

## **FDRC Empanelment Training 2026 Programme Details**

**Jointly organized by the Financial Dispute Resolution Centre (FDRC) and Institute of Professional Education And Knowledge (PEAK)**

The Financial Dispute Resolution Centre (FDRC) administers an independent dispute resolution scheme to resolve monetary disputes between financial institutions and individual customers. The FDRC is now recruiting new members to the FDRC Lists of Mediators and Arbitrators (the Lists). Applicants for admission have to satisfy the Appointment Committee of FDRC that they have, as one of the prerequisites, completed this training programme and passed the assessment therein.

As part of the training and assessment requirements for admission to the Lists, applicants have to attend and complete all the Modules of this programme:

### **Programme Structure**

Modules 1, 2, 6 and 7: Regulatory Framework, Experience Sharing & FDRC Workflow

- Introduction to FDRC and Financial Dispute Resolution Scheme (FDRS)
- Practical experience sharing – Panel discussion by FDRC Mediators and Arbitrators
- Financial regulatory framework in Hong Kong by speakers from Hong Kong Monetary Authority (HKMA) and Securities and Futures Commission of Hong Kong (SFC)

Module 3: Financial Markets, Equity and Debt Instruments

Module 4: Derivatives, Insurance and Regulation

Module 5: Selling Process, Client Lifecycle and Dispute Scenarios

### **Mode**

Face-to-face courses and online assessment administrated by PEAK

### **Lecture Dates and Time**

Day 1 – 24 June 2026 (Wednesday) 9:00 am – 12:30 pm & 2:00 pm – 5:05 pm

Day 2 – 25 June 2026 (Thursday) 9:00 am – 12:05 pm & 2:00 pm – 5:05 pm

Day 3 – 26 June 2026 (Friday) 9:00 am – 12:05 pm

### **Venue**

Room 1006, 10/F, VTC Tower, 27 Wood Road, Wan Chai, HK

## Assessment

Participants must fulfil the attendance requirements for ALL the Modules to be eligible for attending the online test on the assessment. The total CPD awarded (subject to approval) is 15 CPD. Fee for the whole training programme and assessment (including re-take, as appropriate) is HKD 4,500.

Participants are required to attend 60-minute multiple choice online tests (English only) scheduled as shown below. The overall passing mark is 80%. Participants will receive the test results (pass or fail) upon completion of the online tests. For those who are absent from the first session of assessment or fail in the first session of the assessment can have one chance for retake the online test in the second session of the assessment in accordance with the time schedule shown below.

The assessment will be conducted by PEAK at its premises. The organisers, jointly or individually, assume no responsibility for any losses or omissions due to delays or disruptions in the transmission of the signals/ messages and test.

## Individual Modules

For individuals who are not interested to apply for admission to the Lists, they are also welcome to join one or more sessions on a Modular basis as indicated below:

Module	Theme	Time	CPD Points (Being Applied For)	Fee (HKD)
1, 2, 6 and 7	Regulatory Framework, Experience Sharing & FDRC Workflow	9:00 am to 12:30 pm on 24 June 2026 <b>and</b> 9:00 am to 12:05 pm on 26 June 2026	3 + 3 = 6 CPD	\$1,500
3	Financial Markets, Equity and Debt Instruments	2:00 pm to 5:05 pm on 24 June 2026	3 CPD	\$1,500
4	Derivatives, Insurance and Regulation	9:00 am to 12:05 pm on 25 June 2026	3 CPD	\$1,500
5	Selling Process, Client Lifecycle and Dispute Scenarios	2:00 pm to 5:05 pm on 25 June 2026	3 CPD	\$1,500

Please note that participants of individual Modules are allowed to join Modules 1, 2, 6 and 7 only as a single unit of 6 contact hours split in two time slots on 24 and 26 June 2026.

**Assessment Date and Time\***

Module 3 - 10 M/C questions to be completed within 60 minutes

1<sup>st</sup> session – 24 June 2026 (Wednesday) 5:05 pm – 6:05 pm

2<sup>nd</sup> session – 26 June 2026 (Friday) 12:30 pm – 3:30 pm

Module 4 - 10 M/C questions to be completed within 60 minutes

1<sup>st</sup> session – 25 June 2026 (Thursday) 12:05 pm – 1:05 pm

2<sup>nd</sup> session – 26 June 2026 (Friday) 12:30 pm – 3:30 pm

Module 5 - 10 M/C questions to be completed within 60 minutes

1<sup>st</sup> session – 25 June 2026 (Thursday) 5:05 pm – 6:05 pm

2<sup>nd</sup> session – 26 June 2026 (Friday) 12:30 pm – 3:30 pm

\*For more details, please refer to the Course Administration Guidelines for FDRRC Empanelment Training 2026

