列相關活動。在2016年1月，監管局推出全新的電視宣傳短片，以「租約細節保權益 地產代理要解釋」為主題，除了在主要電視及廣播頻道播放外，亦上載於監管局網頁及YouTube頻道讓公眾瀏覽。

To enhance the public's knowledge about residential tenancy matters, the EAA not only organised the abovementioned second public seminar in March 2016, but also rolled out a campaign on the theme. In January 2016, the EAA launched a new Announcement in the Public Interest ("API") titled "To protect clients' interests, estate agents should explain the tenancy agreement in details". The new API was broadcast on major TV and radio channels and is also available on the EAA's website and on YouTube for public viewing.



監管局推出全新的電視宣傳短片，以住宅租賃知識為主題。

The EAA launched a new API which is about knowledge on residential tenancy matters.

為配合上述電視宣傳短片推出，監管局於2016年1月一連三個週末，分別在沙田、筲箕灣及深水埗的三個商場舉行巡迴展覽。展覽攤位除播放一系列消費者教育短片，亦設有小型攤位遊戲，共吸引超過6,000人參觀，並派發了約3,500份消費者小冊子及機構資訊刊物。監管局也於2015年8月及2016年2月，參加了兩個分別於油塘及屯門舉行的招聘進修博覽。兩場展覽活動共吸引超過5,000人參觀，並派發了超過600份監管局刊物。

To tie in with the launch of the above API, a series of roving exhibitions were held at three shopping centres in Shatin, Shau Kei Wan and Sham Shui Po respectively on three weekends in January 2016. Showcased with a series of consumer education videos together with a mini-game booth, over 6,000 visitors were reached and about 3,500 copies of consumer booklets and corporate information were distributed. The EAA also participated in two recruitment fairs in Yau Tong in August 2015 and Tuen Mun in February 2016 respectively. The total number of visitors to the two fairs was over 5,000 and more than 600 copies of EAA publications were distributed.



## 聯繫社群

# Reaching out to the Community

此外，監管局於2015年12月出版了一本名為《安心租屋指南》的全新消費者小冊子，提醒公眾在訂立住宅物業租約時應注意的事項。此小冊子可在監管局及民政事務總署轄下的20個民政諮詢中心索取，年內共派發超過2,500份小冊子，反應非常熱烈。

In addition, the EAA published a new consumer booklet titled "A Guide to Tenancy" in December 2015. It aimed at reminding the public of the essential points-to-note when entering into a tenancy agreement for residential properties. The booklet is available for collection at the office of the EAA as well as at all the 20 Home Affairs Enquiry Centres ("HAEC") of the Home Affairs Department. Positive feedback was received and over 2,500 booklets have been sent to the HAECs for distribution.



為配合電視宣傳短片推出，監管局於2016年1月一連三個週末，分別在三個商場舉行巡迴展覽。

To tie in with the launch of the API, a series of roving exhibitions were held at three shopping centres respectively on three weekends in January 2016.

## 傳媒關係

為加強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2015/16年度，監管局共發出了19篇新聞稿及舉行了三次記者招待會，均獲傳媒廣泛報道。監管局主席、行政總裁及行政部門高層管理人員共接受了八次電子及印刷傳媒的專訪。監管局透過舉辦各種傳媒聚會，包括與傳媒高層舉行午餐會，以及與前線記者舉行農曆新年聚會等，與傳媒保持密切聯繫。

## Media Relations

To promote a better public understanding of the EAA's work, the EAA always keeps a close connection with the media to publicise its initiatives and efforts. In 2015/16, the EAA issued 19 press releases and held three press conferences and gained wide media coverage. A total of eight feature interviews with the EAA Chairman, the CEO and senior management for print and electronic media were also arranged. The EAA's relationship with the media was also maintained and strengthened through a number of media gatherings, including luncheons with media heads and a Chinese New Year gathering with frontline journalists.

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2015/16年度，監管局共為三份報章/網站專欄發表文章，包括在免費報章《am730》發表了23篇，在《英文虎報》發表了13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 contributes articles on timely topics relating to property transactions and expected services of estate agents to the media. In 2015/16, the EAA had three newspaper/online columns. A total of 23 articles were published in the free newspaper *am730*; 13 articles were contributed to *The Standard*; and 12 articles on the property website of *Singtao* and its property magazine 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2015/16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。

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2015/16年度，監管局分別於上環、黃大仙、大圍及柴灣舉辦了合共四次聚焦小組會議。

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2015/16年度，監管局共發出了21次此類提示/通知。此外，監管局亦發行了四期持牌人通訊《專業天地》。本年度的《專業天地》革新採用了更吸引及更平易近人的風格，讓持牌人知悉本局的最新規管措施及活動。公眾人士亦可於監管局網站瀏覽該份通訊。

## 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 2015/16, 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.

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 2015/16, a total of four such meetings were held in Sheung Wan, Wong Tai Sin, Tai Wai and Chai Wan respectively.

From time to time, the EAA issues letters and reminders in the format of email or SMS to licensees, or publishes 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 2015/16, a total of 21 such reminders/notices were issued. In addition, four issues of the EAA's licensee newsletter, *Horizons*, which was revamped for a more user-friendly and attractive style in the year, were published in 2015/16 to keep licensees abreast of the EAA's new regulatory measures and latest activities. Members of the public could also read it through the EAA's website.



## 聯繫社群

## Reaching out to the Community

此外，為確保業界遵循及明白有關參與一手住宅物業銷售的執業指引，監管局於2016年1月出版了一本名為《地產代理紀律研訊案例選輯——一手住宅物業》的新小冊子，透過真實的研訊個案，說明地產代理在處理一手住宅物業交易時所須遵守的相關規例、指引及操守。

監管局亦協助環境局向地產代理從業員及地產代理公司東主發出電郵，邀請他們簽署《戶外燈光約章》，以減少戶外燈光裝置可能造成的光滋擾和能源浪費問題，結果有不少地產代理公司參加了此項計劃。

In addition, to enhance the trade's compliance and understanding of the relevant regulatory requirements when participating in the sale and purchase of first-hand residential properties, a new booklet named "Inquiry Hearing Cases of Estate Agents - A Selection (First-Hand Residential Properties)" was published in January 2016. This new booklet illustrates the relevant regulations, guidelines and ethics that estate agents should comply with when handling first-hand residential property transactions through real inquiry hearing cases.

The EAA also assisted the Environmental Bureau by issuing mass emails to invite estate agency practitioners and estate agency company owners to join the "Charter on External Lighting" scheme to address the problem of light nuisance and energy wastage caused by external lighting. It turned out that a number of estate agency companies had participated in the scheme.



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.



監管局接待來自青海省工商行政管理局的代表團，向他們介紹本局的主要職能。

The EAA received a delegation from the Qinghai Province Administration for Industry to introduce the key functions of the EAA.



