



積極執法

Proactive in  
Law Enforcement



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### 操守與守則

#### 《地產代理條例》及其執業通告

根據《地產代理條例》成立的監管局，獲賦予的權力包括規管與管制地產代理及營業員的執業，及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，或維持或提升他們的地位。從事地產代理工作之地產代理及營業員必須遵從所有《地產代理條例》及其附屬法例、由監管局發出的《操守守則》及執業通告內的所有適用指引。

#### 規例簡介

監管局不時檢視業界的執業手法及發出執業通告，並提供指引予業界依循，使持牌人能夠遵從他們在法律下的責任。

由於現有執業通告所載列的指引足以涵蓋於2020/21年度出現之執業問題，局方在年內沒有編制及發出新執業通告。

#### 發出致持牌人函件

為提醒持牌人在從事地產代理工作時需遵守相關法律及規例，以及提醒他們留意與其執業相關的最新政府措施及／或文件，監管局在年內向持牌人共發出了兩封致持牌人函件。

因應2019冠狀病毒病疫情發展及當時的公共衛生情況，監管局向持牌人發出一封附有條款範本的致持牌人函件，倘若賣方及／或買方客戶關注2019冠狀病毒病疫情對其物業交易可能造成影響，持牌人可於臨時買賣協議中加入該條款。

此外，由於香港律師會介入黃馮律師行（「該律師行」）的業務，影響該律師行處理正在進行的物業交易及許多買賣方，監管局就此向持牌人發出致持牌人函件，向地產代理建議可向受影響的客戶提供何等資訊及協助。

### Ethics and Regulations

#### The EAO and practice circulars

The EAA established under the Estate Agents Ordinance ("EAO") is tasked 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 the integrity and competence amongst, or maintain or enhance the status of, estate agents and salespersons. Estate agents and salespersons must observe and comply with all the relevant provisions in the EAO and its subsidiary legislation, the *Code of Ethics* and all the applicable guidelines set out in the practice circulars issued by the EAA when they carry out estate agency work.

#### Introduction of regulations

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.

As the guidelines set out in existing practice circulars were sufficient to cover issues that arose in 2020/21, no new practice circular was developed and issued by the EAA during the year.

#### Issuance of Letters to Licensees

With a view to reminding licensees on the requirements of the relevant laws and regulations when carrying out estate agency work and to draw their attention to the updates on certain Government measures and/or documentation which may be relevant to their practices, the EAA issued two Letters to Licensees during the year.

In view of the development of COVID-19 and the then public health situation, the EAA issued a Letter to Licensees enclosing a template clause for licensees' insertion in the provisional agreement for sale and purchase should their vendor and/or purchaser clients have any concern over the possible impacts of COVID-19 on their property transactions.

In addition, in view of the Law Society's intervention into the practice of the law firm Messrs. Wong, Fung & Co. ("Firm"), which has impacted the ongoing property transactions handled by the Firm and affected a number of vendors and purchasers, the EAA issued a Letter to Licensees on the intervention advising estate agents what information/advice and assistance they may offer to their affected clients.



局方將會繼續在有需要時透過發出執業通告及致持牌人函件，為業界提供指引，以及在需要時提高業界對當前有關地產代理執業問題的關注。

## 投訴與巡查

### 處理投訴與查詢

監管局於2020/21年度共接獲380宗投訴，較2019/20年度的268宗上升了42%。投訴個案上升主要是因為香港境外物業的投訴激增，由2019/20年度的六宗增加至2020/21年度的69宗，主要涉及分別位於珠海(39宗)及泰國(26宗)的兩個發展項目。兩者分別於2013年及2017年發售，當時均為未建成的發展項目。因應香港境外物業的相關投訴有所增加，監管局於2021年3月舉行了一場網上公眾講座，加深消費者了解購買此類物業所涉及的風險。

年內，局方接獲的380宗投訴指稱主要涉及發出違規廣告、不妥善處理臨時買賣合約(或臨時租約)，以及提供不準確或具誤導性的物業資料。當中，有關一手住宅物業銷售的投訴為71宗，指稱主要涉及發出違規廣告、未有履行回贈承諾，以及提供具誤導性的按揭資訊。

受疫情影響，部分人士對監管局作出的投訴調查回覆緩慢，以致2020/21年度的服務承諾達標率輕微下跌。

除了處理投訴，監管局亦於2020/21年度收到6,242宗有關地產代理執業手法的查詢，並就1,654宗查詢採取相關的跟進行動。



The EAA will continue to issue practice circulars and Letters to Licensees to provide the trade with guidelines and raise its awareness of current issues with respect to estate agency practice as and when necessary.