## Day 1 – 24 June 2026 (Wednesday)

### Registration

Time	Activity
0830–0900	Registration (Please bring along your HKID card)
	Welcome Remarks from Chairman of FDRC and Principal of PEAK

### Course

Time	Duration	Topic	Speaker(s)
<b>Module 1: Introduction to FDRC and Financial Dispute Resolution Scheme (FDRS)</b>			
0900-1000	15 mins	- Opening remarks and Introduction to the FDRC/FDRS	CEO of FDRC
	45 mins	- FDRC Dispute Resolution Team and its role (vetting and case management) in the process of mediation and arbitration - Standards and Procedures for Admission to the FDRC Lists of Mediators / Arbitrators - Ethics of Arbitrators / Mediators and Disciplinary matters	Dispute Resolution Manager of FDRC
1000-1005	5 mins	[BREAK]	
<b>Module 2: Financial regulatory framework in Hong Kong – Banking Sector</b>			
1005-1045	40 mins	- Overview of the HKMA’s process for handling complaints arising from AIs, covering: <ul style="list-style-type: none"> <li>• Case studies/ common kinds of complaints and disputes</li> <li>• HKMA’s perspectives on dealing with complaints or regulatory breaches against banks</li> </ul>	Ms Cathy Chan, Senior Manager (Enforcement and Banking Complaints)
1045-1105	20 mins	- Licensing conditions of AIs, the banking system and the authorization regime in Hong Kong	Mr Ian Au, Senior Manager (Banking Conduct)
1105-1125	20 mins	- Code of Banking Practice, and consumer protection initiatives - Measures and practices governing the Payment Arrangements for Property Transactions	Ms Cora Ching, Senior Manager (Banking Conduct)

1125-1130	5 mins	[BREAK]	
1130-1150	20 mins	- Anti-scam measures implemented by the HKMA	Ms Yvonne Chan, Senior Manager (Banking Conduct)
1150-1210	20 mins	- Measures and practices governing the sales of investment products	Ms Anita Chan, Senior Manager (Banking Conduct)
1210-1230	20 mins	- Measures and practices governing the sales of insurance products	Mr Benny Yu, Senior Manager (Banking Conduct)
1230-1345	75 mins	[LUNCH BREAK]	

Time	Duration	Topic	Speaker(s)
<b>Module 3: Financial Markets, Equity and Debt Instruments</b>			
1400-1445	45 mins	<b>Overview of Financial Markets</b> <ul style="list-style-type: none"> <li>- Role of banks vs brokerages</li> <li>- Primary vs secondary markets</li> <li>- Regulatory bodies and frameworks (e.g., SFC, HKMA, global counterparts)</li> <li>- Case study on Hong Kong IPO market and global comparisons</li> </ul>	Mr. Choy Chak Po, part-time instructor of PEAK
1445-1600	75 mins	<b>Equity Instruments</b> <ul style="list-style-type: none"> <li>- Stocks: types, risks, dividends</li> <li>- Warrants: structure, leverage, expiry</li> <li>- Stock Options: calls vs puts, hedging strategies</li> <li>- Practical exercise — analyzing a listed company’s equity instruments and option chain</li> </ul>	Mr. Choy Chak Po, part-time instructor of PEAK
1600-1605	5 mins	[BREAK]	
1605-1705	60 mins	<b>Debt Instruments</b> <ul style="list-style-type: none"> <li>- Bonds: government vs corporate, yield curves</li> <li>- Collateralized Debt Obligations (CDOs): structure, risk layering</li> <li>- Interactive activity — interpreting bond yield curves and credit ratings</li> </ul>	Mr. Choy Chak Po, part-time instructor of PEAK

## Day 2 – 25 June 2026 (Thursday)

### Registration

Time	Activity
0830–0900	Registration (Please bring along your personal ID)

