

ESTATE AGENTS ORDINANCE (Chapter 511)

Pursuant to section 30 of the Estate Agents Ordinance, it is hereby notified that the Disciplinary Committee of Estate Agents Authority has exercised the following disciplinary power against the following licensee:—

<i>Licence No.</i>	S-205941
<i>Name of Licensee</i>	SHUM Hon Wai
<i>Matter Concerned</i>	The licensee:— (i) in handling the sale and purchase transaction of a residential property, failed to carry out customer due diligence on the customer; and (ii) failed to ensure that the representative signing on behalf of the absent party had obtained written authorization from the latter before arranging for the representative to sign the provisional agreement for sale and purchase.
<i>Date of Decision</i>	21 February 2022
<i>Decision on Disciplinary Power Exercised</i>	1. In respect of the aforesaid matter (i):— (a) The licensee is reprimanded; and (b) A condition is attached to the licensee's licence requiring the licensee to attend and complete activities under the Estate Agents Authority Continuing Professional Development Scheme 'Compliance and Effective Management' category by way of seminars or lectures only and thereby acquire 12 points recognised by the Estate Agents Authority within 12 months, and at least 6 points of which shall be acquired from seminars or lectures on the Estate Agents Ordinance and its subsidiary legislation, Code of Ethics and Practice Circulars subject. 2. In respect of the aforesaid matter (ii):— (a) The licensee is reprimanded; and (b) A condition is attached to the licensee's licence requiring the licensee to attend and complete activities under the Estate Agents Authority Continuing Professional Development Scheme 'Compliance and Effective Management' category by way of seminars or lectures only and thereby acquire 12 points recognised by the Estate Agents Authority within 12 months, and at least 3 points of which shall be acquired from seminars or lectures on the Estate Agents Ordinance and its subsidiary legislation, Code of Ethics and Practice Circulars subject.

With regard to paragraphs 1(b) and 2(b) above, the Disciplinary Committee, having regard to the principle of totality, decided that the following condition is attached to the licence concerned of the licensee:—

'The above-named licensee shall, during the period of 12 months from 9 March 2022 to 8 March 2023, attend and complete activities under the Estate Agents Authority Continuing Professional Development Scheme 'Compliance and Effective Management' category by way of seminars or lectures only and thereby acquire 12 points recognised by the Estate Agents Authority, and at least 6 points of which shall be acquired from seminars or lectures on the Estate Agents Ordinance and its subsidiary legislation, Code of Ethics and Practice Circulars subject.'