監管局亦與不同的專業團體或業界組織作國際性交流，以推廣監管局的形象。在2015/16年度，監管局分別接待了青海省工商行政管理局代表團、法律教育基金有限公司內地法律學生交流團，以及新加坡地產代理議會代表團。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。

The EAA also had international exchanges with different professional or trade bodies outside Hong Kong, which helped promote the image of the EAA. During 2015/16, the EAA received delegations from the Qinghai Province Administration, a mainland law student delegation from the Legal Education Fund Limited and the Council for Estate Agencies of Singapore 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)

TO THE MEMBERS OF ESTATE AGENTS AUTHORITY

地產代理監管局

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

本核數師(以下簡稱「我們」)已審核列載於第102至125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2016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

我們的責任是根據審核對該等財務報表作出意見，並按照《地產代理條例》第12條僅向監管局整體成員報告，除此之外，本報告別無其他目的。我們不會就本報告之內容向任何其他人士負上或承擔任何責任。我們已根據香港會計師公會頒佈之《香港審計準則》進行審核。該準則要求我們遵守道德規範，並規劃及執行審核，以合理確定財務報表是否存在任何重大錯誤陳述。

We have audited the financial statements of Estate Agents Authority set out on pages 102 to 125, which comprise the statement of financial position as at 31 March 2016, and the statement of profit or loss and other comprehensive income, statement of movements in reserves and 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

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 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2016年3月31日的財務狀況，及監管局截至該日止年度的財務狀況及現金流量，並已遵守《地產代理條例》妥為編製。

**德勤•關黃陳方會計師行**

執業會計師

香港

2016年8月23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 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 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 financial position of Estate Agents Authority as at 31 March 2016, and of its financial performance and cash flows for the year then ended in accordance with Hong Kong Financial Reporting Standards and have been properly prepared in compliance with the Estate Agents Ordinance.

**Deloitte Touche Tohmatsu**

Certified Public Accountants

Hong Kong

23 August 2016



# 財務報表

## Financial Statements

收支結算表及  
其他全面收益表  
截至2016年3月31日止年度

Statement of Profit or Loss and  
Other Comprehensive Income  
For the year ended 31 March 2016

|                |   | 附註<br>Notes | 2016<br>港元<br>HK\$ | 2015<br>港元<br>HK\$ |
|----------------|---|-------------|--------------------|--------------------|
| 收入             | Income  |             |                    |                    |
| 牌照費            | Licence fees  | 5           | <b>75,199,402</b>  | 72,580,410         |
| 考試費            | Examination fees  | 6           | <b>6,497,094</b>   | 5,903,150          |
| 利息收入           | Interest income   |             | <b>1,536,236</b>   | 1,283,002          |
|                |   |             | <b>83,232,732</b>  | 79,766,562         |
| 支出             | Expenditure   |             |                    |                    |
| 核數師酬金          | Auditor's remuneration  |             | <b>69,000</b>      | 65,000             |
| 公眾教育開支         | Community education expenses                                    |             | <b>1,470,748</b>   | 1,040,387          |
| 投訴、調查及紀律研訊的支出  | Complaints, investigation and disciplinary proceedings expenses |             | <b>153,524</b>     | 111,056            |
| 中港代理資格互認計劃支出   | CEPA scheme expenses  |             | <b>4,539</b>       | 15,465             |
| 折舊             | Depreciation  |             | <b>1,785,168</b>   | 1,477,559          |
| 器材維修保養及通訊費用    | Equipment maintenance and communication expenses                |             | <b>1,152,421</b>   | 1,080,908          |
| 地產代理證支出        | Estate agent card expenses                                      |             | <b>116,700</b>     | 111,710            |
| 保險費            | Insurance   |             | <b>1,085,365</b>   | 1,176,641          |
| 汽車營運支出         | Motor vehicle operating expenses                                |             | <b>162,789</b>     | 145,493            |
| 辦公室及相關開支       | Office accommodation and related expenses                       |             | <b>2,479,374</b>   | 2,330,152          |
| 經營租賃租金 – 土地及樓宇 | Operating lease rentals in respect of land and buildings        |             | <b>8,361,952</b>   | 7,756,070          |
| 郵費             | Postage   |             | <b>308,173</b>     | 370,024            |
| 印刷及文具          | Printing and stationery   |             | <b>493,330</b>     | 457,367            |
| 專業服務費用         | Professional service fees                                       |             | <b>100,000</b>     | 677,200            |
| 公共關係及聯絡費       | Public relations and liaison                                    |             | <b>24,214</b>      | 51,167             |
| 宣傳及廣告          | Publicity and advertising                                       |             | <b>80,000</b>      | 4,400              |
| 員工成本           | Staff costs   |             |                    |                    |
| - 薪金及津貼        | - wages, salaries and allowances                                |             | <b>48,346,062</b>  | 46,564,362         |
| - 強制性公積金供款     | - contributions to mandatory provident fund scheme              |             | <b>1,371,968</b>   | 1,351,152          |
| 考試服務費          | Service fees for examinations                                   |             | <b>4,635,853</b>   | 4,007,500          |
| 培訓活動開支         | Training activity expenses                                      |             | <b>591,405</b>     | 599,615            |
| 其他開支           | Other expenses  |             | <b>495,463</b>     | 620,444            |
|                |   |             | <b>73,288,048</b>  | 70,013,672         |
| 年內盈餘及其他全面收益總額  | Surplus and total comprehensive income for the year             |             | <b>9,944,684</b>   | 9,752,890          |



## 財務狀況表

於2016年3月31日

## Statement of Financial Position

At 31 March 2016

|                     |  | 附註<br>Notes | 2016<br>港元<br>HK\$ | 2015<br>港元<br>HK\$ |
|---------------------|--|-------------|--------------------|--------------------|
| 非流動資產               | Non-current assets   |             |                    |                    |
| 物業、器材及設備            | Property, plant and equipment                                    | 8           | <b>6,768,350</b>   | 2,187,392          |
| 購置物業、器材及設備之<br>已付按金 | Deposit paid for acquisition of property,<br>plant and equipment | 8           | —                  | 2,385,487          |
|                     |  |             | <b>6,768,350</b>   | 4,572,879          |
| 流動資產                | Current assets   |             |                    |                    |
| 應收賬款、預付款項及按金        | Debtors, prepayments and deposits                                |             | <b>3,307,142</b>   | 2,882,186          |
| 定期存款                | Time deposits  | 9           | <b>83,605,068</b>  | 76,154,121         |
| 銀行結餘及現金             | Bank balances and cash   | 9           | <b>142,227,217</b> | 137,327,454        |
|                     |  |             | <b>229,139,427</b> | 216,363,761        |
| 流動負債                | Current liabilities  |             |                    |                    |
| 應付賬款及應計項目           | Creditors and accruals   |             | <b>12,676,750</b>  | 8,938,743          |
| 遞延收入                | Deferred income  | 10          | <b>55,256,496</b>  | 54,731,226         |
| 已收牌照申請款項            | Licence application fees received                                | 11          | <b>4,787,107</b>   | 4,023,931          |
|                     |  |             | <b>72,720,353</b>  | 67,693,900         |
| 流動資產淨值              | Net current assets   |             | <b>156,419,074</b> | 148,669,861        |
| 總資產減流動負債            | Total assets less current liabilities                            |             | <b>163,187,424</b> | 153,242,740        |
| 儲備                  | Reserves   |             | <b>163,187,424</b> | 153,242,740        |