## Complaints and Inspections

### Complaints and enquiries handling

In 2020/21, the EAA received 380 complaints, an increase of 42% from 268 complaints in 2019/20. The increase was mainly attributed to the surge of complaints concerning properties situated outside Hong Kong, from six cases in 2019/20 to 69 cases in 2020/21. The majority of these 69 cases concerned two developments – one situated in Zhuhai (39 cases) and the other in Thailand (26 cases), and both were uncompleted developments when they were sold in 2013 and 2017 respectively. In view of the increase in the number of complaints about properties situated outside Hong Kong, the EAA had during the year organised an online public seminar in March 2021 to promote consumers' greater awareness of the risks in purchasing these types of properties.

Among the 380 complaints received in the year, key allegations included issuing non-compliant advertisements, mishandling the provisional agreements for sale and purchase (or the provisional tenancy agreements), and providing inaccurate or misleading property information. Out of the 380 complaints, 71 were complaints concerning the sale of first-hand residential properties in 2020/21, which key allegations include issuing non-compliant advertisements, failing to honour rebate promises, and provision of misleading mortgage information.

Due to the pandemic, some of the parties under the complaint investigation were slow in responding to the EAA's enquiries resulting in a slight drop in the achievement of the Performance Pledge in 2020/21.

In addition to complaints, the EAA also received 6,242 enquiries on estate agency practices in 2020/21, and in response to those enquiries, the EAA took follow-up actions on 1,654 enquiries.

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### 投訴個案

#### Complaint Cases

| 個案數目 Number of Cases | 2018/19 | 2019/20 | 2020/21 |
|----------------------|---------|---------|---------|
| 開立的個案 Opened         | 291     | 268     | 380     |
| 已完成的個案 * Completed*  | 333     | 264     | 215     |

\* 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，以及由投訴部及行動部處理的表面證據不成立的個案。

\* Some cases completed in a year were brought forward from previous years. The figures include prima facie cases referred to and dealt with by the Disciplinary Committee and non-prima facie cases disposed of by the Complaints and Enforcement Sections.

| 已完成的個案結果 * Results of Cases Completed*       | 2018/19 | 2019/20 | 2020/21 |
|----------------------------------------------|---------|---------|---------|
| 指稱成立 <sup>△</sup> Substantiated <sup>△</sup> | 106     | 75      | 71      |
| 指稱不成立 Unsubstantiated                        | 146     | 123     | 87      |
| 資料不足 Insufficient information to pursue      | 22      | 17      | 22      |
| 其他 <sup>#</sup> Others <sup>#</sup>          | 59      | 49      | 35      |
| 總數 Total                                     | 333     | 264     | 215     |

\* 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，以及由投訴部及行動部處理的表面證據不成立的個案。

<sup>△</sup> 如個案中所涉及任何一項指稱被分類為「指稱成立」，該已完成處理的個案即會被歸類為「指稱成立」。

<sup>#</sup> 包括擱置調查、取消投訴或因其他原因而終止調查的個案。

\* 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> Include cases which were curtailed, withdrawn or closed due to other reasons.

#### 合規巡查及調查

2020/21年度，監管局一如以往於地產代理營業地點及一手住宅樓盤銷售地點進行巡查工作。受2019冠狀病毒病疫情影響，發展商推出一手住宅物業發展項目有所減少。儘管如此，監管局仍繼續致力確保持牌人的銷售活動符合一手住宅物業銷售應有的良好秩序。有鑑於網上廣告日漸普及，監管局亦加強監察網上物業廣告平台，並會繼續把監察網上廣告納入其執法職務的重點當中。

#### Compliance inspections and investigations

In 2020/21, the EAA continued to maintain its enforcement effort on places of estate agency business and promotion sites of first-hand residential property developments. Fewer first-hand residential development projects were launched into the market amid the COVID-19 pandemic in the year. Notwithstanding, the EAA continued to spare no effort to ensure that the licensees' sales activities at first-sale sites were in good order. As online advertisements had become more popular, more efforts had been spent on patrolling the online property portals in cyberspace. Monitoring online advertisements will continue to be one of the main foci of the EAA's enforcement duties.



