



For applying exam paper  
in English only

# CFP<sup>CM</sup> CERTIFICATION EXAMINATION (JUNE 2009) APPLICATION FORM



CFP<sup>CM</sup>, CERTIFIED FINANCIAL PLANNER<sup>CM</sup> and  are certification marks owned outside the U.S. by Financial Planning Standards Board Ltd. (FPSB). The Institute of Financial Planners of Hong Kong is the marks licensing authority for the CFP marks in Hong Kong and Macau, through agreement with FPSB.

# CFP<sup>CM</sup> CERTIFICATION EXAMINATION (JUNE 2009)

## IMPORTANT NOTES

1. You may apply to take any or all Four of the Examination Papers using ONE application form.
2. The examination paper will be printed in only **ONE** language of the three languages: English, Traditional Chinese or Simplified Chinese. This form is intended for applicants who wish to complete the CFP<sup>CM</sup> Certification Examination in ENGLISH. If you wish to take the examination in either Traditional Chinese or Simplified Chinese, please fill out the corresponding Chinese application form accordingly.

Request for change of the examination language will NOT be considered under any circumstances once the application is received by IFPHK.

3. There are two parts in this form: Application Instructions and Application Details. Please read Application Instructions carefully before completing this form. Please send **ONLY** the Application Details to IFPHK and keep the part of Application Instructions for your record.
4. Please complete in BLOCK LETTERS and in BLACK.
5. Data submitted will be processed according to Personal Data (Privacy) Ordinance.
6. Deadline for receiving Complete Application: **17 April 2009 (Friday)**

Complete application with all required documents and appropriate fee must be received by the office on or before the deadline. Incomplete application or late submission will not be accepted under any circumstances.

7. Examination Date:

Exam Paper	Paper Title	Exam Date and Time
1	Insurance and Retirement Planning	27 June 2009 (Saturday) – AM
2	Tax and Estate Planning	28 June 2009 (Sunday) – AM
3	Investment Planning	27 June 2009 (Saturday) – PM
4	Financial Planning Practice	28 June 2009 (Sunday) – PM

8. Examination Venue: AsiaWorld-Expo, Hong Kong International Airport, Lantau, Hong Kong
9. Please note that the complete application must be submitted in person or by mail to the office:

**OPERATIONS DEPARTMENT (CERTIFICATION)**  
**Institute of Financial Planners of Hong Kong**  
**Unit 2601, 26/F., Bank of East Asia Harbour View Centre,**  
**56 Gloucester Road, Wanchai, Hong Kong**  
**“Re: CFP Examination”**

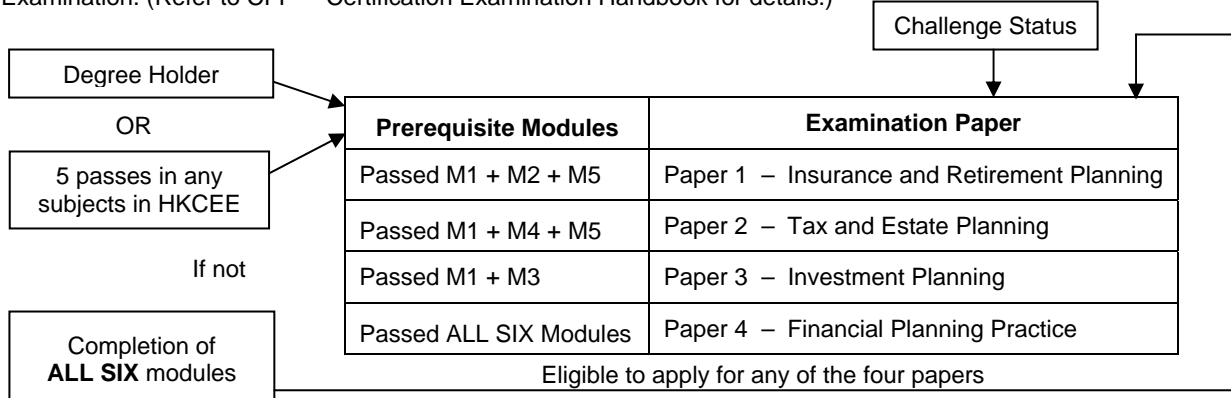
10. An application result notice will be sent to applicants at least FOUR WEEKS before the date of the examination. If the examination application is approved, information on the exact time and location of the examination will be mailed to the candidate together with an admission card at least TWO WEEKS before the date of the examination. If qualified candidates do not receive the admission card FIVE DAYS before the examination, they should contact IFPHK immediately.
11. Candidates should carefully read the examination regulations in the CFP<sup>CM</sup> Certification Examination Handbook before attempting the examination. Failure to observe any of these regulations may lead to disqualification from the examination.
12. All applications are subject to review and approval by IFPHK. IFPHK may in its absolute discretion refuse to approve any application.
13. IFPHK observes anti-discrimination laws in force in Hong Kong and adopts policies and procedures to ensure fair and equitable treatment of all candidates in the examination and certification process.
14. IFPHK does NOT accept any postal packets, including letters, with insufficient postage. Applicants are advised to put their own addresses at the back of the envelope in case the Post Office needs to return any postal packets because of insufficient postage.