載於第102至125頁之財務報表於2016年8月23日獲地產代理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 102 to 125 were approved and authorised for issue by the members of Estate Agents Authority on 23 August 2016 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2016年3月31日止年度

### Statement of Movements in Reserves

For the year ended 31 March 2016

|                           |                                      | 資本<br>項目基金<br>Capital<br>Notes<br>港元<br>HK\$ | 累積儲備<br>Cumulative<br>fund<br>港元<br>HK\$ | 總計<br>Total<br>港元<br>HK\$ |
|---------------------------|--------------------------------------|--|--|---------------------------|
| 於2014年4月1日                | At 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日及<br>2015年4月1日 | At 31 March 2015 and<br>1 April 2015 | 104,233,170                                  | 49,009,570                               | 153,242,740               |
| 年內盈餘                      | Surplus for the year                 | —  | 9,944,684                                | 9,944,684                 |
| 轉撥至資本項目基金                 | Transfer to capital project fund     | 7,652,620                                    | (7,652,620)                              | —                         |
| 於2016年3月31日               | At 31 March 2016                     | 111,885,790                                  | 51,301,634                               | 163,187,424               |

資本項目基金為用以支付發展經地產代理監管局(以下簡稱「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。

Capital project fund caters for the cost of capital projects, as approved by Estate Agents Authority ("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 EAA.

於2016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105,700,790港元(2015年：98,048,170港元)。

Capital project fund balance at 31 March 2016 included an amount of HK\$105,700,790 (2015: HK\$98,048,170) which represents funds for the possible acquisition of permanent office accommodation in future.



## 現金流量表

截至2016年3月31日止年度

## Statement of Cash Flows

For the year ended 31 March 2016

|                  |   | 2016<br>港元<br>HK\$  | 2015<br>港元<br>HK\$ |
|------------------|---|---------------------|--------------------|
| <b>營運活動</b>      | <b>OPERATING ACTIVITIES</b>                                   |                     |                    |
| 年內盈餘             | Surplus for the year  | <b>9,944,684</b>    | 9,752,890          |
| 就下列各項作出調整：       | Adjustments for:  |                     |                    |
| 利息收入             | Interest income   | <b>(1,536,236)</b>  | (1,283,002)        |
| 折舊               | Depreciation  | <b>1,785,168</b>    | 1,477,559          |
| 營運資金變動前之營運現金流量   | Operating cash flows before movements in working capital      | <b>10,193,616</b>   | 9,947,447          |
| 應收賬款、預付款項及按金增加   | Increase in debtors, prepayments and deposits                 | <b>(242,175)</b>    | (298,656)          |
| 應付賬款及應計項目增加(減少)  | Increase (decrease) in creditors and accruals                 | <b>3,738,007</b>    | (10,190)           |
| 遞延收入增加           | Increase in deferred income                                   | <b>525,270</b>      | 2,391,407          |
| 已收牌照申請款項增加       | Increase in licence applications received                     | <b>763,176</b>      | 279,794            |
| 營運活動所得現金淨額       | NET CASH FROM OPERATING ACTIVITIES                            | <b>14,977,894</b>   | 12,309,802         |
| <b>投資活動</b>      | <b>INVESTING ACTIVITIES</b>                                   |                     |                    |
| 存置定期存款           | Placement of time deposits                                    | <b>(7,450,947)</b>  | (76,154,121)       |
| 購置物業、器材及設備       | Purchase of property, plant and equipment                     | <b>(3,980,639)</b>  | (478,362)          |
| 購置物業、器材及設備之已付按金  | Deposit paid for acquisition of property, plant and equipment | —                   | (994,600)          |
| 已收利息             | Interest received   | <b>1,353,455</b>    | 1,146,727          |
| 投資活動所用現金淨額       | NET CASH USED IN INVESTING ACTIVITIES                         | <b>(10,078,131)</b> | (76,480,356)       |
| 現金及現金等價物增加(減少)淨額 | NET INCREASE (DECREASE) IN CASH AND CASH EQUIVALENTS          | <b>4,899,763</b>    | (64,170,554)       |
| 年初的現金及現金等價物      | CASH AND CASH EQUIVALENTS AT THE BEGINNING OF THE YEAR        | <b>137,327,454</b>  | 201,498,008        |
| 年終的現金及現金等價物      | CASH AND CASH EQUIVALENTS AT THE END OF THE YEAR              | <b>142,227,217</b>  | 137,327,454        |
| 現金及現金等價物結餘分析：    | ANALYSIS OF BALANCES OF CASH AND CASH EQUIVALENTS:            |                     |                    |
| 銀行結存及現金          | Bank balances and cash  | <b>142,227,217</b>  | 137,327,454        |



# 財務報表

## Financial Statements

### 財務報表附註

截至2016年3月31日止年度

### Notes to the Financial Statements

For the year ended 31 March 2016

#### 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，監管局首次應用下列由香港會計師公會頒佈之《香港財務報告準則》修訂：

香港會計準則第19號 修訂本  
Amendments to HKAS 19

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

#### 1. GENERAL

Estate Agents Authority ("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 EAA is 48th Floor, Hopewell Centre, Queen's Road East, Hong Kong.

