



CFP<sup>CM</sup> Certification 

# APPLICATION FORM

## IMPORTANT NOTES

1. There are two parts in this form: Application Instructions and Application Details. Please read Application Instructions carefully before completing this form.
2. Please complete in BLOCK LETTERS and in BLACK.
3. Please note that the complete application with all required documents and appropriate fee must be submitted in person or by mail to the office :

Operations Department  
Institute of Financial Planners of Hong Kong  
13/F, Causeway Bay Plaza 2  
463 - 483 Lockhart Road, Hong Kong  
"Re: Application for CFP<sup>CM</sup> Certification"
4. Incomplete or fax applications will **not** be accepted under any circumstances.
5. To apply for CFP certification, applicant must possess 3 years of qualified work experience in financial planning (gained within an 18-year period running from 10 years before to 8 years after the last exam date). Furthermore, application must be made no later than 31 December in the final year of the 18-year period.
6. All applications are subject to review and approval by the IFPHK. IFPHK may in its absolute discretion refuse to approve any application.
7. Certificant's benefits will not start until full payment is received and application is approved. The application result will be sent to the correspondence address provided in around 6-8 weeks.
8. Certification fees are reviewed and/or revised annually. Valid certificants will be notified of any changes.
9. IFPHK observes anti-discrimination laws in force in Hong Kong and adopts policies and procedures to ensure fair and equitable treatment for all applicants in the application process.
10. Information submitted will be processed according to the Personal Data (Privacy) Ordinance.
11. Application sent to us with insufficient postage or packaging will NOT reach IFPHK. Applicants are advised to ensure sufficient postage and have their return address printed on envelopes.
12. If you have any concerns, issues or further queries regarding the CFP<sup>CM</sup> Certification application, please contact us by email at [cert@ifphk.org](mailto:cert@ifphk.org).

## APPLICATION INSTRUCTIONS

**Section I: Personal Particulars**

Please fill in all contact information. The result of your application will be sent to your correspondence address provided. If there is change in your contact information during the course of application processing, please inform IFPHK immediately.

The email address will be used as the login name for access to the members' area under IFPHK website. Acknowledgement of receipt and other regular communication from IFPHK will be sent to the same email address.

Please fill in the Employer Code, Industry Code and Earnings Code in accordance with the tables below.

Employer Code:

<b>C 1</b> AIA	<b>C 9</b> DBS Bank	<b>C 17</b> Standard Chartered Bank
<b>C 2</b> AXA	<b>C 10</b> Hang Seng Bank	<b>C 18</b> UBS
<b>C 3</b> Bank of Communications	<b>C 11</b> HSBC	<b>C 19</b> Wing Lung Bank
<b>C 4</b> Bank of East Asia	<b>C 12</b> FWD Group	<b>C 20</b> Zurich Insurance Group
<b>C 5</b> Bank of China	<b>C 13</b> Manulife	<b>C 22</b> Sun Life Hong Kong Limited
<b>C 6</b> China Construction Bank	<b>C 14</b> Nanyang Commercial Bank	<b>C 23</b> FTLife
<b>C 7</b> Citibank	<b>C 15</b> Prudential	<b>C 24</b> China Life
<b>C 8</b> Convoy	<b>C 16</b> Shanghai Commercial Bank	<b>C 21</b> Others

Industry Code:

(Please choose the one that best describes the industry you are serving, e.g. if you are serving as an accountant in a retail bank, you should choose I1.)

