



**Certified Private Wealth Professional (CPWP) Module 2
Ethics and Compliance Refresher Programme
(2017 Version)**

4 July – 18 July 2019



HKIB CPD	PWMA OPT	SFC CPT	IA CPD
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Programme Outlines

Certified Private Wealth Professionals (CPWP) Module 2 – Ethics and Compliance (Ref No: 80/74/29)

Programme & Module	Outlines
<p>3 Core Hours</p> <p>HD000000P190751 Regulatory Regime in Hong Kong and Requirements on Sale of Investment Products</p> <p><i>(Refer to CPWP M2 Exam Syllabus Topic 1, 2)</i></p>	<ul style="list-style-type: none"> ■ Legal and Regulatory Regime in Hong Kong <ul style="list-style-type: none"> □ The Banking Ordinance overview □ Key regulatory requirements applicable to property lending ■ Key Provisions relevant to Private Wealth Management <ul style="list-style-type: none"> □ Securities and Futures Ordinance (SFO), Deposit Protection Scheme (DPS) ■ Regulatory Requirements on Sale of Investment Products <ul style="list-style-type: none"> □ Sale of investment products: general matters □ Regulatory requirements relevant to the sale of investment products □ Professional investor regime □ Application of the suitability obligation to the sale of specific types of investment products □ Internal controls
<p>3 Core Hours</p> <p>HD000000P190752 Relevant Laws and Regulations relating to Client Engagement and Relationship Building</p> <p><i>(Refer to CPWP M2 Exam Syllabus Topic 3)</i></p>	<ul style="list-style-type: none"> ■ Core Compliance Knowledge for Private Wealth Management <ul style="list-style-type: none"> □ Anti-money laundering (AML) and counter-terrorist financing (CTF) laws and regulations □ Personal Data (Privacy) Ordinance, Cap 486 ■ Laws and Regulations relating to Client Engagement and Relationship Building <ul style="list-style-type: none"> □ Looking for potential customers □ Understanding restrictions on “suitcase banking” and related risks □ On-boarding a customer □ Managing the customer relationship ■ When things go wrong <ul style="list-style-type: none"> □ Complaint handling □ Regulatory investigations □ Powers of SFC and HKMA
<p>3 Core Hours</p> <p>HD000000P190753 Ethics and Practical Application of Legal and Regulatory Requirements for Private Banking</p> <p><i>(Refer to CPWP M2 Exam Syllabus Topic 4-6)</i></p>	<ul style="list-style-type: none"> ■ Ethical Standards set by Private Wealth Management Association <ul style="list-style-type: none"> □ General principles □ Risk management and client complaints ■ Fiduciary Duties and Ethical Values <ul style="list-style-type: none"> □ Understand issues which appear to compromise professional, legal or ethical standards including any perceptions thereof □ Duties and obligations of licensed and registered persons and directors: Keep up-to-date & comply with policies and procedures ■ Professional Conduct for Private Banking <ul style="list-style-type: none"> □ Put professional interests ahead of personal agenda, avoid and manage conflicts of interest □ Protect confidentiality of customer data ■ Practical Application of Legal and Regulatory Requirements in private wealth management context <ul style="list-style-type: none"> □ Misappropriation of customer assets □ System and control, Know Your Client (KYC) □ Other types of misconduct
<p>3 Core Hours</p> <p>HD000000P190754 Risk Management, Risk Governance and Risk Culture of Private Wealth Management Institutions</p> <p><i>(Refer to CPWP M2 Exam Syllabus Topic 7-8)</i></p>	<ul style="list-style-type: none"> ■ Controls and Accountabilities; Reporting and Escalation Policies <ul style="list-style-type: none"> □ Overview □ Controls and Accountabilities □ Reporting and escalation policies ■ Risk Management of Private Wealth Management Institutions <ul style="list-style-type: none"> □ Overview of risk management ■ Risk Governance and Risk Culture of Private Wealth Management Institutions <ul style="list-style-type: none"> □ Principles of proper risk governance, risk culture, risk appetite and values □ Relevance of risk governance and culture to a practitioner’s business conduct □ Impact and responsibilities of a practitioner’s actions to customers, the institution and other stakeholders ■ Remuneration System <ul style="list-style-type: none"> □ Setting and monitoring of remuneration system that align with risk management objectives of the institute □ Risk management & compliance □ Ensure personal and team compliance □ Best practices & case studies



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Enjoy a 10% discount off for enrolling 2 or more modules in one time

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Programme Objectives

By the end of programme, the participant will be able to:

- Demonstrate an adequate understanding and practical application of legal and regulatory requirements, and ethics relevant for practitioners
- Demonstrate a broad-based view of risk governance, risk culture and risk management, and an understanding of the wider implications and long-term impact of own actions on various stakeholders.