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

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

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

界定福利計劃：僱員供款  
Defined Benefit Plans: Employee Contributions

2010至2012年週期香港財務報告準則之年度改進  
Annual Improvements to HKFRSs 2010 - 2012 Cycle

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



## 2. 應用新訂及經修訂之香港財務報告準則 (續)

於本年度應用此等香港財務報告準則之修訂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。

監管局並無提早應用下列已頒佈但尚未生效之新訂《香港財務報告準則》及修訂本：

香港財務報告準則第9號  
HKFRS 9

香港財務報告準則第15號  
HKFRS 15

香港財務報告準則第16號  
HKFRS 16

香港會計準則第1號 (修訂本)  
Amendments to HKAS 1

香港會計準則第7號 (修訂本)  
Amendments to HKAS 7

香港會計準則第16號及香港會計準則第38號 (修訂本)  
Amendments to HKAS 16 and HKAS 38

香港會計準則第16號及香港會計準則第41號 (修訂本)  
Amendments to HKAS 16 and HKAS 41

香港會計準則第27號 (修訂本)  
Amendments to HKAS 27

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

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

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

金融工具<sup>3</sup>  
Financial Instruments<sup>3</sup>

客戶合約收入<sup>3</sup>  
Revenue from Contracts with Customers<sup>3</sup>

租賃<sup>4</sup>  
Leases<sup>4</sup>

修訂披露計劃<sup>1</sup>  
Disclosure Initiative<sup>1</sup>

修訂披露計劃<sup>2</sup>  
Disclosure Initiative<sup>2</sup>

澄清折舊及攤銷之可接受方式<sup>1</sup>

Clarification of Acceptable Methods of Depreciation and Amortisation<sup>1</sup>

農業：生產性植物<sup>1</sup>

Agriculture: Bearer Plants<sup>1</sup>

獨立財務報表之權益法<sup>1</sup>  
Equity Method in Separate Financial Statements<sup>1</sup>



# 財務報表

## Financial Statements

### 2. 應用新訂及經修訂之香港財務報告準則 (續)

香港財務報告準則第10號、香港財務報告準則第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2號 (修訂本)

Amendments to HKFRS 2

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11號 (修訂本)

Amendments to HKFRS 11

香港財務報告準則第15號 (修訂本)

Amendments to HKFRS 15

香港財務報告準則 (修訂本)

Amendments to HKFRSs

<sup>1</sup> 於2016年1月1日或之後開始之年度期間生效，可提早應用。

<sup>2</sup> 於2017年1月1日或之後開始之年度期間生效，可提早應用。

<sup>3</sup> 於2018年1月1日或之後開始之年度期間生效，可提早應用。

<sup>4</sup> 於2019年1月1日或之後開始之年度期間生效，並於香港會計準則第15號提前應用時，可提早應用。

<sup>5</sup> 生效日期有待決定。

監管局管理層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。

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

投資實體：應用綜合入帳之例外情況<sup>1</sup>

Investment Entities: Applying the Consolidation Exception<sup>1</sup>

分類與衡量股權基礎給付交易<sup>3</sup>

Clarification and Measurement of Share-based Payment Transactions<sup>3</sup>

投資者與其聯營或合營企業之間的資產出售或投入<sup>5</sup>

Sale or Contribution of Assets between an Investor and its Associate or Joint Venture<sup>5</sup>

收購合營業務權益之會計處理<sup>1</sup>

Accounting for Acquisitions of Interests in Joint Operations<sup>1</sup>

澄清有關香港財務報告準則第15號「客戶合約收入」<sup>3</sup>

Clarifications to HKFRS 15 "Revenue from Contracts with Customers"<sup>3</sup>

二零一二至二零一四年週期香港財務報告準則之年度改進<sup>1</sup>

Annual Improvements to HKFRSs 2012 - 2014 Cycle<sup>1</sup>

<sup>1</sup> Effective for accounting periods beginning on or after 1 January 2016, with earlier application permitted.

<sup>2</sup> Effective for accounting periods beginning on or after 1 January 2017, with earlier application permitted.

<sup>3</sup> Effective for accounting periods beginning on or after 1 January 2018, with earlier application permitted.

<sup>4</sup> Effective for accounting periods beginning on or after 1 January 2019, with earlier application permitted provided that HKFRS 15 is also applied.

<sup>5</sup> Effective date to be determined.

Management of 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 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。

歷史成本一般以交換貨品及服務時給予代價的公平值為基準。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.

Historical cost is generally based on the fair value of the consideration given in exchange for goods and services. 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 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 depreciation method are reviewed at the end of each reporting period, with the effect of any changes in estimate accounted for on a prospective basis.



# 財務報表

## 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。出售或報銷物業、器材及設備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

於報告期末，監管局會審閱其有形資產之賬面值，以釐定有否任何顯示該等資產已出現減值虧損的跡象。倘有任何有關跡象出現，將會估計有關資產之可收回金額，以釐定減值虧損(如有)之程度。當無法估計個別資產之可收回金額時，監管局會估計該資產所屬現金產生單位之可收回金額。倘可確定合理及一致之分配基準，企業資產亦會被分配至個別之現金產生單位，否則會被分配至可合理及一致之分配基準而識別之最小現金產生單位組別中。

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，估計未來現金流量乃使用稅前貼現率折現至其現值，該貼現率反映現時市場對貨幣時間值之評估，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。

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



### 3. 主要會計政策 (續)

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。

#### 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。

#### 實際利率法

實際利息法為計算金融資產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。

### 3. Significant Accounting Policies (Continued)

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.

#### Financial instruments

Financial assets and financial liabilities are recognised on the statement of financial position when 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

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.



# 財務報表

## Financial Statements

### 3. 主要會計政策 (續)

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)。

#### 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。

若干類別之金融資產(如應收賬款)而言，不會單獨作出減值之資產會匯集一併評估減值。應收款項組合出現減值之客觀證據包括監管局過往收款記錄、組合內超過平均信貸期的延遲付款數目增加、地區經濟狀況出現明顯變動導致應收賬款未能償還。

### 3. Significant Accounting Policies (Continued)

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 and cash balances) are carried at amortised cost using the effective interest method, less any impairment losses (see accounting policy on impairment of financial assets below).

#### 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 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.



### 3. 主要會計政策 (續)

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，其將於撥備賬內撇銷。於其後收回的已撇銷款項將計入損益。

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

監管局發行之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。

### 3. Significant Accounting Policies (Continued)

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.

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.



# 財務報表

## Financial Statements

### 3. 主要會計政策 (續)

#### 金融負債

金融負債〔包括應付賬款及應計項目〕乃其後以按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份風險及回報，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。

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。

### 3. Significant Accounting Policies (Continued)

#### Financial liabilities

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

#### Derecognition

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 EAA neither transfers nor retains substantially all the risks and rewards of ownership and continues to control the transferred asset, EAA continues to recognise the asset to the extent of its continuing involvement and recognises an associated liability. If EAA retains substantially all the risks and rewards of ownership of a transferred financial asset, EAA continues to recognise the financial asset and also recognises a collateralised borrowing for the proceeds received.

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.

EAA derecognises financial liabilities when, and only when, 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.



### 3. 主要會計政策 (續)

#### 租賃

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可以獲得租賃優惠，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，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 – 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。監管局及其僱員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(2015年:1,500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)

#### 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

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 EAA and the employees are required to contribute 5% of the employee's relevant income up to a maximum of HK\$1,500 (2015: HK\$1,500) per employee per month. EAA's contributions to the MPF scheme are expensed as incurred.



