



## Module Exemption Application Form for ECF on Retail Wealth Management (RWM)

Please read **“Important Notes for Application”** **BEFORE** completing this form



## IMPORTANT NOTES FOR APPLICATION

1. Please read the “ECF on RWM Programme Handbook” and fully understand the rules and regulations.
2. Please read the “Exemption Arrangement for ECF on RWM programme” on Annex for exemption criteria.
3. This application form is only applicable for current ECF on RWM programme candidates to apply Module exemption.
4. Exemption claims will only be considered for the stated pre-approved / recognised qualifications.
5. All applications are subject to review and approval by HKIB. The Institute reserves its right to refuse application for exemption if deemed appropriate.
6. Applicants may check their License(s) Registration through the following:
  - Website of [The Hong Kong Monetary Authority](#); or
  - Website of [Securities and Futures Commission](#); or
  - Website of [Insurance Agents Registration Board](#)
7. Completed application form with all required supporting documents must be submitted to HKIB office in person or by mail to the following address. Application with incomplete information and applications by fax will NOT be accepted. Application sent to HKIB with insufficient postage or packaging will NOT reach HKIB.

“Application for ECF on RWM Module Exemption”  
The Hong Kong Institute of Bankers  
3/F Guangdong Investment Tower  
148 Connaught Road, Central, Hong Kong
8. The applicant should submit all relevant documentary evidence for his/her qualifications (i.e. certificates, official transcripts, etc.) together with this form. Only certified true copies of the documents are accepted. We only accept photocopies of the documents which are certified as true copies 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)
9. All documents submitted will not be returned regardless of the result of the application.
10. Please read “Policy of Personal Data Protection” set out on HKIB website before application.
11. A **non-refundable** and **non-transferrable** Application fee per exemption application form of HKD200 will be applied.
12. Exemption fee per module is HKD800. Exemption fee will not be charged if the application is unsuccessful. The amount of exemption fee is subject to the number of module(s) approved.
13. It is expected to take 30 days for HKIB to process exemption applications under normal circumstance.

### Contact Us

Address : 3/F Guangdong Investment Tower, 148 Connaught Road Central, Hong Kong

Fax : (852) 2544 9946

Telephone : (852) 2153 7800

Email : [ecf.rwm@hkib.org](mailto:ecf.rwm@hkib.org)



## Module Exemption Application Form for ECF on RWM

### Section A: Personal Particulars

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

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

### Section B: License(s) Registration

|  |   |
|--|---|
| Currently registered as a Relevant Individual / Licensed Representative under HKMA / SFC |   |
| <input type="checkbox"/> Yes   | Registration No.: _____ Date of Registration: _____ |
| <input type="checkbox"/> No  |   |
| Currently Technical Representatives (TRs) under the Insurance Agents Registration Board  |   |
| <input type="checkbox"/> Yes   | Registration No.: _____ Date of Registration: _____ |
| <input type="checkbox"/> No  |   |

Please "✓" the appropriate boxes.

## Section C: Module exemption

Applicants with appropriate qualification(s) may apply exemption for maximum of 3 modules (60 credits) of ECF on RWM Programme. Please “✓” the module(s) which you would like to apply for exemption.

| Please “✓”               | Module to exempted   | Year of Qualification | Qualification Obtained                         | Certified true copies of relevant documents      |
|--------------------------|--|-----------------------|--|--|
| <input type="checkbox"/> | Module 1- Regulatory Environment for Banking and Financial Planning (20 credits) |                       | HKSI LE Paper 1                                | Proof of examination passed / exemption obtained |
| <input type="checkbox"/> | Module 2- Investment Planning (20 credits)                                       |                       | HKSI LE Paper 7 & 8                            | Proof of examination passed / exemption obtained |
| <input type="checkbox"/> | Module 4- Insurance and Retirement Planning <sup>#</sup> (20 credits)            |                       | IIQE (I) Principles & Practice of Insurance    | Proof of examination passed / exemption obtained |
|                          |  |                       | IIQE (II) General Insurance                    | Proof of examination passed / exemption obtained |
|                          |  |                       | IIQE (III) Long Term Insurance                 | Proof of examination passed / exemption obtained |
|                          |  |                       | IIQE (V) Investment-Linked Long Term Insurance | Proof of examination passed / exemption obtained |

# Candidates having either IIQE papers I, II, & III all passed or I, III & V all passed are eligible for exemption of Module 4

## Section D: Exemption application fee

Application fee PER FORM: HK\$ 200

Exemption fee PER MODULE: HK\$ 800

For example, if you request to apply exemption for Module 1, 2, & 4, the total amount of application fee will be HK\$(200+ 800x3) =HK\$2,600.

