

Received on: **SAMPLE**
Acknowledged on: **ONLY**
Application no:

Certification Application Form for Certified Retail Wealth Professional (CRWP)

Important notes:

- The application is only for the **Relevant Practitioner** engaged by an Authorized Institutions (AIs) at the time of application **ONLY**.
- Read carefully the "Guidelines for Certification Application for ARWP/CRWP (RWM-G-008) **BEFORE** completing this application form.
- Only **completed application form** with all valid supporting documents, including the HR verification forms, will be processed.

Section A: Personal Particulars¹

Title: <input type="checkbox"/> Mr <input checked="" type="checkbox"/> Ms <input type="checkbox"/> Dr <input type="checkbox"/> Prof		HKIB Member: <input type="checkbox"/> Yes _____ <input type="checkbox"/> No (Membership No.)	
Name in English ² : Wong Siu Man (Surname) (Given Name)		Name in Chinese ² : 黃小敏	
HKID/ Passport Number: Y111222(3)		Date of Birth: (DD/ MM/ YYYY) 31/12/1975	
Contact information			
Mobile Phone Number: (Area Code) 9222-9222		(Primary) Email Address ³ : siumanwong@gmail.com (Secondary) Email Address: marywong@abc.com	
Correspondence Address: Flat 8, 18/F, Block A, Health Garden, North Point, Hong Kong			
Employment information			
Name of Current Employer: ABC Bank		Office Telephone Number: (Area Code) 2211-2211	
Position/ Job Title: Assistant Vice President		Department: Retail Department	
Office Address ⁴ : 8/F, ABC Bank Tower, 8 Garden Road, Central			
Academic and Professional Qualification			
Highest Academic Qualification Obtained: MSc in Data Analyst		University/ Tertiary Institution: Oxford University	Date of Award: 07/2003
Other Professional Qualifications: N.A.		Professional Bodies: N.A.	

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

2. Information as shown on identity document.

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

4. Provide if not the same as the correspondence address above

Section B: Application Types

CRWP Certification Application
<p>Eligibility:</p> <ul style="list-style-type: none"> Completed the training modules and passed the examination for the Core and Professional Levels (Modules 1 - 7 of ECF on Retail Wealth Management); and Possessing at least 2 years of relevant work experience accumulated within 4 years immediately prior to the date of application, but does not need to be continuous; and Employed by an AI at the time of application.

Section C: Relevant Employment History

List all the relevant employment history in the RWM or related function in **reverse chronological order**. Work experience does not need to be continuous. Each position listed requires a separate HR Verification Annex (ARWP) for Core Level / (CRWP) for Professional Level.

Job Number	Employer	Position	Employment Period for the position (DD/ MM/ YYYY)
Current	ABC Bank	Assistant Vice President	From 01/01/2020 To 31/12/2022 or current
Job 2	BCB Bank	Senior Manager	From 01/01/2014 To 31/12/2019
Job 3			From To
Job 4			From To

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Total relevant work experience: _____ year(s) --- month(s)

Total number of HR Verification Annex (ARWP) / (CRWP) submitted: 2

Section D: Declaration related to Disciplinary Actions, Investigations for Non-compliance and Financial Status

Put a “✓” in the appropriate box(es). If you have answered “Yes” to any of the questions, provide details by attaching all relevant documents relating to the matter(s).

1. Have you ever been reprimanded, censured, disciplined by any professional or regulatory authority?	<input type="checkbox"/> Yes <input checked="" 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 checked="" type="checkbox"/> No
3. Have you ever been investigated about offences involving fraud or dishonesty or adjudged by a court to be criminally or civilly liable for fraud, dishonesty or misfeasance?	<input type="checkbox"/> Yes <input checked="" 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 authorization is required by law?	<input type="checkbox"/> Yes <input checked="" type="checkbox"/> No
5. Have you ever been adjudged bankrupt, or served with a bankruptcy petition?	<input type="checkbox"/> Yes <input checked="" type="checkbox"/> No