年內，局方推出了兩項外展教育計劃，其一是加強持牌人對發出廣告相關法例及規定的認識；其二是協助持牌人遵從有關反洗錢及反恐怖分子資金籌集的法規要求。在這兩個計劃下，監管局人員會親身到訪被選中的地產代理的營業地點，為持牌人提供指導及協助。

In the year, two outreach educational programmes were launched, one to promote licensees' awareness and compliance with the relevant laws and regulations in relation to issuing advertisements and one to assist licensees in fulfilling the anti-money laundering ("AML") and counter-terrorist financing ("CTF") regulatory requirements. Under the programmes, the EAA staff paid visits to some selected places of estate agency business and provided face-to-face guidance and assistance to licensees.

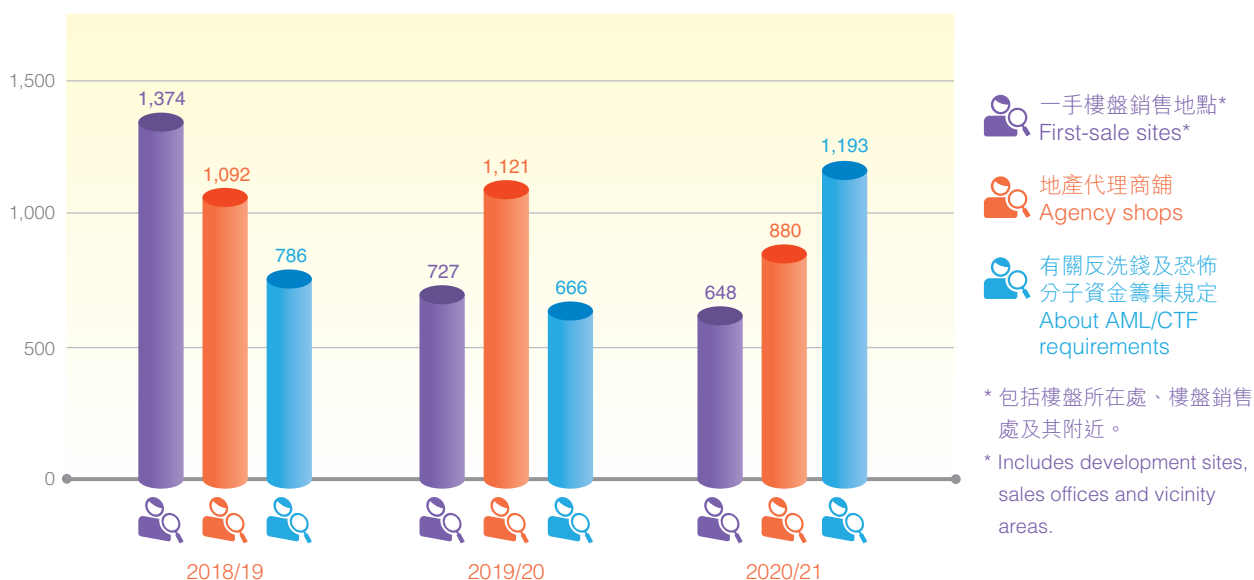
在瞬息萬變的市場環境下，監管局將繼續檢討及優化其執法策略及監管措施，以給予公眾更大的保障。

In an ever-changing environment, the EAA will continue to review and refine its enforcement strategies to enhance the effectiveness of its regulatory functions to safeguard public interest.

年內，監管局在一手樓盤銷售地點共進行648次合規巡查，在地產代理商舖進行了880次合規巡查，及針對反洗錢及反恐怖分子資金籌集的規定進行了1,193次合規巡查。期內，局方亦分別就網上廣告及網上物業平台進行了1,319次抽查及680次巡查。

During the year, the EAA conducted 648 compliance inspections at first-sale sites, 880 compliance inspections at agency shops and 1,193 compliance inspections for AML/CTF requirements. Some 1,319 spot checks on online advertisements and 680 inspections on online property portals were also carried out during the period.

