



## Application Form for Conversion of CFMP™ to ARWP / CRWP

***Please read “ECF on Retail Wealth Management (RWM) - Conversion Arrangement for CFMP™ Candidates and Holders”, “Guidelines of Application for ARWP/CRWP Certification” and “Important Notes for Application” BEFORE completing this form***

**IMPORTANT NOTES FOR APPLICATION**

1. This conversion form is applicable only for Hong Kong CFMP™ designation holders who are relevant practitioners, including new entrants and existing practitioner, engaged by an Authorized Institution (AI) to perform RWM roles in its Hong Kong operation. Please refer to “**Guidelines of Application for ARWP/CRWP Certification**” for details.
2. CFMP certification designation holders, who are current relevant practitioners and have renewed HKIB Membership for current year and fulfilled the minimum CPD requirements in previous year, will be eligible to be converted to ARWP / CRWP.
3. Conversion is NOT reversible. Once converted, holders are required to complete Certification Requirements under ECF on RWM in order to acquire the Certification. HKIB will not accept any further proof of completion of the CFMP™ designation once the conversion application is approved.
4. All applications are subject to review and approval by HKIB. HKIB may in its absolute discretion to refuse the approval any application.
5. An ARWP / CRWP certification year runs from 1 January until 31 December. It is mandatory for all individuals to maintain a valid membership status with HKIB if the applicants want to apply for and maintain ARWP/CRWP certification and subject to HKIB membership governance. The ARWP/CRWP Certification is subject to annual renewal by HKIB. A Relevant Practitioner has to meet the annual continuing professional development (CPD) requirement and pay the annual renewal of certificate fee to renew the ARWP/CRWP certification.
6. ARWP / CRWP Certification / re-certification fees are reviewed and/or revised annually. Certification holders will be notified of any changes. HKIB reserves the right to terminate certification and membership status if a renewal payment is not received by the start of the calendar year. There are no refunds or reimbursements for services that have not been utilized during the membership period.
7. ARWP/CRWP certification holders will be registered as Certified Individuals (CI) and included in a public register on the HKIB website. Upon successful application for ARWP/CRWP Certification with HKIB, HKIB will grant the certification holder a professional membership. Name of certification holders will be presented on the HKIB website and also published on the Institute's journal “Banking Today” and Annual Report. ARWP/CRWP certification holders are entitled to print the designation on their business card and curriculum vitae which signifies their professional excellence.
8. ARWP/CRWP certification holders would be bound by the prevailing rules and regulations of HKIB. They are abided by HKIB's rules and regulations in HKIB Members' Handbook. ARWP/ CRWP certification holders are required to notify HKIB of any material changes to responses to any of the questions in application of the certification, including their contact details. HKIB may investigate the statements ARWP/CRWP certification holders have made with respect to applications, and that they may be subject to disciplinary actions for any misrepresentation (whether fraudulent and otherwise) in their applications.
9. Completed application with all required supporting documents must be submitted to HKIB office by **31 December 2020** in person or by mail to the following address:  
  
“Application for Conversion of CFMP™ to ARWP /CRWP”  
The Hong Kong Institute of Bankers  
3/F Guangdong Investment Tower  
148 Connaught Road, Central, Hong Kong
10. Application should be reviewed and endorsed by your institution's Human Resources before submission. Late submission, application with incomplete information and applications by fax will NOT be accepted. Application sent to us with insufficient postage or packaging will NOT reach HKIB.
11. All documents (e.g. certificate) submitted are subject to review by random audit. HKIB reserves the right to reject the conversion application if the individual selected for random audit fails to provide sufficient documents to fulfill the requirement of random audit.
12. The new ARWP / CRWP Scroll will only be issued ONCE. If a Scroll is lost, the Institute can only issue a letter to certify your qualifications, which is subject to charges. The scrolls will be prepared in batches and applicants will be notified when the scrolls are ready for collection.
13. Conversion requests from defaulting members will not be accepted after 1st December 2020, even if they reinstate their membership after that date.
14. Please read Policy of Personal Data Protection set out on HKIB website before application.



## Application Form for Conversion of CFMP™ to ARWP / CRWP

This application form is ONLY for Relevant Practitioner of an Authorized Institution (AI) supervised by the Hong Kong Monetary Authority (HKMA).

Please obtain endorsement from HR department for the verification on Key Roles/ Responsibilities for RWM practitioners (Annex) before submission to HKIB.