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## APPLICATION INSTRUCTIONS

### Section I: Enrolment Prerequisites

1. You must have met IFPHK's education requirement in order to be eligible to apply for the CFP<sup>CM</sup> Certification Examination. (Refer to CFP<sup>CM</sup> Certification Examination Handbook for details.)



\* If none of the above applies, you are not eligible to apply for any of the four papers.

2. For degree holders, please attach copies of the transcript(s) or certificate(s) of **ALL** academic qualification(s) attained at degree level or above. For non-degree holders, please attach copy of the HKCEE certificate.

**NO** certified true copy is required. However, IFPHK reserves the right to exercise random audit on these submitted copies and may require candidates to present their original documents for verification.

3. **Certified true copies** (For Challenge Status candidates only)

Unless originals\* are submitted, all submitted copies of academic records or professional certificates must be certified true copies. 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<br>(iii) Registrar of local self-accredited universities<br>(v) Individuals with approved credentials** listed below: | (ii) HR department of current employer<br>(iv) Commissioners of Oaths of Government of HKSAR |
|--|--|

- |   |   |  |
|---|---|--|
| <ul style="list-style-type: none"> <li>• CERTIFIED FINANCIAL PLANNER<sup>CM</sup>, CFP<sup>CM</sup></li> <li>• Associate / Fellow of Association of Chartered Certified Accountants (ACCA/FCCA)</li> <li>• Associate / Fellow of Association of International Accountants (AAIA/FAIA)</li> <li>• Associate / Fellow of Chartered Institute of Management Accountants (ACMA/FCMA)</li> <li>• Certified General Accountant (CGA)</li> </ul> | <ul style="list-style-type: none"> <li>• Certified Management Accountant – Australia, Canada, US (CMA)</li> <li>• Chartered Accountant (CA) (Australia, Canada, England and Wales, Ireland, New Zealand, Scotland, South Africa, Zimbabwe)</li> <li>• Chartered Financial Analyst (CFA)</li> <li>• Chartered Financial Consultant (ChFC)</li> <li>• Chartered Life Underwriter (CLU)</li> <li>• Fellow of Australian and New Zealand Institute of Insurance and Finance (ANZIIF(Fellow))</li> </ul> | <ul style="list-style-type: none"> <li>• Fellow of Chartered Insurance Institute (FCII)</li> <li>• Fellow of the Society of Actuaries (FSA)</li> <li>• Members of Chartered Institute of Public Finance and Accountancy (CPFA)</li> <li>• Member of Hong Kong Bar Association</li> <li>• Member of Hong Kong Law Society</li> <li>• Member of Hong Kong Institute of Certified Public Accountants (FCPA/CPA)</li> <li>• Doctoral Degree in Business / Economics</li> </ul> |
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\* 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 II: Personal Particulars

1. Personal particulars

Please fill in all contact information and indicate your correspondence address by checking the box next to your office address or home address. If you do not indicate, all correspondence will be sent to your home address.

2. Industry code

Please choose the industry code that best describe the industry you are serving.

I 1	Retail Banking	I 6	Independent Financial Advisor	I 11	Account Practice
I 2	Private Banking	I 7	Fund House	I 12	Academia
I 3	Investment Banking	I 8	Asset Management	I 13	Real Estate Sector
I 4	Life Insurance	I 9	Securities Brokerage	I 14	Others
I 5	General Insurance	I 10	Legal Practice		

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## **Section III: Examination Paper Application**

1. Please make sure you have met the enrolment prerequisites before completing this section.
2. If you have been approved to take the 10-hour comprehensive CFP<sup>CM</sup> Certification Examination (June 2003 to December 2005 ONLY) before, you may apply for any of the four papers as Retake Candidate. Please indicate the month and year of the examination which you were approved to take.
3. You can apply for more than one paper subject to completion of prerequisite modules. The papers are graded separately and the result of one paper does not affect another.

## **Section IV: IFPHK Registered CFP<sup>CM</sup> Certification Education Program**

1. If you have successfully completed prerequisite modules of the CFP Education Program either through IFPHK Registered CFP<sup>CM</sup> Certification Education Program or Transcript Review, please fill out the details in the table.
2. You are required to attach copies of all transcript(s) or certificate(s), or approval letter(s) of transcript review for the corresponding module(s). NO certified true copy is required.