<b>I 1</b> Retail Banking	<b>I 6</b> Independent Financial Advisor	<b>I 11</b> Academia
<b>I 2</b> Private Banking	<b>I 7</b> Asset Management	<b>I 12</b> Real Estate Sector
<b>I 3</b> Investment Banking	<b>I 8</b> Securities Brokerage	<b>I 13</b> Others
<b>I 4</b> Life Insurance	<b>I 9</b> Legal Practice	
<b>I 5</b> General Insurance	<b>I 10</b> Accounting Practice	

Earnings Code:

<b>E 1</b> Less than HK\$200,000	<b>E 4</b> HK\$600,000 – less than HK\$800,000
<b>E 2</b> HK\$200,000 – less than HK\$400,000	<b>E 5</b> HK\$800,000 – less than HK\$1,000,000
<b>E 3</b> HK\$400,000 – less than HK\$600,000	<b>E 6</b> HK\$ 1 million or above

**Section II: Education**

- Please indicate you are degree holder or non-degree holder by checking the relevant box. Only degrees received from accredited universities will be accepted. The following qualifications are considered as degree equivalent:
  - HK Polytechnic (3 year diploma)
  - HK City Polytechnic (3 year diploma)
  - HK Baptist College (3 year and 4 year diploma)
  - HK Lingnan College (3 year and 4 year diploma)
  - HK Shue Yan College (3 year and 4 year diploma)
- Please indicate the highest academic qualification you attained at or above HKCEE level. For degree holders, please attach certified true copies of the transcript(s) or certificate(s) of the highest academic qualification at or above bachelor degree level. For non-degree holders, please attach a certified true copy of the HKCEE certificate or a certificate of the equivalent qualification.

### 3. Certified True Copies

Unless originals\* are submitted, only certified copies from the following institutions/ authorities/ approved professionals\*\* are accepted as Certified True Copies:

- i) IFPHK Registered CFP<sup>CM</sup> Certification Education Program Providers
- ii) Registrar of local self-accredited universities
- iii) HR department of current employer
- iv) Commissioners of Oaths of Government of HKSAR
- v) Individuals with approved credentials\*\* listed below:

- CERTIFIED FINANCIAL PLANNER<sup>CM</sup>, CFP<sup>CM</sup>
- Associate/Fellow of Association of Chartered Certified Accountants (ACCA/FCCA)
- Associate/Fellow of Association of International Accountants (AAIA/FAIA)
- Associate/Fellow of Chartered Institute of Management Accountants (ACMA/FCMA)
- Certified General Accountant (CGA)
- Certified Management Accountant - Australia, Canada, US (CMA)
- Chartered Accountant (CA) (Australia, Canada, England and Wales, Ireland, New Zealand, Scotland, South Africa, Zimbabwe)
- Chartered Financial Analyst (CFA)
- Chartered Financial Consultant (ChFC)
- Chartered Life Underwriter (CLU)
- Fellow of Australian and New Zealand Institute of Insurance and Finance (ANZIIF(Fellow))
- Fellow of Chartered Insurance Institute (FCII)
- Fellow of the Society of Actuaries (FSA)
- Members of Chartered Institute of Public Finance and Accountancy (CPFA)
- Member of Hong Kong Bar Association
- Member of Hong Kong Law Society
- Member of Hong Kong Institute of Certified Public Accountants (FCPA/CPA)
- Doctoral Degree in Business/Economics

\* Original documents submitted will not be returned.

\*\* Individuals who certify copies of documents must:

- (1) sign on copies of all pages of the transcripts, including the front and back of the transcripts,
- (2) write down their credentials and valid license numbers, and
- (3) attach their current business cards showing the approved credentials and detailed contact information.

### Section III: Examination

You must have completed the CFP certification examination (with valid PASS result in ALL papers) before applying for CFP certification. Please fill in the month and year of your last CFP certification examination.

No examination certificate is required.

### Section IV: Experience

#### 1. Experience Requirement

To apply for CFP certification, you must have a minimum of 3 years qualified work experience in financial planning.

**Please refer to Appendix 1 for the definition of qualified work experience.**

Other Requirements:

- a. Valid time period for experience  
Only experience gained up to ten years before or up to eight years after the last CFP certification exam date will be considered. If the work experience is not fulfilled within this time frame, the application may be terminated.
- b. Part-time work experience  
Part-time employment is credited towards the requirement on an hourly basis, with 2,000 hours representing the equivalence of one year full-time. Please indicate the total number of work hours claimed.

