



31 August – 21 September 2020



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**Programme Outlines**

**Certified Private Wealth Professionals (CPWP) Module 2 – Ethics and Compliance (Ref No: 80/74/29)**

Programme & Module	Outlines
<p><b>3 Core Hours</b></p> <p><b>HD000000P200851</b></p> <p><b>Regulatory Regime in Hong Kong and Requirements on Sale of Investment Products</b></p> <p><i>(Refer to CPWP M2 Exam Syllabus Topic 1, 2)</i></p>	<ul style="list-style-type: none"> <li>■ Legal and Regulatory Regime in Hong Kong                             <ul style="list-style-type: none"> <li>□ The Banking Ordinance overview</li> <li>□ Key regulatory requirements applicable to property lending</li> </ul> </li> <li>■ Key Provisions relevant to Private Wealth Management                             <ul style="list-style-type: none"> <li>□ Securities and Futures Ordinance (SFO), Deposit Protection Scheme (DPS)</li> </ul> </li> <li>■ Regulatory Requirements on Sale of Investment Products                             <ul style="list-style-type: none"> <li>□ Sale of investment products: general matters</li> <li>□ Regulatory requirements relevant to the sale of investment products</li> <li>□ Professional investor regime</li> <li>□ Application of the suitability obligation to the sale of specific types of investment products</li> <li>□ Internal controls</li> </ul> </li> </ul>
<p><b>3 Core Hours</b></p> <p><b>HD000000P200952</b></p> <p><b>Relevant Laws and Regulations relating to Client Engagement and Relationship Building</b></p> <p><i>(Refer to CPWP M2 Exam Syllabus Topic 3)</i></p>	<ul style="list-style-type: none"> <li>■ Core Compliance Knowledge for Private Wealth Management                             <ul style="list-style-type: none"> <li>□ Anti-money laundering (AML) and counter-terrorist financing (CTF) laws and regulations</li> <li>□ Personal Data (Privacy) Ordinance, Cap 486</li> </ul> </li> <li>■ Laws and Regulations relating to Client Engagement and Relationship Building                             <ul style="list-style-type: none"> <li>□ Looking for potential customers</li> <li>□ Understanding restrictions on “suitcase banking” and related risks</li> <li>□ On-boarding a customer</li> <li>□ Managing the customer relationship</li> </ul> </li> <li>■ When things go wrong                             <ul style="list-style-type: none"> <li>□ Complaint handling</li> <li>□ Regulatory investigations</li> <li>□ Powers of SFC and HKMA</li> </ul> </li> </ul>
<p><b>3 Core Hours</b></p> <p><b>HD000000P200953</b></p> <p><b>Ethics and Practical Application of Legal and Regulatory Requirements for Private Banking</b></p> <p><i>(Refer to CPWP M2 Exam Syllabus Topic 4-6)</i></p>	<ul style="list-style-type: none"> <li>■ Ethical Standards set by Private Wealth Management Association                             <ul style="list-style-type: none"> <li>□ General principles</li> <li>□ Risk management and client complaints</li> </ul> </li> <li>■ Fiduciary Duties and Ethical Values                             <ul style="list-style-type: none"> <li>□ Understand issues which appear to compromise professional, legal or ethical standards including any perceptions thereof</li> <li>□ Duties and obligations of licensed and registered persons and directors: Keep up-to-date &amp; comply with policies and procedures</li> </ul> </li> <li>■ Professional Conduct for Private Banking                             <ul style="list-style-type: none"> <li>□ Put professional interests ahead of personal agenda, avoid and manage conflicts of interest</li> <li>□ Protect confidentiality of customer data</li> </ul> </li> <li>■ Practical Application of Legal and Regulatory Requirements in private wealth management context Misappropriation of customer assets                             <ul style="list-style-type: none"> <li>□ System and control, Know Your Client (KYC)</li> <li>□ Other types of misconduct</li> </ul> </li> </ul>
<p><b>3 Core Hours</b></p> <p><b>HD000000P200954</b></p> <p><b>Risk Management, Risk Governance and Risk Culture of Private Wealth Management Institutions</b></p> <p><i>(Refer to CPWP M2 Exam Syllabus Topic 7-8)</i></p>	<ul style="list-style-type: none"> <li>■ Controls and Accountabilities; Reporting and Escalation Policies                             <ul style="list-style-type: none"> <li>□ Overview</li> <li>□ Controls and Accountabilities</li> <li>□ Reporting and escalation policies</li> </ul> </li> <li>■ Risk Management of Private Wealth Management Institutions                             <ul style="list-style-type: none"> <li>□ Overview of risk management</li> </ul> </li> <li>■ Risk Governance and Risk Culture of Private Wealth Management Institutions                             <ul style="list-style-type: none"> <li>□ Principles of proper risk governance, risk culture, risk appetite and values</li> <li>□ Relevance of risk governance and culture to a practitioner’s business conduct</li> <li>□ Impact and responsibilities of a practitioner’s actions to customers, the institution and other stakeholders</li> </ul> </li> <li>■ Remuneration System                             <ul style="list-style-type: none"> <li>□ Setting and monitoring of remuneration system that align with risk management objectives of the institute</li> <li>□ Risk management &amp; compliance</li> <li>□ Ensure personal and team compliance</li> <li>□ Best practices &amp; case studies</li> </ul> </li> </ul>