### Section A: Personal Particulars

|  |  |   |                               |
|--|--|---|-------------------------------|
| Title: <input checked="" type="checkbox"/> Mr <input type="checkbox"/> Ms <input type="checkbox"/> Dr      |  | HKIB Membership:<br><input checked="" type="checkbox"/> Yes <u>XX3068</u> <input type="checkbox"/> No<br><small>(Please specify the Membership No.)</small> |                               |
| Name in English: (as shown on identity document)<br><u>LEE</u><br>(Surname) <u>CHI NAN</u><br>(Given Name) |  | Name in Chinese: (as shown on identity document)<br><u>李智能</u>  |                               |
| HKID / Passport Number (please delete where inappropriate):<br><u>C 666668 (E)</u>                         |  |   |                               |
| Mobile Phone No. :<br><u>9876 5432</u>   |  | Primary Email Address <sup>1</sup> :<br><u>leechinan@xyzbank.com</u>  |                               |
| Correspondence Address:<br><u>FLATA, 3/F, HOME TOWN, CENTRAL, HK</u>                                       |  | Secondary Email Address (if any):<br><u>leechinan@gmail.com</u>   |                               |
| Name of Employer:<br><u>XYZ BANK</u>   |  | Office Telephone No.:<br><u>3210 1023</u>   |                               |
| Position/ Job Title:<br><u>RELATIONSHIP MANAGER</u>  |  | Department:<br><u>BRANCH BANKING DEPARTMENT</u>   |                               |
| Office Address:<br><u>28/F, XYZ BANK TOWER, CENTRAL, HK</u>  |  |   |                               |
| Total years of work experiences in Banking and Finance:<br><u>28 YEARS</u>                                 |  |   |                               |
| Highest Academic Qualification Obtained:<br><u>MBA</u>   |  | University / Tertiary Institution:<br><u>UGC UNIVERSITY</u>   | Date of award:<br><u>2010</u> |
| Other Professional Qualifications:   |  | Professional Bodies:  |                               |

\* Note: All HKIB designations and membership related communication will be sent via email by using the Primary Email Address

## Section B: Conversion application

Applicants with valid CFMP™ designation and HKIB membership\* and relevant work experience may apply conversion of Certification for ECF on RWM Programme. Please “✓” the Certification which you would like to apply for Conversion.

| Please<br>“✓”                       | Certification of ECF on RWM                 | Year of Experience Required  |
|-------------------------------------|---|--|
| <input type="checkbox"/>            | Associate Retail Wealth Professional (ARWP) | Not necessary  |
| <input checked="" type="checkbox"/> | Certified Retail Wealth Professional (CRWP) | At least 2-year relevant work experience required which should be accumulated within the 4 years immediately prior to the date of application for certification, but does not need to be continuous. |

\* Designation holders of CFMP™ at default membership status should reinstate their HKIB professional membership before conversion application.

## Section C: Conversion Application fee

For current valid CFMP™ designation holders: HKD520.-

Paid by Employer

A cheque / e-Cheque\* made payable to “The Hong Kong Institute of Bankers” (Cheque no. 309801)

\* For e-Cheques, please state “ECF on RWM Conversion” under ‘remarks’ and email, together with the completed application form, to [ecf.rwm@hkib.org](mailto:ecf.rwm@hkib.org)

Credit card:

Visa       Master

Card No:

-  -  -

Expiry Date (MM/YY)

/

Name of Cardholder :

\_\_\_\_\_

Total amount:

HKD520.-

Signature:

\_\_\_\_\_

(as on credit card)

## Section D: Statement on Collection of Personal Data

It is necessary for applicants to supply their personal data and to provide all the information requested in the application documents, as otherwise HKIB may be unable to process and consider their applications.

- The personal data provided in this form will be used for processing your application for membership, training and examination, statistical and marketing (including direct marketing) purposes. The data will be solely handled by HKIB staff but may be transferred to an authorized third party providing services to HKIB in relation to the above purposes and prescribed purposes as allowed by the law from time to time.
- When the processing and consideration of all the applications for a particular programme have been completed: (a) the application papers of unsuccessful candidates will be destroyed (if you have indicated to receive our promotional materials then your contact details and related papers would be retained for such purposes); and (b) the application papers of successful candidates will serve as part of the applicant's official student records and will be handled by HKIB staff or by staff of an authorized third party providing services to HKIB in relation to the stated purposes. In all such circumstances, please be assured that any personal information you supply will be kept strictly confidential.
- Applicants understand that they have the right to check whether HKIB holds personal data about me and that, if so, they have a right of access to their personal data. They can request HKIB to correct any inaccurate personal data and if they need to obtain a copy of their personal data or have it corrected, they can write to the HKIB. They understand that HKIB is permitted by law to charge a reasonable fee for the processing of any data access request.
- Personal data provided on the application form will be used by HKIB for the purpose relating to application and admission. For details of the Policy of Personal Data Protection Statement, please refer to the website: <http://www.hkib.org>

