

Certification Application Form for Certified Retail Wealth Professional (CRWP) (with HKIB Professional Membership)

Please read carefully the “Guidelines of Application for ARWP/CRWP Certification” BEFORE completing this application form.

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

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

| | | |
|--|--|----------------------|
| Title: <input type="checkbox"/> Mr <input type="checkbox"/> Ms <input type="checkbox"/> Dr <input type="checkbox"/> Prof | HKIB Membership: <input type="checkbox"/> Yes _____ <input type="checkbox"/> No (Please specify the Membership Number) | |
| Name in English: (as shown on identity document) (Surname) (Given Name) | Name in Chinese: (as shown on identity document) | |
| HKID/Passport Number (please delete where inappropriate): | | |
| Mobile Phone Number : | Primary Email Address ¹ : | |
| Correspondence Address: | Secondary Email Address (if any): | |
| Name of Employer: | Office Telephone Number: | |
| 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: |

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

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Section B: Eligibility of CRWP certification

Applicants fulfil relevant criteria may apply CRWP certification of ECF on RWM. Please "✓" where appropriate for eligible criteria.

| Please "✓" | Eligibility | Certified true copies of relevant documents | Year of Work Experience Required |
|--------------------------|---|---|--|
| <input type="checkbox"/> | Completed Modules 1 to 7 of ECF on Retail Wealth Management (RWM) | Passed examination result of Module 7 | At least two years of relevant work experience accumulated within 4 years immediately prior to the date of application |
| <input type="checkbox"/> | CFMP™ holder | Professional Diploma in Financial Planning and Management for CFMP™ | |
| <input type="checkbox"/> | Grandfathered at Professional 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? | <input type="checkbox"/> Yes <input type="checkbox"/> 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? | <input type="checkbox"/> Yes <input type="checkbox"/> 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? | <input type="checkbox"/> Yes <input type="checkbox"/> 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 authorisation is required by law? | <input type="checkbox"/> Yes <input type="checkbox"/> No |
| 5. Have you ever been adjudged bankrupt, or served with a bankruptcy petition? | <input type="checkbox"/> Yes <input type="checkbox"/> No |



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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 CRWP certification (Valid until 31 December 2020):

- Non-HKIB member: HKD1,650
- HKIB Ordinary Member: HKD570
- HKIB Professional Member: Waived
- HKIB Default Member: HKD3,650

*Applied to Professional Member only, the fee includes HKD2,000 reinstatement fee + HKD1,650 certification fee.

- Paid by Employer
- 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

Card No: - - -

Expiry Date(MM/YY) /

Name of Cardholder : _____

Total amount: HKD

Signature: _____
(as on credit card)



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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 authorised 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 authorised 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 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 authorise 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 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 Qualifications (e.g. CB, CB (Stage II), CB (Stage I), CFMP, AAML, CAMLP, ARWP, CRWP, ACsP, ACRP, CCRP(CL), CCRP(CPM)).



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For all Professional Qualification holders, they have to maintain HKIB professional membership status and fulfil 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

(Name: _____)

Date



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HR Department Verification on Key Roles/Responsibilities for RWM Practitioners

| |
|---|
| <p>Note:</p> <ol style="list-style-type: none"> 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: Two years of relevant work experience in RWM functions of AI |
|---|

| | |
|--|--------------------------|
| Current 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: |
| Number of Years and Months in Current Position of RWM | _____ Years _____ 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 requirements. | |
| 8. Dealing in and advising on securities | |

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| | |
|--|--|
| 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 behaviours 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 staffs 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

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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 enclosed¹
- Copies of qualification :
 - (i) Passed examination result of Module 7 within three months after issuance
 - (ii) Professional Diploma in Financial Planning and Management for CFMP™; or
 - (iii) Grandfathering approval letter enclosed¹ within three months after issuance
- Payment or evidence of payment enclosed (cheque or completed Credit Card Payment Instructions)

FOR OFFICIAL USE

Received 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/authorised staff of current employer(Authorized Institution); or
- A recognised 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).