#### 合規巡查次數 Number of Compliance Inspections







從巡查和抽查當中，監管局共開立了210宗違規個案，當中有28宗源自對一手樓盤的巡查，71宗源自巡查地產代理商舖，86宗為網上及報章抽查發現，其餘個案則涉及其他性質。

Subsequent to inspections and spot checks, 210 non-compliant cases were opened, including 28 cases arising from first-sale inspections, 71 from estate agency shop visits, 86 cases from online and newspaper patrols, and the rest were of a miscellaneous nature.

#### 巡查／抽查發現的違規個案

#### Non-compliant Cases Arising from Inspections/Spot Checks

| 個案數目 Number of Cases | 2018/19 | 2019/20 | 2020/21 |
|----------------------|---------|---------|---------|
| 開立的個案 Opened         | 149     | 154     | 210     |
| 已完成的個案* Completed*   | 120     | 115     | 126     |

\* 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，以及由投訴部及行動部處理的表面證據不成立的個案。

\* Some cases completed in a year were brought forward from previous years. The figures include prima facie cases referred to and dealt with by the Disciplinary Committee and non-prima facie cases disposed of by the Complaints and Enforcement Sections.

#### 對涉嫌向監管局作出虛假聲明或提供虛假資料的持牌人／牌照申請人的調查

在申請牌照或續牌時，倘若作出虛假或誤導性的聲明或提供虛假或誤導性的資料，均屬違法。在2020/21年度，監管局調查了42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。年內，監管局向警方轉介了28個可疑個案，以進行刑事調查。

#### Investigations into licensees/licence applicants suspected of making false statements or furnishing false information to the EAA

It is an offence to make a false or misleading statement or furnish false or misleading information when making applications for the grant or renewal of licences. In 2020/21, investigations were conducted into 42 licence applications in which the applicants were suspected of making false statements or furnishing false information in their licence application or licence renewal process. In the year, the EAA referred 28 suspicious cases to the Police for criminal investigations.

| 個案數目 Number of Cases | 2018/19 | 2019/20 | 2020/21 |
|----------------------|---------|---------|---------|
| 開立的個案 Opened         | 53      | 106     | 42      |
| 已完成的個案* Completed*   | 50      | 63      | 62      |

\* 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.



## 打擊物業交易中洗錢及恐怖分子資金籌集的風險

監管局以風險為本的監督方法，監管地產代理業界有否遵從反洗錢及反恐怖分子資金籌集的規定。地產代理公司會被分類為不同的反洗錢及反恐怖分子資金籌集的風險級別。而監管局巡查的監察力度和頻率，會視乎地產代理公司所面對的威脅和程度而定。局方會不時向地產代理公司收集資料，以評估他們就洗錢及恐怖分子資金籌集所面對的風險，以及他們採取的風險管理措施，從而採取相應的監察工作。

## 紀律行動

### 紀律研訊

倘若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，行政總裁可向監管局紀律委員會提出呈述，以決定是否就該個案進行研訊。

紀律委員會是一個根據《地產代理條例》成立的常設委員會，負責接受、考慮及查究投訴以及行政總裁所呈述的個案。倘若紀律委員會在紀律研訊後認為有關的投訴或呈述成立，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其牌照上的條件、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。

## Combatting money laundering and terrorist financing risks in property transactions

The EAA has adopted a risk-based approach in its supervision of the estate agency trade practitioners' compliance with the Anti-Money Laundering ("AML") and Counter-Terrorist Financing ("CTF") requirements. Estate agency companies are classified under different AML/CTF risk categories. The intensity of supervision and frequency of inspections by the EAA would be based on the level of threats and vulnerability of the estate agency companies. From time to time, the EAA would collect information from estate agency companies to assess their AML/CTF risks and the mitigation measures taken by them for the EAA's continuous monitoring.

## Disciplinary Actions

### Inquiry hearings

If the Chief Executive Officer ("CEO") of the EAA has reasons 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/her licence, the CEO shall make a submission to the EAA's Disciplinary Committee for consideration if an inquiry hearing should be conducted.