**Please tick if you DO NOT WISH to receive our latest updates and promotional materials through the communication channels as stated above, including discounts, promotion and offers from time to time.**

## Section E: Acknowledgement and Declaration

- I declare that all information I have provided in this form is true and correct and will be used for the purpose of administration and communication by The Hong Kong Institute of Bankers (HKIB).
- I confirm that I have renewed my HKIB Membership for current year and I have fulfilled the minimum CPD requirements in previous year.
- I understand that any incomplete or insufficient information provided on this form by me may lead to a delay in issuing the ARWP / CRWP Scroll.
- I understand that HKIB reserves the right to request any applicant to provide documentary proof related, but not limited to, membership status, CPD declaration and Scroll(s) issued by HKIB.
- I understand that the fees paid are non-refundable and non-transferable.
- I authorize HKIB to obtain and the relevant authorities to release, any information about my qualifications and / or employment as required for my application.
- I acknowledge that HKIB has the right to withdraw ARWP / CRWP certification if I do not meet the requirements.
- I understand that as a member of the HKIB, I shall be bound by the prevailing rules and regulations of the Institute. I agree to abide by HKIB's rules and regulations in HKIB Members' Handbook.
- I agree to notify HKIB of any material changes to my responses to any of the questions in this application, including my contact details. I understand and agree that HKIB may investigate the statements I have made with respect to this application, and that I may be subject to disciplinary actions for any misrepresentation (whether fraudulent and otherwise) in this application.
- I understand and agree to comply with all conditions, requirements, policies and procedures established by HKIB as may be amended from time to time.
- I confirm that I have read and understood the Policy of Personal Data Protection set out on the HKIB website at <https://www.hkib.org/>, and consent to the terms set out therein. I also understand that the Institute will use the information provided and personal data collected for administration and communication purposes.
- I understand that Professional Membership shall run from 1 January to 31 December in each calendar year. Members who fail to pay their subscription/certification fees by 31 January of each calendar year will be treated as default members and the reinstatement policy will therefore be applied.
- I understand that it is compulsory for all individuals to maintain a valid membership status with HKIB if the applicants want to be certified and maintain HKIB professional designations (e.g. CB, CB (Stage II), CB (Stage I), CFMP™, AAML, CAMLP, ARWP and CRWP, etc.). For all professional certification holders, they have to maintain HKIB professional membership status and fulfill annual CPD requirement.
- I have read and agreed to comply with the "ECF on Retail Wealth Management (RWM) - Conversion Arrangement for CFMP™ Candidates and Holders", "Guidelines of Application for ARWP/CRWP Certification" and "Important Notes for Application" BEFORE completing this application form.

CHI NAN LEE

11 Feb 2020

Signature of Applicant

Date

(Name: LEE CHI NAN )



## Application Form for ARWP Certification (with HKIB Professional Membership)

### ARWP Application – HR Department Verification on Key Roles / Responsibilities for RWM Practitioners

|   |              |
|---|--------------|
| Current Position / Functional Title                       |              |
| Full Name of Applicant<br>(as set out on HKID / Passport) |              |
| Name of Employer  |              |
| Business Division / Department                            |              |
| Employment Period<br>(DD / MM / YYYY)                     | From:<br>To: |

Please tick the appropriate key roles / responsibilities in relation to applicant's current functional title / position in authorized institutions.

| Key Roles / Responsibilities  | Please "✓" where appropriate |
|---|------------------------------|
| 1. Promote insurance and financial products to customers and explain product features to retail customers                       |                              |
| 2. Assist Relationship Managers in providing professional investment, insurance or wealth planning services to retail customers |                              |
| 3. Handle customer enquiries in relation to insurance, investment and wealth management services                                |                              |
| 4. Dealing in and advising on securities  |                              |

### Verification by HR Department

The employment information provided by the applicant in this form has been verified to be consistent with the information on the applicant that is retained by the HR department of the applicant's employer (where the organisation has a record of this information).