#### 2. Experience Information

- a. You are required to provide details of your employment history in financial planning during the valid time period in chronological order.
- b. If you had several positions in the same company, please fill in separate pages to specify details in each position.
- c. Make copies of this section and attach additional sheets if necessary.
- d. An updated resume must be attached. **(Please refer to Appendix 2 for the format.)**

### 3. Experience Record Verification

The submitted experience record must be verified and attested by your current supervisor, or a member of the senior management, or the human resources manager of your current employer. If you are a sole proprietor, a third party product provider may verify your experience. In case if none of these individuals is able to do so because of insufficient information, a professional with approved credentials must attest your experience record instead. They must also provide their certificate or letter of good standing.

**Appendix 3 shows a sample of complete Section IV on a particular position.**

### Section V: Declaration and Agreement

Please read the Declaration and Personal Data Agreement carefully before you sign the application form.

### Section VI: Payment Details

1. Please enclose an application fee of HK\$1,000 and appropriate first year certification fee (see point 4 & 5, in which, 5% will be contributed to IFPHK building fund) with this application.
2. The certification period ends by the end of each calendar year. If your application is successful, the first year certification fee will cover from the date of your approval to 31 December of the same year.
3. The renewal date is 1 January each year.
4. If you apply between January and June, please pay HK\$2,450 for the first year certification fee (valid up to 31 December).
5. If you apply between July and December, please pay HK\$1,225 for the first year certification fee (valid up to 31 December).
6. If your application is unsuccessful, the certification fee will be refunded to you in due course. **Application fee is non-refundable.**

### Checklist

Please go through the checklist carefully and return it with your application form.

### Acknowledgement of Receipt

1. Application form submitted by mail or by courier: acknowledgement of receipt sent by email.
2. Application form submitted in person: acknowledgement of receipt provided during the time of submission.

## Definition of Qualified Work Experience

Qualified experience is the active use of knowledge and skill to provide<sup>1</sup> or teach<sup>2</sup> comprehensive financial planning advice to clients<sup>3</sup> in accordance with IFPHK's Six Steps of Financial Planning Process (see table 1).

Six Steps of Financial Planning Process	Including.....
1. Establishing client-planner relationships	explaining the issues and concepts related to the personal financial planning process
2. Gathering client data and determining goals and expectations	interviewing or questioning the client about various aspects of his or her financial resources, obligations and expectations; determining your client's goals, needs and priorities; assessing your client's values and attitudes; and determining the client's time horizons and risk tolerance; collecting applicable client records and documents
3. Determining the client's financial status by analysing and evaluating client's information	analyzing and evaluating client data such as current cash flow needs, risk management, investments, taxes, retirement, employee benefits, estate planning and/or special needs
4. Developing and presenting the financial plan	presenting and reviewing the plan with the client; working with the client to ensure that the plan meets his or her goals and expectations, and revising the recommendations as necessary
5. Implementing the financial plan	coordinating with other professionals, such as accountants, attorneys, real estate agents, investment advisers, stock brokers and insurance agents
6. Monitoring the financial plan	discussing with the client any changes in his or her personal circumstances, evaluating changing tax laws, and making recommendations based on new or changing conditions

TABLE 1. IFPHK Six Steps of Financial Planning Process

<sup>1</sup> Directly supporting the delivery of comprehensive financial planning advice to clients may not be 100% recognized as qualified experience. Recognition is based on IFPHK's absolute sole discretion.

<sup>2</sup> For experience of teaching IFPHK Registered AFP Certification Education Program / CFP Certification Education Program or Program with IFPHK pre-approved transcript review status, all experience gained within the valid time period will be considered. As for other teaching experience (teaching finance related classes at degree or above level), all experience gained within the valid time period will be considered but there is a limit to the qualified work experience granted (a maximum of two years of qualified work experience could be granted and the rest of qualified work experience must be gained from other recognized works).