Section E: Payment

Payment amount	
1st Year Certification Fee for CRWP (<i>valid until 31 December 2023</i>)	
<input checked="" type="checkbox"/> Not currently a HKIB member	HKD1,730
<input type="checkbox"/> <u>Current and valid</u> HKIB Ordinary member	HKD600
<input type="checkbox"/> <u>Current and valid</u> HKIB Professional member	Waived
<input type="checkbox"/> <u>Current and valid</u> Senior member	HKD1,530
<input type="checkbox"/> HKIB Default member	HKD3,730*
Total amount: HKD <u>1,730</u>	
<small>*HKD2,000 reinstatement fee + HKD1,730 certification fee</small>	
Payment method	
<input checked="" type="checkbox"/> Paid by Employer <input type="checkbox"/> Company cheque (cheque no: _____) <input checked="" type="checkbox"/> Company invoice (Filled by HKIB) <input type="checkbox"/> A cheque/ e-Cheque made payable to “ The Hong Kong Institute of Bankers ” (cheque no. _____). For e-Cheque, please state “CRWP Certification” under “remarks” and email together with the completed application form to cert.gf@hkib.org . <input type="checkbox"/> Credit card <input type="checkbox"/> Visa <input type="checkbox"/> Master <div style="margin-left: 40px;">Card no: <div style="display: inline-block; width: 30px; height: 30px; border: 1px solid black; margin-right: 5px;"></div> <div style="display: inline-block; width: 30px; height: 30px; border: 1px solid black; margin-right: 5px;"></div> - <div style="display: inline-block; width: 30px; height: 30px; border: 1px solid black; margin-right: 5px;"></div> - <div style="display: inline-block; width: 30px; height: 30px; border: 1px solid black; margin-right: 5px;"></div> - <div style="display: inline-block; width: 30px; height: 30px; border: 1px solid black;"></div> </div> <div style="margin-left: 40px;">Expiry date (MM/YY): <div style="display: inline-block; width: 30px; height: 30px; border: 1px solid black; margin-right: 5px;"></div> / <div style="display: inline-block; width: 30px; height: 30px; border: 1px solid black;"></div> </div> Name of Cardholder (as on credit card): _____ Signature (as on credit card): _____	

Section F: 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 of which 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 more details, please refer to this [Privacy Policy Statement](#) or contact us at the address and telephone number below:

The Hong Kong Institute of Bankers
3/F Guangdong Investment Tower
148 Connaught Road Central, Hong Kong

Tel.: (852) 2153 7800

Fax: (852) 2544 9946

Email: cs@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 G: 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 the HKIB to obtain the relevant authorities to release, any information about my qualifications and/ or employment as required for my application.
- I acknowledge that the HKIB has the right to withdraw approval of grandfathering and/or certification status if I do not meet the requirements. 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 confirm that I have read and understood the [Privacy Policy Statement](http://www.hkib.org) set out on the HKIB website at <http://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 Certification Application for ARWP/CRWP” (RWM-G-008).

Document Checklist

To facilitate the application process, please check the following items before submitting to the HKIB. Failure to submit the documents may cause delays or termination of application. Please “✓” the appropriate box(es).

- ☒ All necessary fields on this application form filled in including your signature
- ☒ Completed form(s) of HR Verification Annex fulfilling the requirements as stipulated for certification application
- ☒ Copy of your RWM M7 examination result
- ☒ Copy of your HKID/ Passport
- ☒ Payment or evidence of payment enclosed (e.g. cheque or completed Credit Card Payment Instructions)

Mary Wong

01/01/2023

Signature of Applicant

Date

(Name: Wong Siu Man)

Certification Application Form for Certified Retail Wealth Professional (CRWP)

HR Department Verification Form on Key Roles/ Responsibilities for RWM Practitioner

Important notes:

1. All information filled in including company chop must be true and original.
2. Fill in **ONE** complete HR Verification Annex form for **EACH** relevant position/ functional title in your application. A complete form should contain p.1-6. You can make copies of HR Verification Annex (CRWP) (p.AP1-AP2).
3. Use BLOCK LETTERS to complete HR Verification Annex (CRWP).

Employment Information	
Name of the applicant:	Wong Siu Man
HKID/ passport number:	Y111222(3)
Job number (as stated in Section C):	Current/ Job no:
Position/ functional title:	Assistant Vice President
Name of employer:	ABC Bank
Business division/ department:	Retail Department
Employment period of <u>stated</u> functional title/ position: (DD/ MM/ YYYY)	From: 01/01/2020 To: 31/12/2022 or current
Key roles/ responsibilities in relation to the <u>stated</u> functional title/ position: (Tick the appropriate box(es); Application will be processed based on the role(s) ticked)	<input checked="" type="checkbox"/> Role 1 – Frontline Customer Relationship and Retail Wealth Management (fill in p.AP2) <input checked="" type="checkbox"/> Role 2 – Risk Management and Control (fill in p.AP2)
Total number of years and months of carrying RWM function in the <u>stated</u> position	3 Years --- Months

Tick the appropriate key roles/ responsibilities in relation to your **current** functional title/ position stated on p.AC1 of HR Verification Annex (CRWP).