## **Section V: Challenge Status**

1. If you hold one of the pre-approved designations/degree and are in good standing, you will be qualified under the challenge status.
2. You must attach a certified true copy of the certificate of the qualifying designation/degree.

## **Section VI: Declaration**

Please read the Declaration carefully before you sign the application form and check the appropriate box in relation to disclosure of your examination result.

## **Section VII: Payment Details**

1. Examination fee is **non-transferable**.
2. No refund of any examination fee will be made for withdrawals.
3. Absence from the examination will result in a forfeiture of the entire examination fee.
4. You must meet the pre-requisite education requirements before submitting the examination application. An administration fee of HK\$300 per paper will be incurred for unqualified applications which do not fulfill the pre-requisite education requirements (5 passes in any subjects in HKCEE/degree holder and prerequisite education modules) for enrolling in any specific examination paper.
5. In case of medical or other emergencies, you may apply for a waiver of the examination fee forfeiture. If approval for deferral is granted, candidate will only be allowed to take the next available examination and will be charged an administration fee of HK\$500 per paper.
6. If you are a challenge status candidate, you will be charged a one time only assessment fee when you first apply to take the examination. The fee is non-refundable and non-transferable.

## **INTERNATIONAL RECIPROcity**

International reciprocity refers to the arrangement for candidates who hold a valid CFP certification from the Certified Financial Planner Board of Standards Inc. (CFP Board), or one of the affiliate members of the Financial Planning Standards Board Ltd. (FPSB). Such candidates, after completing an approved education program, are eligible to sit the Cross Border CFP<sup>CM</sup> Certification Examination which is a 4-hour examination. For details of the pre-requisite requirements, please refer to the Application Form for the Cross Border CFP<sup>CM</sup> Certification Examination available on IFPHK's website.

## **CHECKLIST FOR APPLICANTS**

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

## **ACKNOWLEDGEMENT OF RECEIPT**

For CFP<sup>CM</sup> Certification Examination Application Form submitted BY MAIL

The acknowledgement of receipt will be sent to you via e-mail to the e-mail address provided at "Section II: Personal Particulars" of this Examination Application Form. If e-mail address is not provided, there will be no acknowledgement sent.

For CFP<sup>CM</sup> Certification Examination Application Form submitted IN PERSON

A stamped acknowledgement of receipt will be provided.



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## Section III: Examination Paper Application

Please check the examination paper(s) you are applying for:



Exam Paper	Paper Title	New Candidate	Retake Candidate
1	Insurance and Retirement Planning	<input type="checkbox"/>	<input type="checkbox"/>
2	Tax and Estate Planning	<input type="checkbox"/>	<input type="checkbox"/>
3	Investment Planning	<input type="checkbox"/>	<input type="checkbox"/>
4	Financial Planning Practice	<input type="checkbox"/>	<input type="checkbox"/>

**Retake** (For Retake Candidates only)

I have applied and been approved for a previous CFP<sup>CM</sup> Certification Examination:

**Exam Date (mm/yyyy)**

10-hour Comprehensive Examination	(10-hour)	
Exam Paper 1 – Insurance and Retirement Planning	(P1)	
Exam Paper 2 – Tax and Estate Planning	(P2)	
Exam Paper 3 – Investment Planning	(P3)	
Exam Paper 4 – Financial Planning Practice	(P4)	

under the category of:     IFPHK Registered CFP<sup>CM</sup> Certification Education Program  
 Challenge Status  
 International Reciprocity