<sup>3</sup> "Clients" are individuals/corporations who/which engage a financial planning professional and for whom/which professional services are rendered. Pro-bono experience may be recognized, provided that there are clients AND you are acting as a financial planning professional who is capable and qualified to offer objective and comprehensive financial advice to or for the benefit of clients for achieving their financial planning objectives.

# Sample Resume

## Resume

Name : Wong Siu Ming Roy

Employment period		Company & Dept	Position	Job Duties
From (mm/yyyy)	To (mm/yyyy)			
03/2001	06/2004	Tai Fat Bank Limited Western Branch, Sales & Distribution Department	Customer Relationship Manager	1. 2. 3. 4. 5. 6.

# Sample of Section IV – Experience

An updated resume must be attached with detailed description of job duties and service period in each position

If you have several positions in the same / different companies, please make copies of this page and fill in separate pages to specify the details in each position

## Section IV: Experience

Name of Employer (Name of Company) Tai Fat Bank Limited  
 Position Held (Job title) Customer Relationship Manager  
 Department Western Branch, Sales & Distribution Department  
 Description of Job Duties (1) establishing client-planner relationships, (2) gathering client data and determining goals and expectations, (3) determining the client's financial status by analyzing and evaluating client's information, (4) developing and presenting the financial plan, (5) implementing the financial plan, (6) monitoring the financial plan

Period of Employment 3/2001 to 6/2004  
MM/YYYY MM/YYYY

Must be provided

Full-time       Part-time (Total no. of work hours claimed over the period of employment \_\_\_\_\_ hours)

Qualified experience = 3 year(s) 3 month(s)

### Job Relevancy

1. Daily work relates to provision of one or more of the six primary elements of the personal financial planning process

Yes. Estimated 100 %       No (Please skip questions 2 to 6)

2. Daily work involves face to face contact with clients

Yes. Estimated 70 %       No

3. Type of clients that you will recommend financial services/products to

Individual. Estimated 80 %       Institutional. Estimated 20 %

Total = 100%

4. Type of products recommended

life insurance 60 %       investment-linked insurance 20 %

securities/ unit trusts 20 %       tax planning \_\_\_\_\_ %

others (Please specify \_\_\_\_\_) \_\_\_\_\_ %

Total = 100%

5. Type of advice provided

insurance planning 60 %       investment planning 40 %

employee benefits \_\_\_\_\_ %       tax planning \_\_\_\_\_ %

retirement planning \_\_\_\_\_ %       estate planning \_\_\_\_\_ %

comprehensive financial planning \_\_\_\_\_ %

Total = 100%

6. Type of license hold

Investment advisor (License no. \_\_\_\_\_)

Investment representative (License no. ABC888)

Insurance agent (License no. 12345678)

Insurance broker technical representative (License no. \_\_\_\_\_)

Certified by direct supervisor / member of senior management / Human Resources Manager

For teaching related position<sup>8</sup>

(i) Teaching IFPHK registered AFP/CFP certification education program or program with IFPHK pre-approved transcript review status?       Yes. On Programs \_\_\_\_\_       No

(ii) Teaching other finance related classes?       Yes. Estimated \_\_\_\_\_ %       No

### Declaration for Work Experience

Declaration by Direct Supervisor / ~~Member of Senior Management / Human Resources Manager / Third Party Product Provider~~

I hereby certify that I have known the applicant for 8 years, and that ALL work experience information provided by the applicant in Section IV is accurate to my knowledge.

I understand that IFPHK staff may contact me if they need to obtain more information about the work experience of the Applicant.

Signature David Chan      Date 10 March 2009

Name Mr. Chan Tai Man David

Position and Department Branch Manager, Sales & Distribution Department

Company Tai Fat Bank Limited

Contact Tel 2222 3456      Email address davidchan@taifatbank.com

Provide contact information of certifier

<sup>8</sup> Please ignore if not applicable.

<sup>9</sup> Delete where not appropriate.