# 財務報表

## Financial Statements

### 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收支結算表內確認。

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 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 profit or loss when there is objective evidence that the asset is impaired.

In determining individual allowances, 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, 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.





## 5. 牌照費

## 5. LICENCE FEES

|        |                    | 2016<br>港元<br>HK\$ | 2015<br>港元<br>HK\$ |
|--------|--------------------|--------------------|--------------------|
| 牌照費總收入 | Total licence fees | <b>75,199,402</b>  | 72,580,410         |

## 6. 考試費

## 6. EXAMINATION FEES

|              |   | 2016<br>港元<br>HK\$ | 2015<br>港元<br>HK\$ |
|--------------|---|--------------------|--------------------|
| 地產代理及營業員資格考試 | Estate agents and salespersons<br>qualifying examinations | <b>6,497,094</b>   | 5,903,150          |

## 7. 稅項

## 7. TAXATION

根據《稅務條例》第87條，監管局獲豁免繳納香港利得稅。

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



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### 8. 物業、器材及設備/購置物業、器材及設備之已付按金

### 8. Property, Plant and Equipment/Deposit Paid for Acquisition of Property, Plant and Equipment

|             |                         | 租賃物業裝修<br>Leasehold<br>improvements<br>港元<br>HK\$ | 汽車<br>Motor<br>vehicles<br>港元<br>HK\$ | 傢俬及裝置<br>Furniture and<br>fixtures<br>港元<br>HK\$ | 設備<br>Equipment<br>港元<br>HK\$ | 合計<br>Total<br>港元<br>HK\$ |
|-------------|-------------------------|---|---------------------------------------|--|-------------------------------|---------------------------|
| <b>成本</b>   |                         | <b>COST</b>                                       |                                       |  |                               |                           |
| 於2014年4月1日  | At 1 April 2014         | 4,565,453   | 557,264                               | 1,775,694  | 10,471,139                    | 17,369,550                |
| 添置          | Additions               | —   | —                                     | 14,450   | 463,912                       | 478,362                   |
| 註銷          | 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                |
| 添置          | Additions               | 14,400  | —                                     | —  | 6,351,726                     | 6,366,126                 |
| 撇銷          | Disposals               | —   | —                                     | —  | (19,210)                      | (19,210)                  |
| 於2016年3月31日 | At 31 March 2016        | 4,579,853   | 557,264                               | 1,767,907  | 17,230,483                    | 24,135,507                |
| <b>折舊</b>   |                         | <b>DEPRECIATION</b>                               |                                       |  |                               |                           |
| 於2014年4月1日  | At 1 April 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                |
| 年內撥備        | Provided for the year   | 216,169   | 1,756                                 | 54,874   | 1,512,369                     | 1,785,168                 |
| 撇銷          | Eliminated on disposals | —   | —                                     | —  | (19,210)                      | (19,210)                  |
| 於2016年3月31日 | At 31 March 2016        | 4,566,326   | 557,264                               | 1,682,697  | 10,560,870                    | 17,367,157                |
| <b>賬面值</b>  |                         | <b>NET BOOK VALUES</b>                            |                                       |  |                               |                           |
| 於2016年3月31日 | At 31 March 2016        | 13,527  | —                                     | 85,210   | 6,669,613                     | 6,768,350                 |
| 於2015年3月31日 | At 31 March 2015        | 215,296   | 1,756                                 | 140,084  | 1,830,256                     | 2,187,392                 |



## 8. 物業、器材及設備/購置物業、器材及設備之已付按金 (續)

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：

|        |                       |
|--------|-----------------------|
| 租賃物業裝修 | 20% 或按租賃年期<br>(倘少於五年) |
| 汽車     | 30%                   |
| 傢俬及裝置  | 20%                   |
| 設備     | 20% 至 30%             |

截至2015年3月31日，支付作為發展綜合管理資訊系統之總按金為2,385,487港元。該綜合管理資訊系統已發展完成，並於本年度轉移至物業、器材及設備。

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

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:

|                        |   |
|------------------------|---|
| Leasehold improvements | 20% or over the period of the lease term if it is less than 5 years |
| Motor vehicles         | 30%   |
| Furniture and fixtures | 20%   |
| Equipment              | 20% to 30%  |

At 31 March 2015, the total deposit paid in relation to the development of an integrated management information system was HK\$2,385,487. The development was completed and the integrated management information system was transferred to property, plant and equipment during the current year.



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### 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餘下到期日為8至56日，按當時市場年利率介乎0.01%至0.85% (2015年：介乎0.01%至0.85%) 計算之短期銀行存款。

定期存款包括餘下到期日為134至158日，按當時市場年利率為0.65%至0.70% (2015年：介乎0.50%至0.70%) 計算之短期銀行存款。

監管局認為該等資產之賬面值與其公平價值相若。

### 9. Bank Balances and Cash and Time Deposits

Bank balances and cash comprise cash held by EAA and short-term bank deposits with remaining tenure of 8 to 56 days at prevailing market interest rates ranging from 0.01% to 0.85% per annum (2015: 0.01% to 0.85% per annum).

Time deposits comprise short-term bank deposits with remaining tenure of 134 to 158 days at prevailing market interest rates being 0.65% to 0.70% per annum (2015: 0.50% to 0.70% per annum).

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。

## 10. Deferred Income

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

## 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。

## 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. 資本承擔

## 12. Capital Commitments

|                   |   | 2016<br>港元<br>HK\$ | 2015<br>港元<br>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: |                    |                    |
| 已訂約但未在財務報表中撥備     | - contracted but not provided for in the financial statements                       | <b>746,000</b>     | 3,481,000          |



# 財務報表

## Financial Statements

### 13. 經營租賃承擔

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

|                |                                       | 2016<br>港元<br>HK\$ | 2015<br>港元<br>HK\$ |
|----------------|---------------------------------------|--------------------|--------------------|
| 一年內            | Within one year                       | 8,023,824          | 4,743,571          |
| 第二至第五年(包括首尾兩年) | In the second to fifth year inclusive | 12,704,388         | —                  |
|                |                                       | <b>20,728,212</b>  | 4,743,571          |

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(2015:三年)議定一次。

### 13. Operating Lease Commitments

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

Operating lease payments represent rentals payable by EAA for certain of its office premises. Leases are negotiated for and rentals are fixed for an average term of three years (2015: 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金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

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

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

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

|                     |   | 2016<br>港元<br>HK\$ | 2015<br>港元<br>HK\$ |
|---------------------|---|--------------------|--------------------|
| <b>金融資產：</b>        | <b>Financial assets:</b>                                    |                    |                    |
| 貸款及應收款項(包括現金及現金等價物) | Loans and receivables (including cash and cash equivalents) | <b>228,740,296</b> | 215,804,280        |
| <b>金融負債：</b>        | <b>Financial liabilities:</b>                               |                    |                    |
| 攤銷成本                | Amortised costs   | <b>11,745,031</b>  | 8,756,984          |

### b. 金融風險管理目標及政策

監管局之主要金融工具包括應收賬款、定期存款、銀行結餘、現金及應付賬款。該等金融工具詳情於各自附註披露。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。

#### 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。

### b. Financial risk management objectives and policies

EAA's major financial instruments include debtors, time deposits, bank balances and cash and creditors. 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.