Key Roles/ Responsibilities	Please "✓" where appropriate
<input checked="" type="checkbox"/> Role 1 – Frontline Customer Relationship and Retail Wealth Management	
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	
<input checked="" type="checkbox"/> Role 2 – Risk Management and Control	
1. Monitor and review KYC processes and customer risk profiling mechanism	✓
2. 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	✓
3. 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	
4. Ensure ethical behaviors and compliance with regulatory requirements and internal policies and procedures	✓
5. Manage customer relationships including handling of escalated complaint cases in relation to retail wealth management business	
6. 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).




01/01/2023

Signature & Company Chop
Date

Name: Jimmy Wong

Department: Human Resources

Position: Head of HR

Certification Application Form for Certified Retail Wealth Professional (CRWP)

HR Department Verification Form on Key Roles/ Responsibilities for RWM Practitioner

Important notes:

1. All information filled in including company chop must be true and original.
2. Fill in **ONE** complete HR Verification Annex form for **EACH** relevant position/ functional title in your application. A complete form should contain p.1-6. You can make copies of HR Verification Annex (CRWP) (p.AP1-AP2).
3. Use BLOCK LETTERS to complete HR Verification Annex (CRWP).

Employment Information	
Name of the applicant:	Wong Siu Man
HKID/ passport number:	Y111222(3)
Job number (as stated in Section C):	Current, Job no: 2
Position/ functional title:	Senior Manager
Name of employer:	BCB Bank
Business division/ department:	Retail Department
Employment period of <u>stated</u> functional title/ position: (DD/ MM/ YYYY)	From: 01/01/2014 To: 31/12/2019
Key roles/ responsibilities in relation to the <u>stated</u> functional title/ position: (Tick the appropriate box(es); Application will be processed based on the role(s) ticked)	<input checked="" type="checkbox"/> Role 1 – Frontline Customer Relationship and Retail Wealth Management (fill in p.AP2) <input checked="" type="checkbox"/> Role 2 – Risk Management and Control (fill in p.AP2)
Total number of years and months of carrying RWM function in the <u>stated</u> position	6 _____ Years --- _____ Months

Tick the appropriate key roles/ responsibilities in relation to your **current** functional title/ position stated on p.AC1 of HR Verification Annex (CRWP).

Key Roles/ Responsibilities	Please "✓" where appropriate
<input checked="" type="checkbox"/> Role 1 – Frontline Customer Relationship and Retail Wealth Management	
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	
<input checked="" type="checkbox"/> Role 2 – Risk Management and Control	
1. Monitor and review KYC processes and customer risk profiling mechanism	✓
2. 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	✓
3. 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	
4. Ensure ethical behaviors and compliance with regulatory requirements and internal policies and procedures	✓
5. Manage customer relationships including handling of escalated complaint cases in relation to retail wealth management business	
6. 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).




01/01/2023

Signature & Company Chop

Date

Name: Jimmy Wong

Department: Human Resources

Position: Head of HR

Authorization for Disclosure of Personal Information to a Third Party

Wong Siu Man

I, _____, (*name of applicant*) hereby authorize The Hong Kong
Institute of Bankers (HKIB) to disclose my results and progress of the “Grandfathering/Examination/
Certification/Exemption results for ECF - RWM (Professional Level)” to

ABC Bank (*applicant’s bank name*) for HR and Internal Record.

Signature:



HKIB Membership No./ HKID No.*:

Y111222(3)

Date:

01/01/2023

Contact No.:

(Area Code) 9222-9222

**The HKIB Membership No./ HKID No. is needed to verify your identity. We may also need to contact you concerning the authorization.*

Important notes:

1. Personal information includes but not limited to grandfathering/examination/certification/exemption results of a module/ designation and award(s) achieved.
2. Original copy of this signed authorization form must be submitted to the HKIB. Electronic or photocopied signatures are not acceptable.
3. Applicant may rescind or amend consent in writing to the HKIB at any time, except where action has been taken in reliance of this authorization.