# CFP<sup>CM</sup> CERTIFICATION APPLICATION FORM



## For official use only

Name				Ref No		
Date Received	Data entry	Completed with all info	Payment	Evaluation	Final Approval	
		<input type="checkbox"/> Yes <input type="checkbox"/> No				
Remarks:						

## APPLICATION DETAILS

### Section I: Personal Particulars

**Note: Related personal data in your examination and membership records (if you already have membership record(s) kept in IFPHK) will also be updated with the information provided in this form.**



AFP Certificant No. / Candidacy No. \_\_\_\_\_

Title: Dr / Mr / Mrs / Ms / Miss<sup>1</sup>                      Chinese Name \_\_\_\_\_  
(if applicable & as printed on your ID card/passport)

Surname \_\_\_\_\_                      Given Name \_\_\_\_\_  
(as printed on your ID card/passport)                      (as printed on your ID card/passport)

Date of Birth (DD/MM/YYYY) \_\_\_\_\_                      HKID/Passport No.<sup>1</sup> \_\_\_\_\_

Professional Qualification<sup>1</sup>  
 CFA / CGA / CMA / ChFC / CLU / FCII / FSA / FCPA / CPA / Doctoral Degree / Others \_\_\_\_\_

Correspondence Address \_\_\_\_\_  
 \_\_\_\_\_

Telephone \_\_\_\_\_ (Office)                      \_\_\_\_\_ (Mobile)  
 \_\_\_\_\_ (Home)                      Fax \_\_\_\_\_

Email Address<sup>2</sup> \_\_\_\_\_

Current Employer \_\_\_\_\_

Current Position \_\_\_\_\_

Company Group of Current Employer<sup>3</sup>    **C**                      (Please refer to Employer Code in "APPLICATION INSTRUCTIONS")

Industry of Employment<sup>3</sup>                      **I**                      (Please refer to Industry Code in "APPLICATION INSTRUCTIONS")

Earnings in the past year                      **E**                      (Please refer to Earnings Code in "APPLICATION INSTRUCTIONS")


**Licences Issued by Regulators/Authorized Bodies in Hong Kong**  
 (Please select the organizations with which you CURRENTLY have a registration.)

Investment	<input type="checkbox"/> Securities and Futures Commission (SFC)
	<input type="checkbox"/> Hong Kong Monetary Authority (HKMA)
Insurance	<input type="checkbox"/> The Hong Kong Federation of Insurers (HKFI)
	<input type="checkbox"/> The Hong Kong Confederation of Insurance Brokers (CIB)
	<input type="checkbox"/> Professional Insurance Brokers Association Limited (PIBA)
MPF	<input type="checkbox"/> Mandatory Provident Fund Schemes Authority (MPFA)

<sup>1</sup> Circle where appropriate.  
<sup>2</sup> Required field used as the login name to access IFPHK Member's Area.  
<sup>3</sup> Compulsory field to be filled in for statistical purpose.

## Section I: Personal Particulars (Continued)

### Preference<sup>4</sup>

- 
- To help save the environment, will you consider online renewal with IFPHK sending you a reminder notice?  
 Yes (IFPHK will send you a reminder notice for online renewal)  
 No (IFPHK will send you the printed renewal pack with enclosed renewal form)
  - Do you prefer to receive online publications rather than printed publications from IFPHK?  
 Yes  
 No
  - IFPHK always strives to communicate with you in bilingual format (English and Chinese). If a bilingual format is not available, please indicate your preferred language of communication<sup>5</sup>:  
 English  
 Chinese
  - IFPHK will use email, mail or SMS to offer you and let you know about the availability of products and services relating to examinations, education programs, memberships, conferences, events and research. If you do not want to receive these messages, please "tick" here.

<sup>4</sup> Upon approval of your CFP<sup>CM</sup> certification application, IFPHK will follow the above preference to communicate with you, if feasible.

<sup>5</sup> IFPHK will take into consideration your preferred language whenever possible. However, certain publications/communications channel may not be translated to the preferred language due to copyright, legal or other reasons.