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

31 August – 21 September 2020



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## Programme Objectives

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

- 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.
- PWM industry practitioners who require OPT hours
- Insurance intermediaries and brokers, SFC licensees and HKIB qualification holders who require CPD, CPT hours

## Programme Details

<b>Language</b>	: English	<b>Delivery Mode</b>	: Virtual Classroom (Webex)
<b>Date</b>	: 31 August – 21 September 2020	<b>Special Offer</b>	: Enrol 2 or more modules in one time, enjoy a 10% discount
<b>Enquiry</b>	: <a href="mailto:programme@hkib.org">programme@hkib.org</a>		
<b>Enquiry Hotline</b>	: (852) 2153 7800		
<b>Enrollment</b>	: By email <a href="mailto:application.form@hkib.org">application.form@hkib.org</a> or submit in person to our Institute		

## Registration Form

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

Programme & Module		Time	Enrolment Deadline	Course Fees
Certified Private Wealth Professionals (CPWP) Module 2 – Ethics and Compliance (Ref. 80/74/29)	<input type="checkbox"/> <b>Regulatory Regime in Hong Kong and Requirements on Sale of Investment Products</b> (HD000000P200851) <span style="background-color: #FFD700; padding: 2px;">3 Core Hours</span>	31 August 2020 (Mon) 19:00 – 22:00	24 August 2020 (Mon)	HK\$780
	<input type="checkbox"/> <b>Relevant Laws and Regulations relating to Client Engagement and Relationship Building</b> (HD000000P200952) <span style="background-color: #FFD700; padding: 2px;">3 Core Hours</span>	7 September 2020 (Mon) 19:00 – 22:00	31 August 2020 (Mon)	HK\$780
	<input type="checkbox"/> <b>Ethics and Practical Application of Legal and Regulatory Requirements for Private Banking</b> (HD000000P200953) <span style="background-color: #FFD700; padding: 2px;">3 Core Hours</span>	15 September 2020 (Tue) 19:00 – 22:00	8 September 2020 (Tue)	HK\$780
	<input type="checkbox"/> <b>Risk Management, Risk Governance and Risk Culture of Private Wealth Management Institutions</b> (HD000000P200954) <span style="background-color: #FFD700; padding: 2px;">3 Core Hours</span>	21 September 2020 (Mon) 19:00 – 22:00	14 September 2020 (Mon)	HK\$780

Have you applied grandfathering assessment to PWMA?  Yes  No

Full Name : Mr / Ms \_\_\_\_\_ (In English as on ID Card) Full Name : \_\_\_\_\_ (In Chinese)

HKID No. : \_\_\_\_\_ Membership No. : \_\_\_\_\_

\*WAM Pilot Scheme applicants must provide Hong Kong identity card number for reimbursement claim.

Do you intend to apply for the WAM Financial Incentive Scheme<sup>10</sup>?  Yes  No

Organization : \_\_\_\_\_ Position : \_\_\_\_\_

Department : \_\_\_\_\_ Mobile / Phone No. : \_\_\_\_\_

E-mail : \_\_\_\_\_ HKID No. : \_\_\_\_\_

Mailing Address : \_\_\_\_\_  
(Please complete the below address box if you want to collect the programme certificate)

Payment Method :  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 the completed enrolment form to [programme@hkib.org](mailto:programme@hkib.org)

Credit Card :  VISA  Master Amount : HK\$ \_\_\_\_\_

Cardholder's Name : \_\_\_\_\_ Signature : \_\_\_\_\_

Card No. : \_\_\_\_\_ Expiry Date : \_\_\_\_\_ (mm/yy)

## How did you know about this programme?

- Website  HR Department  E-News  Others (Please specify)  
 Friends / Colleagues  Banking Today  HKIB Counter

## Terms and Conditions

- All fees paid are non-refundable and non-transferrable.
- Participants who have settled payments will receive course confirmation by e-mail at least 5 working days prior to the programme date.
- All payments must be settled before programme commencement.
- Priority of enrolment will be given on a 'first-come-first-serve' basis. HKIB Member will have priority to register if there is limited seat remained for the programme.
- HKIB would issue the "Certificate of Attendance to participants who have complied with the ["HKIB Attendance Policy"](#). The Certificate will be mailed to the corresponding address within 15 working days after completion of the programme.
- We reserve the right to reject an enrolment at any time.
- We reserve the right to cancel, modify and/or postpone the programme due to unforeseen circumstances.
- The information given and personal data collected will be used for the purpose of administration and communication by the Institute.
- For the Typhoon or Rainstorm arrangement, please refer to the confirmation e-mail or HKIB's website ([www.hkib.org](http://www.hkib.org)).
- The programme has been included in the list of reimbursable courses for WAM pilot programme. For WAM pilot programme applicants, 80% of the course fee will be reimbursed upon meeting the 80% attendance requirement. For more details, please visit: [www.wamtalent.org.hk](http://www.wamtalent.org.hk)



← Please visit HKIB website for more public programmes

\* This address is only used for sending the programme certificate

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Name : \_\_\_\_\_  
Address : \_\_\_\_\_

Name : \_\_\_\_\_  
Address : \_\_\_\_\_