





PWMA HKIB ECF CPD OPT CPD CPD CPT

> 4 x 3 **HOURS**

Certified Private Wealth Professional (CPWP) Module 2 **Ethics and Compliance Refresher Programme**

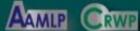
8, 10, 15 & 17 Apr 2024 | 7:00pm - 10:00pm























Objective

By the end of programme, the participant will be able to:

- Demonstrate an adequate understanding and practical application of legal and regulatory ethics requirements, and relevant practitioners
- Demonstrate a broad-based view of risk governance, risk culture and risk management, and an understanding of the wider implications and long-term impact of own actions on various stakeholders



Target Audience

01

PWM Industry Practitioners

Engaged by PWM institutions who are involved in customer-facing roles making personalized customized solicitations or recommendations to customers in the provision of securities dealing and advisory service and/or portfolio management service

02

SFC Licensees & HKIB Qualification **Holders**

Who require CPT or CPD hours

Enjoy 10% extra discount for enrolling 2 or more courses

Programme	Time	Application Deadline	Course Fee	10% discount*
Regulatory Regime in Hong Kong and Requirements on Sale of Investment Products (HPPW02P24041)	8 Apr 2024 (Mon) 7:00pm – 10:00pm	2 Apr 2024 (Tue)		HKD702 per course
Relevant Laws and Regulations relating to Client Engagement and Relationship Building (HPPW02P24042)	10 Apr 2024 (Wed) 7:00pm – 10:00pm	3 Apr 2024 (Wed)	*HKD780	
Ethics and Practical Application of Legal and Regulatory Requirements for Private Banking (HPPW02P24043)	15 Apr 2024 (Mon) 7:00pm – 10:00pm	8 Apr 2024 (Mon)	per course	
Risk Management, Risk Governance and Risk Culture of Private Wealth Management Institutions (HPPW02P24044)	17 Apr 2024 (Wed) 7:00pm – 10:00pm	10 Apr 2024 (Wed)		

Programme Code: HPPW02P24041 / 2 / 3 / 4







Programme Outline

Regulatory Regime in Hong Kong and Requirements on Sale of Investment Products (HPPW02P24041) (Refer to CPWP M2 Exam Syllabus Chapter 1, 2)	 Legal and Regulatory Regime in Hong Kong The Banking Ordinance overview Key regulatory requirements applicable to property lending Key Provisions relevant to Private Wealth Management Securities and Futures Ordinance (SFO), Deposit Protection Scheme (DPS) Regulatory Requirements on Sale of Investment Products Sale of investment products: general matters Regulatory requirements relevant to the sale of investment products Professional investor regime Application of the suitability obligation to the sale of specific types of investment products Internal controls
Relevant Laws and Regulations relating to Client Engagement and Relationship Building (HPPW02P24042)	 Core Compliance Knowledge for Private Wealth Management Anti-money laundering (AML) and counter-terrorist financing (CTF) laws and regulations Personal Data (Privacy) Ordinance, Cap 486 Laws and Regulations relating to Client Engagement and Relationship Building Looking for potential customers Understanding restrictions on "suitcase banking" and related risks On-boarding a customer Managing the customer relationship
(Refer to CPWP M2 Exam Syllabus Chapter 3)	 When things go wrong Complaint handling Regulatory investigations Powers of SFC and HKMA
Ethics and Practical Application of Legal and Regulatory Requirements for Private Banking (HPPW02P24043)	 Ethical Standards set by Private Wealth Management Association General principles Risk management and client complaints Fiduciary Duties and Ethical Values Understand issues which appear to compromise professional, legal or ethical standards including any perceptions thereof Duties and obligations of licensed and registered persons and directors: Keep up-to-date & comply with policies and procedures Professional Conduct for Private Banking Put professional interests ahead of personal agenda, avoid and manage conflicts of interest Protect confidentiality of customer data
(Refer to CPWP M2 Exam Syllabus Chapter 4, 5, 6)	 Practical Application of Legal and Regulatory Requirements in private wealth management context Misappropriation of customer assets System and control, Know Your Client (KYC) Other types of misconduct
Risk Management, Risk Governance and Risk Culture of Private Wealth Management Institutions (HPPW02P24044)	 Controls and Accountabilities; Reporting and Escalation Policies Overview Controls and Accountabilities Reporting and escalation policies Risk Management of Private Wealth Management Institutions Overview of risk management Risk Governance and Risk Culture of Private Wealth Management Institutions Principles of proper risk governance, risk culture, risk appetite and values Relevance of risk governance and culture to a practitioner's business conduct Impact and responsibilities of a practitioner's actions to customers, the institution and other stakeholders Remuneration System Setting and monitoring of remuneration system that align with risk management objectives of
(Refer to CPWP M2 Exam Syllabus Chapter 7, 8)	the institute Risk management & compliance Ensure personal and team compliance Best practices & case studies

Apply NOW By email the form to cdp@hkib.org or submit to our Institute Application Email Application DEADLINE Cdp@hkib.org Refer to table Programme Delivery Virtual Classroom (Zoom) Cantonese Enquiries (852) 2153 7800 programme@hkib.org





Registration Form

Enjoy 10% extra discount for enrolling 2 or more courses

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*HKIB student member can enjoy 25% off course fee discount								
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	partment :			Position:	-			
·	bile No :			E-mail :				
HKID No :Mailing Address :								
A cheque / e-Cheque* made payable to "The Hong Kong Institute of Bankers" (Cheque no) * For e-Cheque, please state the programme code under 'remarks' and email together with								
Payment Method	thod [completed enrolment form to cdp@hkib.org Credit Card: VISA Master Cardholder's Name:			Amount : HKD _ Signature :			
	C	Card No. :			Expiry Date :		(mm/yy)	

Terms and Conditions:

- 1. All fees paid are non-refundable and non-transferrable.
- 2. Participants who have settled payments will receive course confirmation by e-mail at least 5 working days prior to the programme date.
- 3. All payments must be settled before programme commencement.
- 4. Priority of enrolment will be given on a 'first-come-first-serve' basis. HKIB Member will have priority to register if there is limited seating for the programme.
- 5. HKIB will issue the "Certificate of Attendance" to participants who have complied with the "HKIB Attendance Policy". The Certificate will be sent to your emails within 15 working days after completion of the programme.
- 6. We reserve the right to reject an enrolment at any time.
- 7. We reserve the right to cancel, modify and/or postpone the programme due to unforeseen circumstances.
- 8. The information given and personal data collected will be used for the purpose of administration and communication by the Institute.
- 9. For Typhoon or Rainstorm arrangements, please refer to the confirmation e-mail or HKIB's website (www.hkib.org).