The Disciplinary Committee, a standing committee established under the EAO, receives, considers and conducts inquiries into complaints and submissions by the CEO. If the Disciplinary Committee, after conducting an inquiry hearing, is satisfied that the complaint or submission is well-founded, it may exercise disciplinary powers including admonishing or reprimanding the licensee concerned, attaching/varying specified conditions attached to his/her licence, suspending/revoking his/her licence, imposing a fine and making a costs order.



模擬紀律研訊圖片。  
A staged inquiry hearing.





因受2019冠狀病毒病疫情影響，年內有部分紀律研訊需要延期舉行<sup>1</sup>，而因為這些個案的處理時間需持續計算至首次研訊當日，故此年內研訊個案的平均處理時間超過了監管局服務承諾中的相關標準<sup>2</sup>。

縱然疫情帶來挑戰，紀律委員會在2020/21年度內共判決了167宗個案，其中161宗(即佔96.41%)的指稱成立。結果，共有163名持牌人被紀律處分，其中82名為個人持牌人<sup>3</sup>，81名為公司持牌人。

同期，紀律委員會暫時吊銷了13個牌照，吊銷期由四星期至兩個月不等。這些被處分的持牌人涉及作出違反專業操守的行為，例如作出誤導性陳述、未有保障和促進客戶的利益，或在履行職務時沒有盡量小心和盡一切應盡的努力。

在2020/21年度內，共有141名持牌人被罰款，金額由800元至150,000元不等。

Due to the COVID-19 pandemic, a number of inquiry hearings were adjourned during the year<sup>1</sup>. As a result, the average period for handling certain inquiry hearing cases exceeded the relevant standard set under the EAA's performance pledges<sup>2</sup> since the case handling period would continue to run until the date of the first inquiry hearing.

Despite the challenges brought by the pandemic, the Disciplinary Committee adjudicated 167 cases in 2020/21, of which 161 were substantiated (i.e. 96.41%). As a result, a total of 163 licensees were disciplined, among which 82 were individual licensees<sup>3</sup> and 81 were company licensees.

During the same period, 13 licences were suspended by the Disciplinary Committee for periods that ranged from four weeks to two months. Licensees disciplined were found to have been engaged in unprofessional conduct such as misrepresentations, failure to protect and promote the interests of their clients, or failure to exercise due care and due diligence when carrying out their duties.

In 2020/21, a total of 141 licensees were fined, with fines ranging from \$800 to \$150,000.

<sup>1</sup> 部分研訊的押後是監管局在考慮到當時的公共衛生情況下，主動決定的；而部分個案則由於證人或答辯人因擔心疫情而不願出席研訊，在考慮到他們提出的申請後局方決定延後研訊。

<sup>2</sup> 普通個案(監管局調查不超過兩項指控的快速處理個案除外)和複雜個案(快速處理個案及正常個案以外的個案)的服務承諾，分別是10個月和13個月之內。

<sup>3</sup> 包括地產代理公司的獨資經營者及合夥人。

<sup>1</sup> Some adjournments were made out of the EAA's own initiatives taking into account the then public health situation and some were made after considering applications made by the witness(es) or the respondent(s) who were reluctant to attend the hearings due to their genuine concern about the pandemic.

<sup>2</sup> Performance pledge for Normal Cases (cases other than Fast Track Cases concerning not more than two allegations investigated by the EAA) and Complex Cases (cases other than Fast Track cases and Normal Cases) is within 10 calendar months and 13 calendar months respectively.

<sup>3</sup> Including sole proprietors and partners of estate agency firms.



### 公布研訊的裁決理由

監管局在其「近期的紀律研訊結果」網頁上公布最近的紀律研訊的裁決結果。在兩年或三年後(視乎個案的裁決日期而定)，監管局會將所有在「近期的紀律研訊結果」中指稱成立的面晤紀律研訊個案及其裁決理由，移至標題為「過往的紀律研訊案件的裁決理由」的網頁，為期五年。

上述公布不但提高了監管局工作的透明度，亦能讓地產代理業界更了解監管局的紀律裁決及如何遵從《地產代理條例》，以減低日後出現類似違規行為的風險。長遠來說，期望這項措施將會協助提升業界的專業水平。