Signature & Company Chop

Name: \_\_\_\_\_

Department: \_\_\_\_\_

Position: \_\_\_\_\_

Date \_\_\_\_\_



**Application Form for CRWP Certification**  
(with HKIB Professional Membership)

**CRWP Application- HR Department Verification on Key Roles / Responsibilities for RWM Practitioners**

Note:  
 1. Please fill in ONE form for each relevant functional title / position in your application.  
 2. Please use BLOCK LETTERS when completing the information requested below.  
 3. Criteria for CRWP Certification Application: 2 years of relevant work experience in RWM functions  
 4. The applicant may print more than 1 copy of this form for other position(s)

|   |                                 |
|---|---------------------------------|
| Position / Functional Title                                 | RELATIONSHIP MANAGER            |
| Full Name of Applicant<br>(as set out on HKID / Passport)   | LEE CHI NAN                     |
| Name of Employer  | XYZ BANK                        |
| Business Division / Department                              | BRANCH BANKING DEPARTMENT       |
| Employment Period<br>(DD / MM / YYYY)                       | From: 02/01/2015<br>To: CURRENT |
| Total number of years and months in Current Position of RWM | 10 Years 02 Months              |

Please tick the appropriate key roles / responsibilities in relation to applicant's current functional title / position in authorized institutions.

| Key Roles / Responsibilities  | Please "✓" where appropriate |
|---|------------------------------|
| 1. Perform "Know Your Customer" (KYC) procedures for client on-boarding and regular profile update  | ✓                            |
| 2. Perform product suitability analysis and recommend suitable products to retail customers   | ✓                            |
| 3. Explain key features, structures and risks of insurance, investment and wealth management products /solutions to retail customers  | ✓                            |
| 4. Manage customer relationships in accordance with the bank's service  | ✓                            |
| 5. Act ethically and ensure compliance with regulatory requirements and internal policies and procedures  | ✓                            |
| 6. Work closely with relevant parties to ensure timely and accurate execution of transactions, and conduct regular review of the performance of customers' asset portfolios |                              |
| 7. Keep abreast of the development of retail wealth management industry and economic conditions and product knowledge for meeting ongoing job                               | ✓                            |




**Application Form for CRWP Certification**  
(with HKIB Professional Membership)

|   |   |
|---|---|
| requirements  | ✓ |
| 8. Dealing in and advising on securities  |   |
| 9. Monitor and review KYC processes and customer risk profiling mechanism   |   |
| 10. Oversee product suitability assessments, front line selling practices, and specific policies, procedures and controls to ensure front line staff recommend insurance, investment products and wealth management solutions that are suitable for their customers, having regard to customers' individual circumstances |   |
| 11. Perform continuous review of the risk ratings assigned to customers, make revisions to the risk ratings as appropriate and alert customers to such changes in a timely manner   |   |
| 12. Ensure ethical behaviors and compliance with regulatory requirements and internal policies and procedures   | ✓ |
| 13. Manage customer relationships including handling of escalated complaint cases in relation to retail wealth management business  | ✓ |
| 14. Ensure frontline staff are equipped with sufficient and relevant training on products and compliance  |   |

**Verification by HR Department**

The employment information provided by the applicant in this form has been verified to be consistent with the information on the applicant that is retained by the HR department of the applicant's employer (where the organisation has a record of this information).

  
 \_\_\_\_\_  
**Signature & Company Chop**  
 Name: CAROL MONG  
 Department: HR  
 Position: HR MANAGER



12 Feb 2020  
 \_\_\_\_\_  
**Date**

**JOB EXPERIENCE WITHOUT  
COMPANY VERIFICATION  
WILL NOT BE COUNTED**



## Application Form for CRWP Certification (with HKIB Professional Membership)

### Document Checklist

To facilitate the application process, please check the following items before submission to the Institute. Thank you.

- Completed and Signed Application Form
- Key Roles / Responsibilities verified by the HR department of your organisation
- Certified true copies of your HKID / Passport enclosed<sup>1</sup>
- Attach copy of the original CFMP™ scroll<sup>1</sup> issued by HKIB. Applications without attachment will also be accepted, but the processing time may be lengthened.
- Payment or evidence of payment enclosed (cheque or completed Credit Card Payment Instructions)

### FOR OFFICIAL USE

Received by : \_\_\_\_\_ (Staff Name) \_\_\_\_\_ (Date)  
 ARWP / CRWP Certification: \_\_\_\_\_ (Number) \_\_\_\_\_ (Issue Date)

Received Notification Sent:   
 Collection Notification Sent:

<sup>1</sup> Submitted copies of documents to the HKIB must be certified as true copies of the originals by:

- The HKIB staff; or
- HR/authorized staff of current employer(Authorized Institution); or
- A recognized certified public accountant / lawyer / banker / notary public; or
- Hong Kong Institute of Chartered Secretaries (HKICS) member.

Certifier must **sign** and **date** the copy document (printing his/her **name** clearly in capitals underneath) and clearly indicate his/her **position** on it. Certifier must state that it is a true copy of the original (or words to similar effect)