

Application No:	
(For official use)	

Application Form for Associate Retail Wealth Professional (ARWP) Certification (with HKIB Professional Membership)

Please read carefully the "<u>Guidelines of Application for ARWP/CRWP Certification</u>" BEFORE completing this application form.

This application form is ONLY for Relevant Practitioner of an <u>Authorized Institution (AI)</u> 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

(Please use block letters to complete the information requested below. The name should match that on your HKID / passport)

Title: ☐ Mr. ☐ Miss ☐ Ms. ☐ Dr.	HKIB Membership:		
	☐ Yes ☐ No (Please specify the Membership No.)		
Name in English: (as shown on identity document)	Name in Chinese: (as shown on identity document)		
(Surname) (Given Name)			
HKID / Passport Number (please delete where inapp	oropriate):		
Mobile Phone No. :	Primary Email Address ¹ :		
Correspondence Addresse	Coonday (Fmail Address (if any))		
Correspondence Address:	Secondary Email Address (if any):		
Name of Employer:	Office Telephone No.:		
Desiring / John Title	Dan advant		
Position/ Job Title:	Department:		
Office Address:			
Total years of work experiences in Banking and Fina	unce:		
, ,			
Highest Academic Qualification Obtained:	University / Tertiary Institution: Date of award:		
Other Professional Qualifications:	Professional Bodies:		

¹ Note: All HKIB designations and membership related communication will be sent via email by using the Primary Email Address

Section B: Eligibility of ARWP certification

Applicants fulfill relevant criteria may apply ARWP certification of ECF on RWM. Please "\scriv" where appropriate for eligible criteria.

Please	Eligibility	Certified true copies of relevant	Year of Experience Required
" √ "		documents	
	Completed Module 1-4 of ECF on Retail Wealth Management (RWM)	Passed examination(s) result	Work experience is not a prerequisite
	CFMP [™] qualification holder	Professional Diploma in Financial Planning and Management for CFMP TM	
	Grandfathered at Core Level	Grandfathering approval letter issued by HKIB	

Section C: Disciplinary Actions and Investigations, Financial Status and Character

You are required to answer the following questions by selecting "Yes" or "No".

1.	Have you ever been reprimanded, censured or disciplined by any professional or regulatory authority?	□ Yes □ No
2.	Have you ever had a record of non-compliance with any non-statutory codes, or been censured, disciplined or disqualified by any professional or regulatory body in relation to your profession?	□ Yes □ No
3.	Have you ever been investigated about offences involving fraud or dishonesty, or been adjudged by a court to be criminally or civilly liable for fraud, dishonesty or misfeasance?	□ Yes □ No
4.	Have you ever been refused or restricted from the right to carry on any profession for which a specific license, registration or other authorization is required by law?	□ Yes □ No
5.	Have you ever been adjudged bankrupt, or served with a bankruptcy petition?	□ Yes □ No

Notes: If you have answered "Yes" to any of the above questions, please provide more details by attaching all relevant documents relating to the matter(s) at issue.

Section D: Certification Application Fee

Application fee for ARWP Certification (Valid until 31 December 2019): Non-HKIB Member: HK\$1,600 HKIB Student Member: HK\$1.600 HKIB Ordinary Member: HK\$550 HKIB Professional Member: Waived HKIB Default Member: HK\$3,600 *Applied to Professional Member only, the fee includes HK\$2,000 reinstatement fee + HK\$1,600 certification fee. Paid by Employer П A cheque / e-Cheque* made payable to "The Hong Kong Institute of Bankers" (Cheque no. * For e-Cheques, please state "ECF on RWM Certification" under 'remarks' and email, together with the completed application form, to ecf.rwm@hkib.org ☐ Credit card: □ Visa ☐ Master Expiry Card No: Date(MM/YY) Name of Cardholder: Total amount: HK\$.-Signature:

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 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 in Paragraph 6 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

(as on credit card)

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 F: 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 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 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 <u>Policy of Personal Data Protection</u> 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, AAMLP, CAMLP, ARWP, CRWP and ACsP). For all professional
 designation holders, they have to maintain HKIB professional membership status and fulfill annual
 CPD requirement.
- I attach herewith copies of ECF on RWM programme's examinations results or grandfathering approval letter.
- I have read and agreed to comply with the "Guidelines of Application for ARWP/CRWP Certification"
 BEFORE completing this application form.

Signature of Applicant		Date	
(Name:)		



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HR Department Verification on Key Roles / Responsibilities for RWM Practitioners

Department: Position:		
Signature & Company Chop Name: Department	Date	
organization has a record of this information).		
	by the HR department of the applicant's employe	
•	oplicant in this form has been verified to be consist	stent with the
Verification by HR Department		
4. Dealing in and advising on securities		
management services		
	ion to insurance, investment and wealth	
Assist Relationship Managers in proving wealth planning services to retail custors	viding professional investment, insurance or	
Promote insurance and financial productor retail customers	cts to customers and explain product features	
	Responsibilities	Please "√" where appropriate
Please tick the appropriate key roles / responsition in authorized institutions.	onsibilities in relation to applicant's current fun	
Position of RWM	YearsMonths	
Number of Years and Months in Current		
Employment Period (DD / MM / YYYY)	From: To:	
Business Division / Department	F	
Name of Employer		
Full Name of Applicant (as set out on HKID / Passport)		
Current Position / Functional Title		
The state of the s	The monitoring desired water	
Note: Please use BLOCK LETTERS when completing	the information requested below.	



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Document Checklist				
To fa	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 ¹			
	Copies of qualification :			
	(i) Passed examination results within 3 month after issuance			
	(ii) Professional Diploma in Financial Planning and Management for CFMP TM ; or			
	(iii) Grandfathering approval letter enclosed ¹ within 3 months after issuance			
	Payment or evidence of payment enclosed (cheque or completed Credit Card Payment			
	Instructions)			

F	FOR OFFICIAL USE	
Received by :	(Staff Name)	_ (Date)

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)