## Section IV: IFPHK Registered CFP<sup>CM</sup> Certification Education Program



Module	Course Title	IFPHK Registered CFP <sup>CM</sup> Certification Education Program		OR	Transcript Review/ FAIQ Conversion Course	
		Approved Education Provider	Date of Completion* (mm/yyyy)		Course Title/ Professional Qualification	Date of Approval (mm/yyyy)
M1	Foundation of Financial Planning	<input type="checkbox"/> HKU SPACE <input type="checkbox"/> CUHK APIB <input type="checkbox"/> OUHK LiPACE <input type="checkbox"/> CityU SCOPE <input type="checkbox"/> PolyU MEDC <input type="checkbox"/> LingnanU LIFE <input type="checkbox"/> HKBU SCE		OR		
M2	Insurance	<input type="checkbox"/> HKU SPACE <input type="checkbox"/> CUHK APIB <input type="checkbox"/> OUHK LiPACE <input type="checkbox"/> CityU SCOPE <input type="checkbox"/> PolyU MEDC <input type="checkbox"/> LingnanU LIFE <input type="checkbox"/> HKBU SCE		OR		
M3	Investments	<input type="checkbox"/> HKU SPACE <input type="checkbox"/> CUHK APIB <input type="checkbox"/> OUHK LiPACE <input type="checkbox"/> CityU SCOPE <input type="checkbox"/> PolyU MEDC <input type="checkbox"/> LingnanU LIFE <input type="checkbox"/> HKBU SCE		OR		
M4	Taxation and Tax Planning	<input type="checkbox"/> HKU SPACE <input type="checkbox"/> CUHK APIB <input type="checkbox"/> OUHK LiPACE <input type="checkbox"/> CityU SCOPE <input type="checkbox"/> PolyU MEDC <input type="checkbox"/> LingnanU LIFE <input type="checkbox"/> HKBU SCE		OR		
M5	Employee Benefits and Estate Planning	<input type="checkbox"/> HKU SPACE <input type="checkbox"/> CUHK APIB <input type="checkbox"/> OUHK LiPACE <input type="checkbox"/> CityU SCOPE <input type="checkbox"/> PolyU MEDC <input type="checkbox"/> LingnanU LIFE <input type="checkbox"/> HKBU SCE		OR		
M6	Advanced Financial Planning	<input type="checkbox"/> HKU SPACE <input type="checkbox"/> CUHK APIB <input type="checkbox"/> OUHK LiPACE <input type="checkbox"/> CityU SCOPE <input type="checkbox"/> PolyU MEDC <input type="checkbox"/> LingnanU LIFE <input type="checkbox"/> HKBU SCE		OR		

\* Date of examination

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## Section V: Challenge Status (For Challenge Status candidates only)



Credentials:  ACCA / FCCA  AAIA / FAIA  ACMA / FCMA  CGA  CMA  
 CA  CFA  CPA / FCPA  CPFA  FCII  FSA  Members of HKBA  
 Members of HKLS  Doctoral Degree (Business/ Economics)

## Section VI: Declaration

### Terms, Conditions and Cancellation

I have read and agree to the terms and conditions contained in "Important Notes", "Application Instructions" and "Application Details".

### Data Protection 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. use my personal data to compile statistics and analyse the results wholly for use within IFPHK,
  - d. disclose my personal data to Financial Planning Standards Board Ltd. (FPSB) and its affiliate members for statistical 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 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 IFPHK.
4. I agree that IFPHK may disclose my examination results to my employer (being the entity which I have an employment, agency or similar contractual obligation, and/or the holding company, subsidiary companies or associated members of such entity) [that is kept in the IFPHK record] upon their request.



Yes  No

**By my signature below, I declare that the statements made in this application and any attachments are accurate and true. I authorise the investigation of all statements made by me with respect to this application. I agree to be subject to any disciplinary rules of IFPHK for any misrepresentation in this application.**



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





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## CHECKLIST FOR APPLICANTS

Please note that applications not substantiated by the required supporting documents will not be processed. Before submitting your application, you should ensure that all documents are in order. The following checklist is to assist you in completing the application and preparing the supporting documents. Please check and put a tick "✓" in the appropriate boxes, and return this checklist with your application form.

### Items to be checked:

- You are applying to take the examination in **ENGLISH**.
- All information is filled out properly.
- Application form is signed and dated.
- Copies of transcripts or approval letter(s) of transcript review for prerequisite modules are attached.
- Copies of the transcript(s) or certificate(s) of **ALL** academic qualification(s) attained at degree level or above are attached. (For degree holders only)
- Copy of the HKCEE certificate with 5 passes in any subjects is attached. (For non-degree holders only)
- Certified true copy of designation/degree for challenge status is attached. (For Challenge Status candidates only)
- Payment form is completed. For payment by cheque, a crossed cheque made payable to "IFPHK Ltd." is attached. For payment by deposit slip, the deposit slip is attached.
- Sufficient postage has been paid for the postal packet / letter to IFPHK

## ACKNOWLEDGEMENT OF RECEIPT (CFP<sup>CM</sup> CERTIFICATION EXAMINATION APPLICATION – JUNE 2009)

### For CFP<sup>CM</sup> Certification Examination Application Form submitted BY MAIL

The acknowledgement of receipt will be sent to you via e-mail to the e-mail address provided at "Section II: Personal Particulars" of this Examination Application Form. If e-mail address is not provided, there will be no acknowledgement sent.

### For CFP<sup>CM</sup> Certification Examination Application Form submitted IN PERSON

Please fill in your full name below and a stamped acknowledgement of receipt will be provided.

To: \_\_\_\_\_ (Name)

For official use only

Date

An application result notice will be sent to applicants at least **FOUR WEEKS** before the date of the examination. If you have further queries, please contact us by email at [exam@ifphk.org](mailto:exam@ifphk.org).