#### Market risk

##### Cash flow interest rate risk

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 EAA.



# 財務報表

## Financial Statements

### 15. 金融工具 (續)

#### 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對手而面對之信貸風險。

為了儘量減低信貸風險，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)

#### Credit risk

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

In order to minimise the credit risk, 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, EAA considers that 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 EAA, which has built an appropriate liquidity risk management framework for the management of EAA's short, medium and long-term funding and liquidity management requirements. The management of EAA manages liquidity risk by maintaining adequate reserves and continuously monitors the forecast and actual cash flows.





## 15. 金融工具 (續)

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)

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

|              |             | 加權平均<br>實際利率<br>Weighted<br>average<br>effective<br>interest rate | 0 至 30 天                  | 31 至 60 天                  | 未貼現現金<br>流量總額                                     | 賬面值                              |
|--------------|-------------|---|---------------------------|----------------------------|---|----------------------------------|
|              |             | %   | 0 - 30 days<br>港元<br>HK\$ | 31 - 60 days<br>港元<br>HK\$ | Total<br>undiscounted<br>cash flows<br>港元<br>HK\$ | Carrying<br>amount<br>港元<br>HK\$ |
| <b>2016年</b> | <b>2016</b> |   |                           |                            |   |                                  |
| 應付賬款         | Creditors   | —   | 10,686,567                | 1,058,464                  | 11,745,031  | 11,745,031                       |
| <b>2015年</b> | <b>2015</b> |   |                           |                            |   |                                  |
| 應付賬款         | Creditors   | —   | 8,225,207                 | 531,777                    | 8,756,984   | 8,756,984                        |

### c. 公平價值

金融資產及金融負債之公平價值，按貼現現金流量分析普遍採納之定價模式釐定。

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約。

### 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.

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

### Finance and Strategic Development Committee

#### 職權範圍：

1. 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。
2. 審核重要的財政議題 — 特別是賬目報表初稿、委任外部核數師、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，並審視及批核編制架構和重組安排、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 — 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作表現，以確定是否聘用、延長試用期、晉升、解僱、終止或繼續聘用，或其他與聘用相關事宜，以及確定是否批出按表現發放的獎賞，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。

#### Terms of Reference:

1. To consider strategic issues of long-term significance, in preparation for consideration by the Board.
2. To examine issues of major financial significance, in particular, draft statements of accounts, appointment of external auditor, staff cost implications, budgetary matters, long-term financial planning and asset management, and to make recommendations to the Board for consideration.
3. 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.



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|---|--|
| <p>7. 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。</p> <p>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。</p> <p>9. 不時按委員會主席指引成立一個由委員會成員組成的工作小組，以執行委員會主席所委派的工作，審議小組的工作結果，及適時向董事局提交建議。</p> <p>10. 執行由監管局董事局授權處理的工作。</p> <p>11. 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。</p> | <p>7. To devise guidelines for and make recommendations to the Board on the investment of the EAA monies.</p> <p>8. 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.</p> <p>9. To set up a task force as may from time to time be directed by the Committee Chairman, comprising any member(s) of the Committee, to carry out such tasks as the Committee Chairman may assign; to deliberate on the findings of the task force; and to make recommendations to the Board for approval as appropriate.</p> <p>10. To perform such other tasks as the Board may from time to time delegate.</p> <p>11. 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.</p> |
|---|--|

| 成員：  | Membership：  |
|--|--|
| 主席： 梁永祥先生，SBS，JP   | Chairman: Mr William LEUNG Wing-cheung, SBS, JP  |
| 成員： 陳超國先生<br>張國鈞先生，JP<br>劉振江測量師<br>廖玉玲女士，JP<br>黃鳳嫻女士<br>吳麗莎女士<br>余惠偉先生，JP<br>運輸及房屋局常任秘書長<br>(房屋)或其代表 | Members: Mr Charles CHAN Chiu-kwok<br>Mr Horace CHEUNG Kwok-kwan, JP<br>Sr LAU Chun-kong<br>Ms Elaine LIU Yuk-ling, JP<br>Ms Gilly WONG Fung-han<br>Miss Melissa WU<br>Mr YU Wai-wai, JP<br>Permanent Secretary for Transport and Housing<br>(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：

1. 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。

#### Disciplinary Committee

##### Terms of Reference:

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 Committee, 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.



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|---|--|
| <p>8. 不時按委員會主席指引成立一個由委員會成員組成的工作小組，以執行委員會主席所委派的工作，審議小組的工作結果，及適時向董事局提交建議。</p> | <p>8. To set up a task force as may from time to time be directed by the Committee Chairman, comprising any member(s) of the Committee, to carry out such tasks as the Committee Chairman may assign; to deliberate on the findings of the task force; and to make recommendations to the Board for approval as appropriate.</p> |
| <p>9. 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。</p>                                 | <p>9. 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.</p>  |

| 成員：  | Membership:   |
|--|---|
| 主席： 廖玉玲女士，JP   | Chairman: Ms Elaine LIU Yuk-ling, JP  |
| 成員： 羅孔君女士，JP<br>吳啟民先生<br>蕭澤宇先生，BBS，JP<br>謝順禮先生<br>汪敦敬先生<br>黃光耀先生<br>吳麗莎女士<br>余雅芳女士 | Members: Miss Jane Curzon LO, JP<br>Mr NG Kai-man<br>Mr Simon SIU Chak-yu, BBS, JP<br>Mr Calvin TSE Shun-lai<br>Mr Lawrance WONG Dun-king<br>Mr Ricky WONG Kwong-yiu<br>Miss Melissa WU<br>Ms Avon YUE Nga-fong |
| 委任成員：  | Board-appointed Members:  |
| 陳東岳先生<br>張麗珍女士<br>江玉歡女士<br>郭昶先生<br>黎斯維先生<br>李曉華女士<br>廖志明先生<br>葉慕貞女士                | Mr Tony T N CHAN<br>Ms Winnie CHEUNG Lai-chun<br>Ms Doreen KONG<br>Mr Anthony KWOK Chong<br>Mr Alex LAI Sze-wai<br>Ms Sylvia LEE<br>Mr LIU Chi-ming<br>Ms Jessica YIP Mo-ching                                  |

## 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

#### 牌照委員會

##### 職權範圍：

1. 研究及建議地產代理及營業員之發牌規定。
2. 研究及建議豁免某類人士發牌規定的準則。
3. 指示監管局行政部門處理牌照/營業詳情說明書的申請，並向符合發牌條件的申請人發出或續發有關牌照/營業詳情說明書。
4. 審閱提交予委員會之牌照/營業詳情說明書申請，若認為適當，可批准或拒絕申請。
5. 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。
7. 檢討及建議牌照費用及監管局各類服務之收費幅度。
8. 研究及設計與發牌事項有關的表格及文件。

#### Licensing Committee

##### Terms of Reference:

1. 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.
3. 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.
4. To consider and if thought appropriate, to approve or refuse applications for licences/SPOBs brought before the Committee.
5. 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.
6. To set policies relating to licensing matters.
7. To review and make recommendations on the scale of licence fees and charges for services provided by the EAA.
8. To consider and design the relevant forms and related documents pertaining to licensing matters.



