

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

4, 8, 11, 15 Aug 2025 | 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 requirements, and ethics relevant for 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 or 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 (HPPW02P25081)	4 Aug 2025 (Mon) 7:00pm – 10:00pm	28 Jul 2025 (Mon)	*HKD860 per course	HKD780 per course
Relevant Laws and Regulations relating to Client Engagement and Relationship Building (HPPW02P25082)	8 Aug 2025 (Fri) 7:00pm – 10:00pm	1 Aug 2025 (Fri)		
Ethics and Practical Application of Legal and Regulatory Requirements for Private Banking (HPPW02P25083)	11 Aug 2025 (Mon) 7:00pm – 10:00pm	4 Aug 2025 (Mon)		
Risk Management, Risk Governance and Risk Culture of Private Wealth Management Institutions (HPPW02P25084)	15 Aug 2025 (Fri) 7:00pm – 10:00pm	15 Aug 2025 (Fri)		

Programme Code: HPPW02P25081 / 2 / 3 / 4

Programme Outline

<p>Regulatory Regime in Hong Kong and Requirements on Sale of Investment Products (HPPW02P25081)</p> <p><i>(Refer to CPWP M2 Exam Syllabus Chapter 1, 2)</i></p>	<ul style="list-style-type: none"> • Legal and Regulatory Regime in Hong Kong <ul style="list-style-type: none"> ▶ The Banking Ordinance overview ▶ Key regulatory requirements applicable to property lending • Key Provisions relevant to Private Wealth Management <ul style="list-style-type: none"> ▶ Securities and Futures Ordinance (SFO), Deposit Protection Scheme (DPS) • Regulatory Requirements on Sale of Investment Products <ul style="list-style-type: none"> ▶ 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
<p>Relevant Laws and Regulations relating to Client Engagement and Relationship Building (HPPW02P25082)</p> <p><i>(Refer to CPWP M2 Exam Syllabus Chapter 3)</i></p>	<ul style="list-style-type: none"> • Core Compliance Knowledge for Private Wealth Management <ul style="list-style-type: none"> ▶ 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 <ul style="list-style-type: none"> ▶ Looking for potential customers ▶ Understanding restrictions on “suitcase banking” and related risks ▶ On-boarding a customer ▶ Managing the customer relationship • When things go wrong <ul style="list-style-type: none"> ▶ Complaint handling ▶ Regulatory investigations ▶ Powers of SFC and HKMA
<p>Ethics and Practical Application of Legal and Regulatory Requirements for Private Banking (HPPW02P25083)</p> <p><i>(Refer to CPWP M2 Exam Syllabus Chapter 4, 5, 6)</i></p>	<ul style="list-style-type: none"> • Ethical Standards set by Private Wealth Management Association <ul style="list-style-type: none"> ▶ General principles ▶ Risk management and client complaints • Fiduciary Duties and Ethical Values <ul style="list-style-type: none"> ▶ 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 <ul style="list-style-type: none"> ▶ Put professional interests ahead of personal agenda, avoid and manage conflicts of interest ▶ Protect confidentiality of customer data • Practical Application of Legal and Regulatory Requirements in private wealth management context <ul style="list-style-type: none"> ▶ Misappropriation of customer assets ▶ System and control, Know Your Client (KYC) ▶ Other types of misconduct
<p>Risk Management, Risk Governance and Risk Culture of Private Wealth Management Institutions (HPPW02P25084)</p> <p><i>(Refer to CPWP M2 Exam Syllabus Chapter 7, 8)</i></p>	<ul style="list-style-type: none"> • Controls and Accountabilities; Reporting and Escalation Policies <ul style="list-style-type: none"> ▶ Overview ▶ Controls and Accountabilities ▶ Reporting and escalation policies • Risk Management of Private Wealth Management Institutions <ul style="list-style-type: none"> ▶ Overview of risk management • Risk Governance and Risk Culture of Private Wealth Management Institutions <ul style="list-style-type: none"> ▶ 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 <ul style="list-style-type: none"> ▶ Setting and monitoring of remuneration system that align with risk management objectives of the institute ▶ Risk management & compliance ▶ Ensure personal and team compliance ▶ Best practices & case studies



APPLY NOW!

Enquiry :
(852) 2153 7800
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<https://www.hkib.org/page/82>

Application DEADLINE

Refer to table

Programme Delivery

Virtual Classroom (Zoom)

Cantonese

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