同時，公布紀律研訊裁決理由亦能讓公眾明白監管局的紀律裁決，讓他們在使用持牌人服務時能作出明智的選擇。

### Publication of reasons for the decisions of inquiry hearings

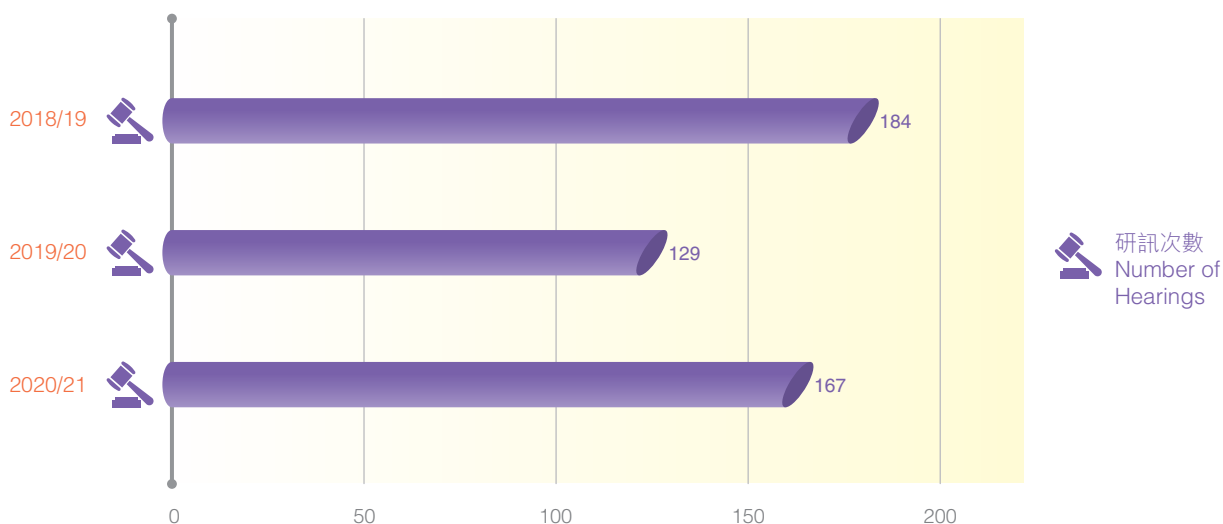
The EAA publishes results of recent inquiry hearings on its webpage titled "Recent Inquiry Hearing Results". After a period of two or three years depending on the date of adjudication of the cases, the EAA will move all the substantiated full inquiry hearing cases and their reasons for decisions under "Recent Inquiry Hearing Results" to its webpage titled "Reasons for Decisions of Past Inquiry Hearing Cases" for a period of five years.

The aforesaid publication not only enhances the transparency of the EAA's work, it also enables the estate agency trade to have a better understanding of the EAA's disciplinary decisions and learn how to comply with the EAO, which helps reduce the risks of similar non-compliances in the future. In the long run, it is hoped that such publication will contribute to the improvement of the professional standard of the trade.

Publication of the reasons for disciplinary decisions also provides a way for the public to understand the EAA's disciplinary decisions, and enables consumers to make informed choices when they engage the services of licensees.

