



Grandfathering Application Form for ECF on Retail Wealth Management (RWM)

Please read carefully the “Guidelines of Application for ECF on RWM Grandfathering” **BEFORE** completing this application form

This form is only applicable for the Relevant Practitioner from Authorized Institutions (AIs) **ONLY**.

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 type="checkbox"/> Mr. <input type="checkbox"/> Miss <input type="checkbox"/> Ms. <input type="checkbox"/> Dr.		HKIB Membership: <input type="checkbox"/> Yes _____ <input type="checkbox"/> No <i>(Please specify the Membership No.)</i>	
Name in English: (as shown on identity document) (Surname) (Given Name)		Name in Chinese: (as shown on identity document)	
HKID / Passport Number <i>(please delete where inappropriate)</i> :			
Mobile Phone No. :		Primary Email Address ¹ :	
Correspondence Address:		Secondary Email Address (if any):	
Name of Employer:		Office Telephone No.:	
Position/ Job Title:		Department:	
Office Address:			
Total years of work experiences in Banking and Finance:			
Highest Academic Qualification Obtained:		University / Tertiary Institution:	Date of award:
Other Professional Qualifications:		Professional Bodies:	

¹All HKIB Training Confirmation, Examination Attendance and related communication will be sent via email by using the **Primary Email Address**

Please “✓” the appropriate boxes.

Section B: Grandfathering application

Applicants with appropriate qualification(s) and relevant work experience may apply Grandfathering on Core Level or Professional Level of ECF on RWM Programme. Please “✓” the level which you would like to apply for Grandfathering.

Please “✓”	Level of ECF on RWM Programme	Eligible Qualification	Certified true copies of relevant documents	Year of Experience Required
<input type="checkbox"/>	Core Level (Modules 1 - 4 completed)	Completed CFP Foundation Level	Passed Examination Result	At least 1-year relevant work experience
<input type="checkbox"/>	Professional Level (Modules 1 - 7 completed)	Possess valid CFP certification	CFP certificate	At least 3-year relevant work experience

Section C: Employment history

(List employment history of Retail Wealth Management work experience in reverse chronological order)

Employer	Position	Employment Period (DD / MM / YYYY)	Roles Verified by HR?
		from to	<input type="checkbox"/> Yes <input type="checkbox"/> No
		from to	<input type="checkbox"/> Yes <input type="checkbox"/> No
		from to	<input type="checkbox"/> Yes <input type="checkbox"/> No
		from to	<input type="checkbox"/> Yes <input type="checkbox"/> No
		from to	<input type="checkbox"/> Yes <input type="checkbox"/> No
		from to	<input type="checkbox"/> Yes <input type="checkbox"/> No
		from to	<input type="checkbox"/> Yes <input type="checkbox"/> No

Total Number of Years and Months in the Retail Wealth Management Function: _____ Years _____ Months

Please “✓” the appropriate boxes.

Section D: Grandfathering Application Fee

Application fee: HK\$1,000.-

- Paid by Employer
- A cheque / e-Cheque made payable to "The Hong Kong Institute of Bankers"
(cheque no. _____).

For e-Cheque, please state "ECF on RWM Grandfathering" under 'remarks' and email together with the completed enrolment form to ecf.rwm@hkib.org.

- Credit card:
 Visa Master

Card No: - - - Expiry Date (MM/YY) /

Name of Cardholder :

Total amount: HK\$1,000.-

Signature:

(as on credit card)

Section E: 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 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](http://www.hkib.org) 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.

Please "✓" the appropriate boxes.

Section F: Acknowledgement and Declaration

- I declare that all information I have provided in this form is true and correct.
- I understand that the fees paid are non-refundable and non-transferable.
- I authorize HKIB to obtain 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 approval of grandfathering status if I do not meet the requirements. 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 confirm that I have read and understood the [Policy of Personal Data Protection](#) set out on HKIB website at 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 have read and agreed to comply with the "[Guidelines of Application for ECF on RWM Grandfathering](#)" BEFORE completing this application form.

Signature

Date

(Name: _____)

Document Checklist

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

- Completed and signed this Application Form
- Endorsed and verified by HR Department on Key Roles/ Responsibilities for RWM practitioners
- Certified true copies of your HKID / Passport enclosed²
- Certified true copies of CFP certificate or CFP Certification Examination (Foundation Level) result enclosed¹
- Payment or evidence of payment enclosed (cheque or completed Credit Card Payment Instructions)

FOR OFFICIAL USE

Received by : _____ (Staff Name) _____ (Date)

Assessed by: _____ (Staff Name) _____ (Date)

¹ 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)

Please "✓" the appropriate boxes.



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HR Department Verification on Key Roles / Responsibilities for RWM Practitioners

Note:

1. Please fill in ONE form for each relevant practitioner in your application.
2. Please use BLOCK LETTERS when completing the information requested below.
3. Criteria for Grandfathering Application: ONE year of relevant work experience in RWM functions (Core Level)
THREE years of relevant work experience in RWM functions (Professional Level)
4. The applicant may print more than 1 copy of this form for other position(s)

Position / Functional Title	
Full Name of Applicant <i>(as set out on HKID / Passport)</i>	
Name of Employer	
Business Division / Department	
Employment Period <i>(DD / MM / YYYY)</i>	From: To:
Total number of years and months in RWM functions	_____Years _____Months

Please tick the appropriate key roles / responsibilities in relation to your current or past functional title / position in Authorized Institutions.

For Core Level grandfathering applicant

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	

For Professional Level grandfathering applicant

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 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: _____
 Department: _____
 Position: _____

Date