

Acknowledge Receipt of Study Guide	
Signature	

## Certified Private Wealth Professional (CPWP) - Module 2: Ethics and Compliance Examination Enrolment Form - Feb 2020

(Please complete	legibly all	parts in BL	OCK LE	TTERS and in	BLACK or	<b>BLUE INK</b>	and put a "√" in the	e appropriate " $\square$ ")		
Section A - Perso	nal Parti	culars								
☐ HKIB Member (Mer	mbership N	lo.:		)	☐ Non-l	HKIB Meml	ber			
Name in Chinese:			Name in English: (as on identity document)					Title:		
Mobile Phone Office Tel. No.: No.:							Examination Attendance Notice will ONLY be sent via email)			
Correspondence Addr (Please indicate the Company N					HKID / Passport Number: (Please attach a copy of your HKID card/ Passport for verification)					
Name of Company :			Department / Unit:				Position held:			
Section B - Exami	nation S	chedule	and Fe	ees						
Enrolment	Enrolment Examination Date & Exam							nination Fee		
Deadline		Time		☐ New enrolm			esit enrolment	Late enrolment fee		
31 Jan 2020 (Fri)	13 Feb 2020(Thur 19:00 - 20:00		ır)	HKD1,850 (Including Examination Fe Study Guide)		HKD900 (for candidate attempted previously)		HKD200 (Applicable after the deadline. Acceptance subject to availability)		
Debit my credit card  Card No.:  Name of Card Hold  Section D - Ackr		- 🔝	1 1	<u> </u>		<u> </u>		Master  M M Y  ry Date:		
The information I have I understand that the p I confirm that I have r information published understand and accep I voluntarily consent T to the Hong Kong Ider information, including Wealth Management	provided in aid fees are ead the (1) in the HKIE to the regulation tity Card nuthe result of Association, well as any continued in the result of the result	this form is to a non-refunda CPWP Modu Bons and PWM. In the second part of the examination and conservations.	true and c able and n ule 2 - Eth A website of Bankers assport nu action and nt to the u	correct. con-transferable. conics and Compliances; (3) CPWP Markets to transfer, releasember), all personal information on use of such data	Module 2 Example	xamination ( se and/or pro at I previous t and behav rivate Wealt	Guidance Notes printended by the my personal data by supplied (if any) and ior while taking the expense of Management Associated	ule 2 examination-related ed in this form, and fully a (including but not limited d any examination-related kamination, to the Private ciation for monitoring and le Certified Private Wealth		
Section E: Other I	nformati	on								
	Secondary < 1 year	or below			<ul> <li>□ Degree €</li> <li>□ 5 - 10 yea</li> </ul>		☐ Master or above☐ 11 - 15 years	□ >15 years		
	Experience: □ < 1 year □ 1 - 4 years □ 5 - 10 years □ 11 - 15 years □ >15 years  I have applied grandfathering assessment to PWMA.									
☐ I would not apply gra				١.						
I have been grandfa	thered by the	e PWMA and	have bee	en granted a one		ion under th	e grandfathering route			
(Please provide copy						naterials on	HKIB training program	mes and other activities as		

these may be relevant to CPWP holders in fulfilling the PWMA's On-going Professional Training (OPT) requirement.

# The Hong Kong Institute of Bankers Certified Private Wealth Professional (CPWP) - Module 2: Ethics and Compliance Examination Guidance Notes

#### **Examination Enrolment**

- Please complete and return the enrolment form with a copy of your HKID card/ Passport for verification and retain a copy for your own reference.
- 2) Entries must comply with the regulations and timetable published in this form and HKIB website.
- 3) Under no circumstances will change of examination enrolment be allowed.
- 4) Under no circumstances will the examination fees be refunded or transferred.

#### **Method of Payment**

- (a) By cheque (post-dated cheque will not be accepted), and attach it to the enrolment form. Cheque should be made payable to "The Hong Kong Institute of Bankers". Please put your full name and contact phone number on the back of the cheque; OR
   (b) Send your e-Cheque payable to 'The Hong Kong Institute of Bankers' together with the completed enrolment form to exam@hkib.org; OR
  - (c) By credit card payment. Please provide credit card information at Section C Payment Methods.
- 6) Enrolment form without payment instruction will not be processed.
- 7) Examination fee, once paid, will not be refunded.
- 8) Please keep a payment record. If any query arises, please quote these details, together with your ID card/passport number.

#### **Application Period**

9) Application can be accepted by fax, by email, by hand or by registered mail to avoid loss in the mail, but attention must be paid to the enrolment period of the examination enrolment.

#### **Examination Attendance Notices (Attendance Notices)**

- 10) Attendance Notices will be sent to candidates <u>via email ONLY about 2 weeks before the examination.</u> You are obligated to inform the Institute if you do not receive the Attendance Notice <u>1 week</u> before the examination.
- 11) Candidates are required to print a copy of the Attendance Notice on a plain A4 paper before attending each examination.
- 12) Candidates **MUST** produce their Attendance Notice in each examination, along with valid identification document (HKID/ passport) specified on the application form. Photocopy will not be accepted.

#### **Results**

- 13) (a) Issue of results: Candidates will be notified of their results by post and only with written notice. Results will not be revealed by telephone, fax or other electronic means. Results will be released within 2 to 4 weeks from the examination date.

  (b) Withholding of results: Results will be withheld from candidates who have not paid in full any monies due or payable to the
  - Institute, including but not limited to examination enrolment fees.

#### **Examination Information**

14) Related examination information and typhoon or rainstorm arrangement for examinations are available in the examination handbook and the HKIB website (www.hkib.org). Candidates should read the information and regulations of the examination beforehand.

#### **Important Notes on Personal Data**

15) The personal data provided on this form will be used for the examination administrative and communicative purposes. Failure to provide complete and accurate information may affect the provision of administrative services to the candidate. The Institute will keep the personal data provided confidential but may need to disclose it to appropriate personnel in the Institute and other relevant parties engaging in the provision of the examination services to the Institute. You have the right to request access to and correction of your personal data. If you wish to do so, please contact the Institute. Please refer to the HKIB website www.hkib.org for details.

#### **Acknowledgement**

16) Acknowledgement of the examination enrolment will be sent to candidates via e-mail within 7 full working days of receiving the enrolment form. Should you fail to receive the acknowledgement within the above said period, please inform the Institute immediately.

### ENSURE YOU HAVE SIGNED THE EXAMINATION ENROLMENT FORM, AND HAVE ATTACHED PAYMENT OR EVIDENCE OF PAYMENT BEFORE SUBMITTING THE FORM TO THE INSTITUTE.

For Enquiries:

Tel: (852) 2153 7821 / 2153 7865 Fax: (852) 2544 9946 E-mail: <a href="mailto:exam@hkib.org">exam@hkib.org</a> Website: <a href="mailto:www.hkib.org">www.hkib.org</a>