9. 不時按委員會主席指引成立一個由委員會成員組成的工作小組，以執行委員會主席所委派的工作，審議小組的工作結果，及適時向董事局提交建議。
9. To set up a task force as may from time to time be directed by the Committee Chairman, comprising any member(s) of the Committee, to carry out such tasks as the Committee Chairman may assign; to deliberate on the findings of the task force; and to make recommendations to the Board for approval as appropriate.
10. 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。
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：   |   | Membership:              |   |
|-------|---|--------------------------|---|
| 主席：   | 劉振江測量師  | Chairman:                | Sr LAU Chun-kong  |
| 成員：   | 鄒廣榮教授<br>凌潔心女士<br>羅孔君女士，JP<br>謝順禮先生<br>黃光耀先生<br>余雅芳女士 | Members:                 | Professor CHAU Kwong-wing<br>Ms Imma LING Kit-sum<br>Miss Jane Curzon LO, JP<br>Mr Calvin TSE Shun-lai<br>Mr Ricky WONG Kwong-yiu<br>Ms Avon YUE Nga-fong |
| 委任成員： |   | Board-appointed Members: |   |
|       | 廖志明先生<br>蕭亮鴻測量師<br>張玉雲女士<br>(消費者委員會代表)                |                          | Mr LIU Chi-ming<br>Sr Keith SIU Leung-hung<br>Ms Winnie CHEUNG Yuk-wan<br>(representative of Consumer 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

#### 執業及考試委員會

#### Practice and Examination Committee

##### 職權範圍：

##### Terms of Reference:

1. 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式。
  2. 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。
  3. 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。
  4. 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況；並聯絡業界，共同研究提升執業水準及服務質素的方法。
  5. 制訂地產代理和營業員資格考試的範圍及費用。
  6. 為資格考試的執行工作制訂準則。
  7. 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。
  8. 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。
1. To draw up, review and revise code(s) of ethics governing the conduct and practice of the estate agency trade.
  2. To review and make recommendations on the regulations under the Estate Agents Ordinance (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.
  4. 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.
  6. To set the parameters for the administration of the qualifying examinations.
  7. To oversee and give direction to the EAA Administration in the setting and moderation of examination questions and determination of penalties for breaches of examination regulations by candidates.
  8. To review and determine the pass marks and commendation marks for the qualifying examinations and, where appropriate, those for each part thereof.





9. 不時按委員會主席指引成立一個由委員會成員組成的工作小組，以執行委員會主席所委派的工作，審議小組的工作結果，及適時向董事局提交建議。
9. To set up a task force as may from time to time be directed by the Committee Chairman, comprising any member(s) of the Committee, to carry out such tasks as the Committee Chairman may assign; to deliberate on the findings of the task force; and to make recommendations to the Board for approval as appropriate.
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。
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：   |  | Membership:              |   |
|-------|--|--------------------------|---|
| 主席：   | 張國鈞先生，JP   | Chairman:                | Mr Horace CHEUNG Kwok-kwan, JP  |
| 副主席：  | 黃鳳嫻女士  | Vice-Chairman:           | Ms Gilly WONG Fung-han  |
| 成員：   | 陳超國先生<br>鄒廣榮教授<br>凌潔心女士<br>劉哲寧先生<br>羅孔君女士，JP<br>吳啟民先生<br>蕭澤宇先生，BBS，JP<br>謝順禮先生<br>汪敦敬先生<br>黃光耀先生<br>余雅芳女士<br>運輸及房屋局常任秘書長<br>(房屋)或其代表 | Members:                 | Mr Charles CHAN Chiu-kwok<br>Professor CHAU Kwong-wing<br>Ms Imma LING Kit-sum<br>Mr LIU Che-ning<br>Miss Jane Curzon LO, JP<br>Mr NG Kai-man<br>Mr Simon SIU Chak-yu, BBS, JP<br>Mr Calvin TSE Shun-lai<br>Mr Lawrance WONG Dun-king<br>Mr Ricky WONG Kwong-yiu<br>Ms Avon YUE Nga-fong<br>Permanent Secretary for Transport and Housing (Housing) or his representative |
| 委任成員： |  | Board-appointed 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：

1. 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；及
  - 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。
3. 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. 不時按委員會主席指引成立一個由委員會成員組成的工作小組，以執行委員會主席所委派的工作，審議小組的工作結果，及適時向董事局提交建議。
5. 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

##### Terms of Reference:

1. To examine the training needs and design appropriate training programmes to raise the competence of licensees.
2. To oversee the implementation of the Continuing Professional Development (CPD) Scheme including-
  - a. conducting periodic reviews on its focus, scope and requirements;
  - b. determining guidelines for assigning core and non-core activities;
  - c. approving CPD activity providers and evaluating CPD activities;
  - d. 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 set up a task force as may from time to time be directed by the Committee Chairman, comprising any member(s) of the Committee, to carry out such tasks as the Committee Chairman may assign; to deliberate on the findings of the task force; and to make recommendations to the Board for approval as appropriate.
5. 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：   |                         | Membership:              |  |
|-------|-------------------------|--------------------------|--|
| 主席：   | 余惠偉先生，JP                | Chairman:                | Mr YU Wai-wai, JP  |
| 成員：   | 凌潔心女士                   | Members:                 | Ms Imma LING Kit-sum   |
|       | 劉哲寧先生                   |                          | Mr LIU Che-ning  |
|       | 吳啟民先生                   |                          | Mr NG Kai-man  |
|       | 蕭澤宇先生，BBS，JP            |                          | Mr Simon SIU Chak-yu, BBS, JP  |
|       | 汪敦敬先生                   |                          | Mr Lawrance WONG Dun-king  |
|       | 運輸及房屋局常任秘書長<br>(房屋)或其代表 |                          | Permanent Secretary for Transport and<br>Housing (Housing) or his representative |
| 委任成員： |                         | Board-appointed 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  |
|       | 梁劍衡先生<br>(職業訓練局代表)      |                          | Mr Leslie LEUNG Kim-hang (representative of<br>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<sup>1</sup>

##### 職權範圍：

1. 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. 不時按小組主席指引成立一個由小組成員組成的工作小組，以執行小組主席所委派的工作，審議小組的工作結果，及適時向董事局提交建議。

#### Section 28 Investigation Panel<sup>1</sup>

##### Terms of Reference:

1. To formulate guidelines for and procedures on the selection of cases for investigation under section 28 of the Estate Agents Ordinance (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 set up a task force as may from time to time be directed by the Panel Chairman, comprising any member(s) of the Panel, to carry out such tasks as the Panel Chairman may assign; to deliberate on the findings of the task force; and to make recommendations to the Board for approval as appropriate.

