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### 專訪監管局成員謝順禮先生

## INTERVIEW WITH MR CALVIN TSE SHUN-LAI, MEMBER OF THE EAA

本期《專業天地》專訪了監管局成員謝順禮先生，了解一下他對監管局工作的看法及他作為業界代表如何看業界的表現。

In this issue of *Horizons* we interview Mr Calvin Tse Shun-lai, member of the EAA, about his feelings on the EAA's work and his views on the performance of the trade from the perspective as a trade's representative.

問：你自2014年起成為監管局成員，並加入不同委員會工作，數年來對監管局的工作有何觀感？

Q : You have been a member of the EAA since 2014 and become a member of various EAA Committees. What is your perception of the work of the EAA over the past few years?

答：作為業界的代表，我想先與大家分享一下從一個業界的角度如何看監管局的工作。在監管局多年前成立初期，業界受到規管，難免對局方有不少抗拒，但隨着日子過去，經過不斷溝通，業界對監管局的抗拒感已漸漸消除。至於我在加入監管局董事局之後，確實對監管局認識多了。透過我在監管局紀律委員會、牌照委員會和執業及考試委員會的不同工作，我明白到監管局在制定措施和進行決定時，其實是客觀和持平的，並沒有針對業界。同時，我亦見到監管局很樂意與業界溝通及聽取業界意見。例如，業界有意見表示希望監管局能恢復電腦化營業員資格考試，局方

A : As a representative of the trade, I would like to share with you first what I think about the work of the EAA from a trade's perspective. After the establishment of the EAA, the trade was regulated and it was inevitable that there was some resistance to the EAA in the early years. However, after time and through continuous communication, the trade's resistance was gradually eliminated. After I joined the EAA's Board, I had more understanding about the EAA. Through my varied work in the EAA's Disciplinary Committee, Licensing Committee and the Practice and Examination Committee, I found that the EAA is actually objective and fair when formulating measures and making decisions and is not against the trade. In addition, I also see that the EAA is very willing to communicate with the trade and listen to their views. For example, the trade had expressed that they hoped the EAA would resume the computerised salesperson qualification examination. The EAA responded positively and carried out a feasibility study and will implement

反應積極，進行可行性研究並稍後會付諸實行。我對監管局印象是，監管局擁有一支專業的團隊，多年來做了很多提升業界專業和水平的工作。

**問：**你身為業界商會代表，同時又擔任監管局董事局成員，如何最得當中的平衡？

**答：**作為監管局董事局成員之一，我有責任參與制定及通過有關業界執業及操守的指引和守則。由於我同時也是個業界代表，因此我亦有責任確保相關指引和守則並非不設實際，而是在實際上能夠執行，也不會令到業界構上不必要負擔。例如最近有關反洗錢的指引，我見到監管局一方面既有充分聽取業界意見，另一方面也有向相關政府部門反映業界的看法；結果，在制定相關指引時，成功做出一份既可符合政府及相關法例要求，而又不會令業界難以執行的執業通告。

**問：**作為一名資深的業界人士，你覺得近年業界的表現如何？

**答：**經過多年來監管局的努力和業界商會的配合，雙管齊下，業界的專業水平已比以前大有提升，作為業界一分子也感到鼓舞。例如，參與監管局持續專業進修計劃的從業員有所增加，即使該計劃並非強制性，但仍有不少從業員自願參加計劃，在百忙中抽空上課，而商會亦積極為會員舉辦持續專業進修講座。另外，我知道監管局收到的投訴數字以及被紀律處分的持牌人數字均有所減少，這種種都能反映業界的水平有所改善。

the computerised examination later. My impression of the EAA is that it has a professional team and has done a lot of work to enhance the professionalism and standard of the trade over the years.

**Q :** As a representative of the trade and a member of the EAA's Board at the same time, how do you strike a balance?

**A :** As a member of the EAA's Board, it is my duty to participate in formulating and endorsing the guidelines and codes for the trade's practice and conduct. Since I am also a trade representative at the same time, I am also responsible to ensure that the relevant guidelines and codes are not impracticable but can in reality be carried out by the trade, and not imposing unnecessary burden on the trade. For example, regarding the latest guidelines on anti-money laundering, I noticed that on one hand the EAA has thoroughly listened to the views of the trade, while on the other hand it has reflected the trade's views to the relevant Government department. As a result, in the course of formulating the relevant guidelines, the EAA has successfully formulated a practice circular that can comply with the relevant legal requirements, while not being overly difficult for the trade to comply with at the same time.

**Q :** As a well-experienced trade practitioner, what do you think of the trade's performance in recent years?

**A :** After years of effort by the EAA and the cooperation of the trade associations, the professionalism of the trade has been greatly enhanced compared with the early years. I am also grateful to be part of the trade. For example, there has been an increase in the number of practitioners participating in the EAA's Continuing Professional Development ("CPD") Scheme. Even though the Scheme is not a mandatory one, many practitioners are willing to participate in the Scheme and make time for classes from their busy schedules. Trade associations are also proactive in organising CPD seminars for their members. Besides, according to my understanding, both the number of complaints received by the EAA and the number of licensees having disciplinary sanctions imposed on them have decreased. This shows that the trade's standard has improved.

