

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

14, 21, 28 September and 5 October 2026
7:00pm – 10:00pm


**12
HOURS**

- 1) HKIB CPD
- 2) SFC CPT
- 3) PWMA OPT

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

Programme Code

THPPW02P26091

Programme Delivery

Virtual Classroom (Zoom)
Cantonese

Programme Schedule

Target Audiences

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

Application Deadline

31 August 2026

Programme Fee

HKD 3,120



APPLY NOW!

Session Name	Date and Time
Regulatory Regime in Hong Kong and Requirements on Sale of Investment Products	14 Sep 2026 (Mon) 7:00pm – 10:00pm
Relevant Laws and Regulations relating to Client Engagement and Relationship Building	21 Sep 2026 (Mon) 7:00pm – 10:00pm
Ethics and Practical Application of Legal and Regulatory Requirements for Private Banking	28 Sep 2026 (Mon) 7:00pm – 10:00pm
Risk Management, Risk Governance and Risk Culture of Private Wealth Management Institutions	5 Oct 2026 (Mon) 7:00pm – 10:00pm

Programme Outline

<p>Regulatory Regime in Hong Kong and Requirements on Sale of Investment Products</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 Sale of investment products: general matters <ul style="list-style-type: none"> ➢ 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</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 <ul style="list-style-type: none"> ➢ 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</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 • Misappropriation of customer assets <ul style="list-style-type: none"> ➢ System and control, Know Your Client (KYC) ➢ Other types of misconduct
<p>Risk Management, Risk Governance and Risk Culture of Private Wealth Management Institutions</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

Enquiry :

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