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 exemption” under ‘remarks’ and email together with the completed enrolment form to [e cf.rwm@hkib.org](mailto:e cf.rwm@hkib.org).

Credit card:

Visa  Master

Card No:     -     -     -

Expiry Date (MM/YY)   /

Name of Cardholder :

Total amount: HK\$ \_\_\_\_\_

Signature:

(as on credit card)

Please “✓” the appropriate boxes.

## 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, programme 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 F: Acknowledgement and Declaration

- I hereby make application for the exemption of the ECF on RWM programme module(s) offered by The Hong Kong Institute of Bankers (HKIB). I declare that the information given in this form is true and accurate.
- I understand that the application fee paid is non-refundable and non-transferable.
- I fully understand that the HKIB reserves the rights to reject any application without sufficient documents (e.g. personal information, certificates, official transcripts, etc.), and to charge application fee and exemption fee.
- I acknowledge that the HKIB has the right to withdraw my exemption application if I do not meet the requirements.
- I agree to notify the 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 the 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 confirm that I have read the relevant Qualification Handbook and Notes for Exemption printed in this form and fully understand the rules and regulations.
- I have read and agreed to comply with "Important Notes for Application" and "Exemption Arrangement for ECF on RWM Programme" on Annex 1 for exemption criteria BEFORE completing this application form.

\_\_\_\_\_  
Signature of Applicant  
(Name: \_\_\_\_\_ )

\_\_\_\_\_  
Date

Please "✓" the appropriate boxes.

## Document Checklist

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

- Completed and Signed Application Form
- Company Name card showing RI/ TR registration numbers
- Copies of your HKID / Passport
- Certified true copies for proof of examinations passed / exemptions obtained<sup>1</sup>
- 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)

Number of Module(s) approved: \_\_\_\_\_

Remarks: \_\_\_\_\_

<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)

## Annex : Exemption Arrangement for ECF on RWM training programmes

The following arrangements are allowed for Relevant Practitioners (RPs) to obtain exemption from completing individual modules of the training programme:

| RPs eligible for exemption  |                             | CFMP or ECF on RWM Training Programme |          |          |
|---|-----------------------------|---------------------------------------|----------|----------|
|   |                             | Module 1                              | Module 2 | Module 4 |
| 1. RPs who are current Relevant Individuals (RIs) of specified regulated activities <sup>2</sup> and have met the academic / industry qualification and regulatory knowledge requirements by passing relevant LE <sup>3</sup> papers or obtaining exemption as set out in the Guidelines on Competence of the Securities and Futures Commission (SFC) |                             | ✓                                     | ✓        |          |
| 2. RPs who have fulfilled the competence requirements for registration of specified regulated activities by passing relevant LE papers, subject to a three-year threshold <sup>4</sup>  | - LE Paper 1                | ✓                                     |          |          |
|   | - LE Papers 7 & 8           |                                       | ✓        |          |
| 3. RPs who are current Technical Representatives (TRs) of the Insurance Agents Registration Board after passing the relevant Insurance Intermediaries Qualifying Examination (IIQE) Papers or who have passed the IIQE Papers with valid examination results  | - IIQE Papers I, II and III |                                       |          | ✓        |
|   | - IIQE Papers I, III and V  |                                       |          | ✓        |

<sup>2</sup> Type 1 – Dealing in securities and/or Type 4 – Advising on securities as defined in the Securities and Futures Ordinance.

<sup>3</sup> LE refers to Licensing Examinations for Securities and Futures Intermediaries.

<sup>4</sup> The three-year threshold can be met by (i) being a RI and/or licensed with the SFC in respect of specified regulated activities either currently or within the three years immediately before applying for exemption from individual module of the training programme; or (ii) passing the relevant LE paper(s) within the three years immediately before applying for exemption from individual module of the training programme.