

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-RWM Programme Handbook” and fully understand the rules and regulations.
2. Please read the “Exemption Arrangement for ECF-RWM programme” on Annex for exemption criteria.
3. This application form is only applicable for current ECF-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 [Insurance Authority – Register of License Insurance Intermediaries](#)
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-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 “[Privacy Policy Statement](#)” 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 HKD880. 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 60 days for HKIB to process exemption applications under normal circumstance.

Contact Us

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

Website : <http://www.hkib.org>

Telephone : (852) 2153 7821

Email : exam@hkib.org

Received on:

Acknowledged on:

Batch No:

Module Exemption Application Form for ECF-RWM

Section A: Personal Particulars¹

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 <i>(Please specify the Membership No.)</i>	
Name in English ² : (Surname) (Given Name)	Name in Chinese ² :	
HKID / Passport Number <i>(please delete where inappropriate)</i> :	Date of Birth : (DD/MM/YYYY)	
Mobile Phone No. :	Primary Email Address ³ :	
Correspondence Address:	Secondary Email Address (if any):	
Name of Current Employer:	Office Telephone No.:	
Position/ Job Title:	Department:	
Office Address ⁴ :		
Highest Academic Qualification Obtained:	University / Tertiary Institution:	Date of Award:
Other Professional Qualifications: Professional Bodies:		

¹ Put a "✓" in the appropriate box(es).

² Information as shown on identity document

³ All HKIB communication will be sent to the Primary Email Address

⁴ Provide if not the same as the correspondence address above

Section B: License(s) Registration

Currently registered as a Relevant Individual under HKMA	
• Yes Registration No.: _____	Date of Registration: _____
• No	
Currently Licensed Insurance Intermediaries under Insurance Authority	
• Yes Registration No.: _____	Date of Registration: _____
• No	

Section C: Module exemption

Applicants with appropriate qualification(s) may apply exemption for maximum of 3 modules (60 credits) of ECF-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# (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: HKD 200

Exemption fee PER MODULE: HKD 880

For example, if you request to apply exemption for Module 1, 2, & 4, the total amount of application fee will be HKD(200+ 880x3) =HKD2,840.

- 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 exam@hkib.org.

- Credit card:
 - Visa Master

Card No: - - -

Expiry Date (MM/YY) /

Name of Cardholder (as on credit card): _____

Total amount: HKD _____

Signature (as on credit card): _____

Please “✓” the appropriate boxes.

Section E: Statement on Privacy Policy Statement

- It is our policy to meet fully the requirements of the Personal Data (Privacy) Ordinance. HKIB recognises the sensitive and highly confidential nature of much of the personal data which that it handles, and maintains a high level of security in its work. HKIB does its best to ensure compliance with the Ordinance by providing guidelines to and monitoring the compliance of the relevant parties.
 - For details of the [Privacy Policy Statement](http://www.hkib.org), please refer to the website: <http://www.hkib.org>
- The HKIB would like to provide the latest information to you via weekly eNews. If you do not wish to receive it, please tick the box.**

Section F: Acknowledgement and Declaration

- I hereby make application for the exemption of the ECF-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 [Privacy Policy Statement](https://www.hkib.org/) 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-RWM Programme” on Annex 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 licenses registration numbers
- Copy of your HKID / Passport
- Copy of examination result (e.g. RWM M3)
- Certified true copy of examination result¹ (e.g. IIQE result required by this exemption but not registered in your Licensed Insurance Intermediaries under Insurance Authority)
- Payment or evidence of payment enclosed (cheque or completed Credit Card Payment Instructions)

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
- Associateship/Fellowship of Chartered Governance Hong Kong.

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)

FOR OFFICIAL USE

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

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

Approved / Rejected by: _____ (Staff Name) _____ (Date)

Number of Module(s) approved: _____

Remarks: _____

Annex : Exemption Arrangement for ECF-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-RWM Training Programme		
	Module 1	Module 2	Module 4
1. RPs who are current Relevant Individuals (RIs) of specified regulated activities ² and have met the academic / industry qualification and regulatory knowledge requirements by passing relevant LE ³ 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 ⁴	- LE Paper 1 ✓		
	- LE Papers 7 & 8	✓	
3. RPs who are current Licensed Insurance Intermediaries under Insurance Authority 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		✓

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

³ LE refers to Licensing Examinations for Securities and Futures Intermediaries.

⁴ 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