### Course

Time	Duration	Topic	Speaker(s)
<b>Module 4: Derivatives, Insurance and Regulation</b>			
0900-1015	75 mins	<b>Derivatives &amp; Leveraged Products</b> <ul style="list-style-type: none"><li>- Financial Futures: index futures, margin requirements</li><li>- Commodity Futures: delivery vs cash settlement</li><li>- Leveraged Foreign Exchange: margin trading, FX pairs</li><li>- Case study — FX margin trading risks and lessons from past crises</li></ul>	Mr. Choy Chak Po, part-time instructor of PEAK
1015-1020	5 mins	[BREAK]	
1020-1120	60 mins	<b>Insurance Services</b> <ul style="list-style-type: none"><li>- Types of insurance products (life, investment-linked, annuities)</li><li>- Regulatory oversight and selling practices</li><li>- Common disputes in insurance sales</li><li>- Interactive workshop — mock insurance sales role-play</li></ul>	Mr. Choy Chak Po, part-time instructor of PEAK
1120-1205	45 mins	<b>Scam and updates on regulatory framework</b> <ul style="list-style-type: none"><li>- Payment Arrangement for Property Transaction</li><li>- Digital asset (including Stablecoin)</li><li>- Deep dive into recent enforcement cases and fraud prevention strategies</li></ul>	Mr. Choy Chak Po, part-time instructor of PEAK
1205-1345	100 mins	[LUNCH BREAK]	

<b>Time</b>	<b>Duration</b>	<b>Topic</b>	<b>Speaker(s)</b>
<b>Module 5: Selling Process, Client Lifecycle and Dispute Scenarios</b>			
1400-1445	45 mins	<b>Sourcing &amp; Onboarding Clients</b> <ul style="list-style-type: none"> <li>- Client acquisition strategies</li> <li>- Know Your Customer (KYC) and suitability assessments</li> <li>- Account opening procedures and documentation</li> <li>- Role-play exercise — conducting a mock KYC interview</li> </ul>	Mr. Choy Chak Po, part-time instructor of PEAK
1445-1545	60 mins	<b>Advisory &amp; Dealing Cycles</b> <ul style="list-style-type: none"> <li>- Execution-only vs advisory vs discretionary accounts</li> <li>- Product recommendation protocols</li> <li>- Disclosure obligations and risk profiling</li> <li>- Case study — comparing advisory vs discretionary portfolio outcomes</li> </ul>	Mr. Choy Chak Po, part-time instructor of PEAK
1545-1550	5 mins	[BREAK]	
1550-1705	75 mins	<b>Common Dispute Scenarios</b> <ul style="list-style-type: none"> <li>- Misrepresentation and non-disclosure</li> <li>- Unsuitable product recommendations</li> <li>- Unauthorized transactions</li> <li>- Group discussion — analyzing mis-selling cases and regulatory responses</li> </ul>	Mr. Choy Chak Po, part-time instructor of PEAK

## Day 3 – 26 June 2026 (Friday)

### Registration

Time	Activity
0830–0900	Registration (Please bring along your personal ID)

### Course

Time	Duration	Topic	Speaker(s)
<b>Module 6: Practical experience sharing – Panel discussion by FDRC Mediators and Arbitrators</b>			
0900-1030	90 mins	- Moderator  - Institutional Arbitration/ Mediation - Pre-mediation Communication and Negotiation Dynamics in Mediation; and - Document-only Arbitration and Hearing.	Dispute Resolution Manager of FDRC Prof. Leung Hing Fung Mr. T.K. Iu  Dr. Chris To
1030-1035	5 mins	[BREAK]	
<b>Module 7: Financial regulatory framework in Hong Kong – Financial and Securities Sector</b>			
1035-1105	30 mins	<b>Financial regulatory framework</b> - Principles of Code of Conduct for Persons Licensed by or Registered with SFC - Regulatory framework governing the sale of investment products	Ms Vickie Fong, Associate Director, Intermediaries of SFC
1105-1135	30 mins	- SFC's disciplinary proceedings against financial intermediaries	Ms Victoria Pang, Senior Manager, Enforcement of SFC
1135-1205	30 mins	<b>Case studies/ common kinds of complaints handled by SFC</b> - Case studies and common complaints - Regulators' perspectives on dealing with complaints or regulatory breach against financial institutions licensed by the SFC.	Ms Juliana Fong, Director, Complaints of SFC

### Accreditation (Being Applied For)

*All accreditations are under application and subject to final confirmation.*

- Financial Dispute Resolution Centre (FDRC) – CPD
- Hong Kong Mediation Accreditation Association Limited (HKMAAL) – CPD
- Hong Kong Monetary Authority (HKMA ECF) – CPD

- Insurance Authority (IA) – CPD
- Mandatory Provident Fund Schemes Authority (MPFA) – Non-Core CPD
- Securities and Futures Commission (SFC) – CPT
- The Law Society of Hong Kong – CPD

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