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| Acknowledge Receipt of Study Guide |
| Signature |

Certified Private Wealth Professional (CPWP) - Module 2: Ethics and Compliance Examination Enrolment Form – June 2018

(Please complete legibly all parts in **BLOCK LETTERS** and in **BLACK** or **BLUE INK** and put a “✓” in the appropriate “”)

Section A - Personal Particulars

HKIB Member (Membership No.: _____) Non-HKIB Member

| | | | | | |
|--|--|---|--|--|--|
| Name in Chinese: | | Name in English: (as on identity document) | | Title: <input type="checkbox"/> Mr. / <input type="checkbox"/> Ms. | |
| Mobile Phone No.: | | Office Tel. No.: | | Email Address: <small>(Confirmation Notice and Examination Attendance Notice will ONLY be sent via email)</small> | |
| Correspondence Address: (Please indicate the Company Name if it is a company address) | | | | HKID / Passport Number: (Full digit) | |
| Name of Company : | | Department / Unit: | | Position held: | |

Section B - Examination Schedule and Fees

| Enrolment Deadline | Examination Date & Time | Examination Fee | |
|--------------------|-------------------------------------|---|--|
| | | <input type="checkbox"/> New enrolment | <input type="checkbox"/> Resit enrolment |
| 12 May 2018 (Sat) | 12 June 2018 (Tue) 19:00 - 20:00 | HK\$1,750 <small>(Including Examination Fee and a Study Guide)</small> | HK\$850 <small>(for candidate attempted previously)</small> |

Section C - Payment Methods

A cheque / e-Cheque made payable to “The Hong Kong Institute of Bankers” (cheque no. _____). For e-Cheque, please state the examination code under ‘remarks’ and email together with the completed enrolment form to exam@hkib.org.

Debit my credit card, amount HK\$ _____ Visa Master

Card No.: - - - Expiry Date:

Name of Card Holder: _____ Signature: _____
(as on credit card)

Section D - Acknowledgement and Declaration

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| <ul style="list-style-type: none"> The information I have provided in this form is true and correct. I understand that the paid fees are non-refundable and non-transferable. I confirm that I have read the (1) CPWP Module 2 - Ethics and Compliance Examination Handbook; (2) CPWP Module 2 examination-related information published in the HKIB and PWMA websites; (3) CPWP Module 2 Examination Guidance Notes printed in this form, and fully understand and accept the regulations. I voluntarily consent The Hong Kong Institute of Bankers to transfer, release, disclose and/or provide my personal data (including but not limited to the Hong Kong Identity Card number and passport number), all personal data that I previously supplied (if any) and any examination-related information, including the result of the examination and information on my conduct and behavior while taking the examination, to the Private Wealth Management Association, and consent to the use of such data by the Private Wealth Management Association for monitoring and verifying purposes as well as any other related purposes of assisting them to perform and discharge their functions in the Certified Private Wealth Professional Certification. |
| <p>_____ Signature</p> <p>_____ Date</p> |

Section E: Other Information

| | | | | |
|--------------------------|---|---|--|---|
| Education: | <input type="checkbox"/> Secondary or below | <input type="checkbox"/> Post-secondary | <input type="checkbox"/> Degree Graduate | <input type="checkbox"/> Master or above |
| Work Experience: | <input type="checkbox"/> < 1 year | <input type="checkbox"/> 1 - 4 years | <input type="checkbox"/> 5 - 10 years | <input type="checkbox"/> 11 - 15 years <input type="checkbox"/> >15 years |
| <input type="checkbox"/> | I have applied grandfathering assessment to PWMA | | | |
| <input type="checkbox"/> | I would not apply grandfathering assessment to PWMA | | | |
| <input type="checkbox"/> | I have been grandfathered by the PWMA and have been granted a one-off exemption under the grandfathering route. (Please provide copy of the confirmation of grandfathering and one-off exemption) | | | |
| <input type="checkbox"/> | I wish my email address to be included on HKIB's mail list for receiving marketing materials on HKIB training programmes 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

- 1) Please complete and return the enrolment form 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

- 5) (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 via email ONLY about 2 weeks before the examination. You are obligated to inform the Institute if you do not receive the Attendance Notice 1 week 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 7893 Fax: (852) 2544 9946 E-mail: exam@hkib.org Website: www.hkib.org