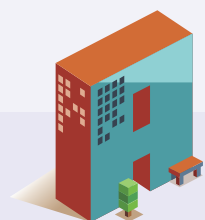
<sup>1</sup> 不屬常設委員會，僅在需要時召開會議

<sup>1</sup> Not a standing committee, meet as and when needed



- |  |  |
|--|--|
| <p>8. 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。</p> | <p>8. 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.</p> |
| <p>9. 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。</p>                   | <p>9. To exercise and perform any and such of the EAA's functions and powers as prescribed by section 28 of the EAO.</p>   |

| 成員：                   | Membership：                                   |
|-----------------------|---|
| 主席： 陳超國先生             | Chairman: Mr Charles CHAN Chiu-kwok           |
| 成員： 劉哲寧先生<br>余惠偉先生，JP | Members: Mr LIU Che-ning<br>Mr YU Wai-wai, JP |



## 附錄二：2015/16 年度行政部門服務達標率

### Appendix II: Achievement of the Administration's Performance Standards 2015/16

| 查詢 Enquiries         |  |                       |   |                |
|----------------------|--|-----------------------|---|----------------|
| 服務類別<br>Service type |  | 指標<br>Standard        |   | 達標率<br>Results |
| 回覆查詢                 |  | Response to enquiries |   |                |
| • 電話查詢<br>(留言信息)     | • Telephone enquiries<br>(voice mail messages) | • 一個工作天內 <sup>1</sup> | • Within one working day <sup>1</sup>   | 100%           |
| • 書面查詢               | • Written enquiries                            | • 七個工作天內 <sup>2</sup> | • Within seven working day <sup>2</sup> | 100%           |

| 資格考試 Qualifying Examinations |                                 |                   |   |                |
|------------------------------|---------------------------------|-------------------|---|----------------|
| 服務類別<br>Service type         |                                 | 指標<br>Standard    |   | 達標率<br>Results |
| 發出成績<br>通知單 <sup>3</sup>     | Issue result slips <sup>3</sup> | 考試後的 14 個<br>工作天內 | Within 14 working days<br>after the examination | 100%           |

| 牌照 Licensing                |  |                                  |   |                |
|-----------------------------|--|----------------------------------|---|----------------|
| 服務類別<br>Service type        |  | 指標<br>Standard                   |   | 達標率<br>Results |
| 處理新牌照申請                     | Process new licence applications                                   | 收到新申請後的<br>10 個工作天內 <sup>4</sup> | Within 10 working days<br>for new applications <sup>4</sup> | 99.92%         |
| 處理續牌申請                      | Process renewal licence applications                               | 收到續牌申請後<br>的 20 個工作天內            | Within 20 working days<br>for renewal applications          | 99.98%         |
| 退款予不獲發<br>牌照或取消牌照<br>申請的申請人 | Refund of application fees for rejected/<br>cancelled applications | 10 個工作天內 <sup>5</sup>            | Within 10 working day <sup>5</sup>                          | 100%           |

<sup>1</sup> 監管局的工作天為星期一至五。

<sup>1</sup> The EAA's working days are from Monday to Friday.

<sup>2</sup> 收到查詢後下一個工作天開始計算。

<sup>2</sup> From the next working day following receipt of the enquiry.

<sup>3</sup> 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。

<sup>3</sup> Issued by the Hong Kong Examinations and Assessment Authority, authorised by the EAA to administer the examinations.

<sup>4</sup> 由監管局收受牌照申請、所需費用及文件之下一個工作天起計，至發出牌照/營業詳情說明書(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，此服務指標則不適用。監管局處理此類牌照申請時，須向申請人或第三者(例如破產管理署、信託人或警務處)查詢有關詳情，待得到回覆後，才可以決定批准或拒絕申請。

<sup>4</sup> 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.

<sup>5</sup> 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。

<sup>5</sup> 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

### Complaints and Enforcement

| 服務類別<br>Service type   | 指標<br>Standard   | 達標率<br>Results                       |      |
|--|--|--------------------------------------|------|
| 確認收到投訴人的書面投訴   | Acknowledge receipt of written complaints  | 五個工作天內<br>Within five 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<br>Within 15 working days   | 100% |
| 投訴部及執行部完成調查違規個案<br>Complete investigation of non-compliance cases by the Complaints and Enforcement Sections |  |                                      |      |
| 快速個案<br>(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<br>(Cases involving no witnesses and concerning allegation(s) of the Eight Specified Breaches only) | 三個月內<br>Within three calendar months | 100% |
| 普通個案<br>(非快速個案並只涉及不多於兩項指稱的個案)  | Normal Cases<br>(Cases other than Fast Track Cases concerning not more than two allegations)                         | 六個月內<br>Within six calendar months   | 100% |
| 複雜個案<br>(除快速個案及普通個案以外的個案)  | Complex Cases<br>(Cases other than Fast track cases and Normal Cases)  | 九個月內<br>Within nine calendar months  | 100% |
| 通知投訴人調查結果  | Notify complainants of the outcome of the case   | 10 個工作天內<br>Within 10 working days   | 100% |
| 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<br>Within 10 working days   | 100% |

## 附錄二：2015/16 年度行政部門服務達標率

### Appendix II: Achievement of the Administration's Performance Standards 2015/16

| 紀律研訊<br>Disciplinary Proceedings |  |                    |  |                |
|----------------------------------|--|--------------------|--|----------------|
| 服務類別<br>Service type             |  | 指標<br>Standard     |  | 達標率<br>Results |
| 舉行首次<br>紀律研訊                     | Conduct the first<br>disciplinary inquiry<br>hearing of a case | 完成調查後的<br>90 個工作天內 | Within 90 working days<br>after completion of<br>investigation | 96.24%         |

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











## 地產代理監管局

香港灣仔皇后大道東183號合和中心48樓

## Estate Agents Authority

48/F, Hopewell Centre, 183 Queen's Road East

Wanchai, Hong Kong



[www.eaa.org.hk](http://www.eaa.org.hk)