### Section II: Education<sup>6</sup>




Degree Holder     Non-degree Holder

Name of Education Institution \_\_\_\_\_

Highest Qualification Attained \_\_\_\_\_ Year Attained \_\_\_\_\_

<sup>6</sup> Please provide a Certified True Copy of the relevant transcript or certificate.

### Section III: Examination



When did you pass the CFP Certification Examination (Level 2)<sup>7</sup>? \_\_\_\_\_ (MM/YYYY)

<sup>7</sup> For applicants who are exempted from the CFP Certification Examination (Level 2) under the conversion arrangements, please fill in the date of the CFP Certification Examination (Level 1) / the date when you passed the last paper of the old structure CFP Certification Examination.

**Section IV: Experience**



Name of Employer (Name of Company) \_\_\_\_\_  
 Position Held (Job title) \_\_\_\_\_  
 Department \_\_\_\_\_  
 Description of Job Duties \_\_\_\_\_  
 \_\_\_\_\_  
 \_\_\_\_\_

Period of Employment \_\_\_\_\_ to \_\_\_\_\_  
 MM/YYYY MM/YYYY

Full-time     Part-time (Total no. of work hours claimed over the period of employment \_\_\_\_\_ hours)

Qualified experience = \_\_\_\_\_ year(s) \_\_\_\_\_ month(s)

**Job Relevancy**

1. Daily work relates to provision of one or more of the six primary elements of the personal financial planning process  
 Yes. Estimated \_\_\_\_\_%     No (Please skip questions 2 to 6)
2. Daily work involves face to face contact with clients  
 Yes. Estimated \_\_\_\_\_%     No
3. Type of clients that you will recommend financial services/products to  
 Individual. Estimated \_\_\_\_\_%     Institutional. Estimated \_\_\_\_\_%
4. Type of products recommended  
 life insurance \_\_\_\_\_%     investment-linked insurance \_\_\_\_\_%  
 securities/ unit trusts \_\_\_\_\_%     tax planning \_\_\_\_\_%  
 others (Please specify \_\_\_\_\_) \_\_\_\_\_%
5. Type of advice provided  
 insurance planning \_\_\_\_\_%     investment planning \_\_\_\_\_%  
 employee benefits \_\_\_\_\_%     tax planning \_\_\_\_\_%  
 retirement planning \_\_\_\_\_%     estate planning \_\_\_\_\_%  
 comprehensive financial planning \_\_\_\_\_%
6. Type of license hold  
 Investment advisor (License no. \_\_\_\_\_)  
 Investment representative (License no. \_\_\_\_\_)  
 Insurance agent (License no. \_\_\_\_\_)  
 Insurance broker technical representative (License no. \_\_\_\_\_)

For teaching related position<sup>8</sup>

- (i) Teaching IFPHK registered AFP/CFP certification education program     Yes. Program name: \_\_\_\_\_     No  
 or program with IFPHK pre-approved transcript review status?
- (ii) Teaching other finance related classes?     Yes. Estimated \_\_\_\_\_%     No

**Declaration for Work Experience**



Declaration by Direct Supervisor / Member of Senior Management / Human Resources Manager / Third-party Product Provider<sup>9</sup>

I hereby certify that I have known the applicant for \_\_\_\_\_ years, and that **ALL** work experience information provided by the applicant in Section IV is accurate to my knowledge.

I understand that IFPHK staff may contact me if they need to obtain more information about the work experience of the Applicant.

Signature \_\_\_\_\_ Date \_\_\_\_\_

Name \_\_\_\_\_

Position and Department \_\_\_\_\_

Company \_\_\_\_\_

Contact Tel. \_\_\_\_\_ Email address \_\_\_\_\_

<sup>8</sup> Please ignore if not applicable.

<sup>9</sup> Delete where not appropriate.