Target Audience

- PWM industry practitioners engaged by PWM institutions who are involved in customer-facing roles making personalized or customized solicitations or recommendations to customers in the provision of securities dealing and advisory service and/or portfolio management service.
- PWM industry practitioners who require OPT hours
- Insurance intermediaries and brokers, SFC licensees and HKIB qualification holders who require CPD, CPT hours

Programme Details

Language : Cantonese (supplemented with English materials)

Date : 4 July – 18 July 2019

E-mail : programme@hkib.org

Enquiry Hotline : (852) 2153 7800

Enrollment : By fax at (852) 2682 0218 / In person to our Institute

Venue : 3/F Guangdong Investment Tower, 148 Connaught Road Central, Sheung Wan (Sheung Wan MTR Station Exit C)

Special Offer : Enroll 2 or more modules in one time, enjoy a 10% discount off

Registration Form

Certified Private Wealth Professional (CPWP) Module 2 Ethics and Compliance Refresher Programme Series

Programme & Module			Time	Course Fees
Certified Private Wealth Professionals (CPWP) Module 2 – Ethics and Compliance (Ref. 80/74/29) 	<input type="checkbox"/>	Regulatory Regime in Hong Kong and Requirements on Sale of Investment Products (HD000000P190751) 3 Core Hours	4 July 2019 (Thu) 19:00 – 22:00	HK\$750
	<input type="checkbox"/>	Relevant Laws and Regulations relating to Client Engagement and Relationship Building (HD000000P190752) 3 Core Hours	9 July 2019 (Tue) 19:00 – 22:00	HK\$750
	<input type="checkbox"/>	Ethics and Practical Application of Legal and Regulatory Requirements for Private Banking (HD000000P190753) 3 Core Hours	10 July 2019 (Wed) 19:00 – 22:00	HK\$750
	<input type="checkbox"/>	Risk Management, Risk Governance and Risk Culture of Private Wealth Management Institutions (HD000000P190754) 3 Core Hours	18 July 2019 (Thu) 19:00 – 22:00	HK\$750

Have you applied grandfathering assessment to PWMA? Yes No

Full Name : Mr / Ms _____ (In English as on ID Card) Full Name : _____ (In Chinese)

HKID No. (First 4 Digits)* : _____ Membership No : _____

*WAM Pilot Scheme applicants must provide Hong Kong identity card number for reimbursement claim.

Do you intend to apply for the WAM Financial incentive Scheme¹⁰? Yes No

Organization : _____ Position : _____

Department : _____ Mobile / Phone No : _____

E-mail : _____

(Confirmation will be sent via e-mail one week before programme commences)

Mailing Address : _____
(Please complete the below address box if you want to collect the programme certificate)

Payment Method : A cheque / e-Cheque made payable to "The Hong Kong Institute of Bankers" (cheque no. _____).

** For e-Cheque, please state the programme code under 'remarks' and email together with the completed enrolment form to programme@hkib.org

Credit Card : VISA Master Amount : HK\$ _____

Cardholder's Name : _____ Signature : _____

Card No. : _____ Expiry Date : _____ (mm/yy)

How did you know about this programme?

- Website HR Department E-News Others (Please specify)
- Friends / Colleagues Banking Today HKIB Counter

Terms and Conditions

- All fees paid are non-refundable and non-transferable.
- Participants who have settled payments will receive course confirmation by e-mail within 7 days prior to the programme date.
- All payments must be settled before programme commencement.
- Priority of enrolment will be given on a 'first-come-first-serve' basis. HKIB Member will have priority to register if there is limited seat remained for the programme.
- HKIB would issue the "Certificate of Attendance to participants who have complied with the "HKIB Attendance Policy". The Certificate will be mailed to the corresponding address within 10 working days after completion of the programme.
- We reserve the right to reject an enrolment at any time.
- We reserve the right to cancel, modify and/or postpone the programme due to unforeseen circumstances.
- The information given and personal data collected will be used for the purpose of administration and communication by the Institute.
- For the Typhoon or Rainstorm arrangement, please refer to the confirmation e-mail or HKIB's website (www.hkib.org).
- The programme has been included in the list of reimbursable courses for WAM pilot programme. For WAM pilot programme applicants, 80% of the course fee will be reimbursed upon meeting the 80% attendance requirement. For more details, please visit: www.wamtalent.org.hk



Please visit HKIB website for more public programmes

Address : 3/F Guangdong Investment Tower, 148 Connaught Road Central, Hong Kong Tel : (852) 2153 7800 Fax : (852) 2544 9946 Email : hkib@hkib.org

* This address is only used for sending the programme certificate

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Name : _____ Name : _____

Address : _____ Address : _____