### 已舉行並作出裁決的紀律研訊次數

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





| 2020/21 年度常見違規事項*<br>Common Types of Non-compliance in 2020/21* |                                                                                                                                                                                                                                                                                                                     | 指稱宗數<br>Number of Allegations |
|-----------------------------------------------------------------|---------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|-------------------------------|
| 1.                                                              | 沒有在物業的廣告內清楚及可閱地和準確地述明相關物業編號及／或該廣告的發放／更新的日期<br>Failing to state clearly, legibly and accurately in a property advertisement the property number concerned and/or the date on which the advertisement was issued/updated                                                                                              | 73                            |
| 2.                                                              | 發出虛假或誤導性廣告／提供與發放廣告相關的虛假或具誤導性的資訊；未獲賣方／業主事先書面同意下發放廣告或發出違反賣方／業主指示的廣告<br>Issuing a false or misleading advertisement/providing false or misleading information in relation to publication of an advertisement; advertising without the vendor/landlord's prior written consent or in contravention to their instruction | 32                            |
| 3.                                                              | 未有履行向買家作出的現金回贈承諾及／或以書面形式列明有關承諾<br>Failing to give and/or set out in writing the cash rebate as promised to purchasers                                                                                                                                                                                               | 18                            |
| 4.                                                              | 在廣告內提供物業的樓面面積時未有遵守監管局所發出的指引<br>Failing to comply with the guidelines issued by the EAA when providing the floor area information of the property concerned in an advertisement                                                                                                                                      | 18                            |
| 5.                                                              | 容許員工於公共場所張貼／放置或管控廣告牌／海報或易拉架廣告；及／或未獲得所需的許可下在公眾場所向途人招攬生意<br>Causing or permitting staff to affix/place or being in possession and having control of an advertisement board/poster or pull-up banners in a public area; and/or soliciting business from passers-by in public places without the requisite permission   | 17                            |
| 6.                                                              | 未有按照訂明表格中所列明的指示和指引填寫該表格；未有在地產代理協議中清楚列明該協議有效期的屆滿日<br>Failing to complete a prescribed form in accordance with the directions and instructions specified in the form; failure to state clearly in an estate agency agreement the expiry date of its validity period                                                   | 15                            |
| 7.                                                              | 未有確保代表簽署臨時買賣協議／租約／地產代理協議的人士已獲有關的訂約方的正式授權<br>Failing to ensure that the signatory was duly authorised by the party concerned to sign the provisional agreement for sale and purchase/tenancy agreement/estate agency agreement                                                                                       | 14                            |
| 8.                                                              | 向客戶提供錯誤的物業或交易資訊；沒有核實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或交易資料<br>Providing wrong property or transaction information to clients; failing to verify the accuracy of property or transactional information provided to clients; failing to supply property or transactional information to clients                             | 12                            |
| 9.                                                              | 以持牌人的個人名義而非地產代理公司的名義發出有關一手住宅樓盤的廣告<br>Issuing an advertisement concerning a first-hand residential development in the licensee's personal capacity instead of in the capacity of an estate agency company                                                                                                            | 12                            |



| 2020/21 年度常見違規事項*<br>Common Types of Non-compliance in 2020/21* |                                                                                                                                                                                                                                            | 指稱宗數<br>Number of Allegations |
|-----------------------------------------------------------------|--------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|-------------------------------|
| 10.                                                             | 未有遵從監管局發出的指引，在就有關出售香港境外的未建成物業所發出的廣告中清楚列明所需的資料<br>Failing to comply with the guidelines issued by the EAA to state clearly the required information in the advertisement for the sale of an uncompleted property situated outside Hong Kong | 11                            |

\* 部分紀律研訊個案或涉及超過一項違規事宜。

\* There could be more than one type of non-compliances 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* | 2018/19 | 2019/20 | 2020/21 |
|-------------------------------------------------------------------------|---------|---------|---------|
| 有關的持牌人或前持牌人數目<br>Number of licensees or former licensees involved       | 180     | 234     | 252     |

行動性質<sup>1</sup>

Type of actions<sup>1</sup>

|                                                                           |                 |                 |                 |
|---------------------------------------------------------------------------|-----------------|-----------------|-----------------|
| 訓誡／譴責<br>Admonishment/reprimand                                           | 183             | 123             | 163             |
| 罰款<br>Fine                                                                | 129             | 98              | 141             |
| 在牌照上附加條件 <sup>2</sup><br>Attachment of conditions to licence <sup>2</sup> | 138             | 111             | 102             |
| 暫時吊銷牌照<br>Suspension of licence                                           | 24              | 14              | 13              |
| 撤銷牌照<br>Revocation of licence                                             | 34 <sup>△</sup> | 57 <sup>△</sup> | 36 <sup>△</sup> |

\* 這些行動是根據《地產代理條例》所賦予的權力而採取的。當中部份行動屬紀律性質，其他則是由牌照委員會裁定的。部分個案是往年持續至今的個案。

<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>2</sup> 部分條件於批出牌照時附加，其餘則隨後附加。

<sup>△</sup> 這些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。

\* These actions were taken pursuant to powers under the EAO. Some actions were disciplinary in nature whereas others were decided by the Licensing Committee. Some cases were carried over from previous years.

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

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

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