**Section V: Declaration and Agreement**



- |  | Yes                      | No                       |
|--|--------------------------|--------------------------|
| 1. Have you ever been convicted of any offence other than a minor traffic or littering offence in Hong Kong or elsewhere?<br>If "yes", please specify _____  | <input type="checkbox"/> | <input type="checkbox"/> |
| 2. Are you or have you ever been declared bankrupt in Hong Kong or elsewhere?<br>If "yes", please specify _____  | <input type="checkbox"/> | <input type="checkbox"/> |
| 3. Have you ever been refused membership of a statutory body or other professional body (including but not limited to SFC, HKMA, HKFI, HKCIB, PIBA, MPFA) in respect of your professional capacity in Hong Kong or elsewhere?<br>If "yes", please specify _____                              | <input type="checkbox"/> | <input type="checkbox"/> |
| 4. Have you ever been refused professional indemnity insurance in Hong Kong or elsewhere?<br>If "yes", please specify _____  | <input type="checkbox"/> | <input type="checkbox"/> |
| 5. Have you ever been subject to disciplinary proceedings or expelled by a statutory body or other professional body (including but not limited to SFC, HKMA, HKFI, HKCIB, PIBA, MPFA) in respect of your professional capacity in Hong Kong or elsewhere?<br>If "yes", please specify _____ | <input type="checkbox"/> | <input type="checkbox"/> |
| 6. Are you aware of any other matters that may impact on IFPHK's consideration of your application?<br>If "yes", please specify _____  | <input type="checkbox"/> | <input type="checkbox"/> |

**Notes:**

1. If you have answered "YES" to any of the above questions, please attach all relevant documents relating to the matters at issue.
2. CFP Certificant has the obligation to cooperate fully in IFPHK investigation (if any) in relation to his / her declaration above.

**Personal Data Agreement**

1. I explicitly consent that any personal information (personal data) from time to time collected or held by IFPHK (whether contained in this application or obtained otherwise) is provided and may be held, used, processed and/or disclosed (i) in accordance with and for the purpose outlined in the Data Privacy Statement herein, and/or (ii) to permit and enable IFPHK to:
  - a. fully and fairly process my application,
  - b. disclose any personal data where IFPHK has an obligation to make such disclosure under the requirements of any law binding on IFPHK,
  - c. disclose to the public my certification status, date of certification, professional standing and history of disciplinary actions as a CFP certificant and the date of my ceasing to be a CFP certificant (if applicable),
  - d. use my personal data to compile statistics and analyse the results wholly for use within IFPHK,
  - e. disclose my personal data to the Financial Planning Standards Board Ltd. and its affiliate members for statistical purpose or certification / cross-border certification related purpose.
2. I understand that I may refuse to provide personal data as requested in the application or otherwise, but such refusal, or the provision of inaccurate personal data may result in IFPHK being unable to or refusing to process this application.
3. I agree that IFPHK may disclose my CFP certification status to my employer (being the entity with which I have an employment, agency or similar contractual obligation, and/or the holding companies, subsidiary companies or associated members of such entity) [that is kept in the IFPHK record] upon their request.
 

Yes       No
4. I understand that I have the right to check whether IFPHK holds personal data about me and that, if so, I have a right of access to my personal data. I can request IFPHK to correct any inaccurate personal data and if I need to obtain a copy of my personal data or have it corrected, I can write to the Operations Department of IFPHK. I understand that IFPHK is permitted by law to charge a reasonable fee for the processing of any data access request.



**By my signature below,**

1. I understand and agree to comply with all conditions, requirements, policies and procedures for the CFP Certification Program established by IFPHK as may be amended from time to time. I understand that such conditions, requirements, policies and procedures consist of all materials relevant to the CFP Certification Program including but not limited to IFPHK's Memorandum and Article of Association, IFPHK's Disciplinary Rules and Procedures, and IFPHK's Code of Ethics and Professional Responsibility and any conditions, requirements, policies and procedures that IFPHK may establish and/or amend from time to time.
2. I understand and agree that in consideration of IFPHK granting me the rights to use the CFP Marks, I shall observe and adhere to the Guide to Use of the CFP Marks and shall indemnify IFPHK and FPSB for all liability, loss and damages, costs, legal costs, professional costs and expenses of whatsoever nature incurred or suffered by FPSB or IFPHK whether direct or consequential arising out of, or as a result of, my, or my permitting the, misuse of the Marks otherwise than strictly in accordance with the Guide to Use of the CFP Marks.
3. I understand and agree that IFPHK may enforce the conditions, requirements, policies and procedures as mentioned in i above against me and may reject, suspend or terminate my right to use the CFP Marks (if granted) at any time, for my failure to satisfactorily meet any such conditions, requirements, policies and procedures.
4. I understand that the rights to use the CFP Marks are granted by IFPHK to me personally. I understand that my CFP certification is limited to a fixed period of time. At the end of the period, if my certification is not renewed, it expires immediately and any right to use the CFP Marks will terminate upon expiration of the certification. If I fail to comply with CFP certification renewal requirements, I agree to cease use of the CFP Marks immediately. I understand that the IFPHK may relinquish any rights I have in the use of CFP Marks if I fail to maintain certification status.
5. I understand and agree that fees paid pursuant to my application are nonrefundable and nontransferable.
6. I understand that upon successful application for CFP<sup>CM</sup> Certification / Re-certification with the IFPHK, the IFPHK will grant me a complimentary ordinary membership under IFPHK's Articles of Association. I understand that I may withdraw my IFPHK membership by sending a written request to the Operations Department of IFPHK.
7. I understand and agree to the above Personal Data Agreement.
8. I declare that the information contained in my application is truthful and complete, and I agree to notify IFPHK of any material changes to my responses to any of the questions in this application, including my contact details. I understand and agree that IFPHK 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 or otherwise) in this application.



Signature \_\_\_\_\_ Date \_\_\_\_\_

## Section VI: Payment Details

Payment for application fee and first year certification fee enclosed:

- HK\$3,450** (apply between January and June)       **HK\$2,225** (apply after 1 July)

Payment Method:

Payment by cheque to: "IFPHK Ltd." (Bank \_\_\_\_\_ Cheque No. \_\_\_\_\_ )

Payment by credit card:     VISA     MasterCard

I authorize the Institute of Financial Planners of Hong Kong Limited to debit the above sum from my credit card account.

Card No. \_\_\_\_\_ - \_\_\_\_\_ - \_\_\_\_\_ - \_\_\_\_\_

Cardholder's Name \_\_\_\_\_ Card Expiry Date \_\_\_\_\_ (MM/YY)

Cardholder's Signature \_\_\_\_\_ Date \_\_\_\_\_

### For Official Use only

Name of Applicant	Ref No.	Remarks

## CHECKLIST FOR APPLICANTS

Please note that applications not substantiated by the required supporting documents will delay the processing procedures. Before submitting your application, you are reminded to ensure that all documents are in order. The following checklist is to assist you in completing the application and preparing the supporting documents. Please complete and return it with your application form.

Please check and ensure the information / documents you have checked / submitted by putting a tick "✓" in the appropriate boxes below:

### Information / documents to be checked and submitted by ALL applicants

- All information is filled out properly.
- Application form is completed, signed and dated.
- Certified True Copies of your HKCEE certificate OR university transcript(s) are attached.
- Your updated resume is attached.
- Payment form is completed. For payment by cheque, a crossed cheque payable to "IFPHK Ltd." is attached.

## ACKNOWLEDGEMENT OF RECEIPT

### For CFP<sup>CM</sup> Certification Application Form Submitted in Person

To: \_\_\_\_\_ (Please fill in your full name)

We hereby acknowledge the receipt of your CFP<sup>CM</sup> Certification Application Form.

For your information, the processing time for this application will be around 6 to 8 weeks. During this period, IFPHK may contact you regarding supplementary information to ensure a smooth process.

If you have any concerns, issues or further queries regarding the CFP<sup>CM</sup> Certification application, please contact us by email at [cert@ifphk.org](mailto:cert@ifphk.org).