

# IFPHK Candidacy Renewal Application Form For Year 2018

## IMPORTANT NOTES

1. IFPHK candidates are required to renew their candidacy annually. A candidacy year runs from 1 January to 31 December. **Deadline for submitting the complete renewal application for year 2018: 31 December 2017.**
2. Completed application form with appropriate annual fee must be received by IFPHK on or before the deadline on 31 December. If a candidate has failed to submit the renewal application by 31 December, a late fee of HK\$100 will be added to the regular annual fee for completed application submitted between 1 January and the last day of February in the following year. Annual fee and late fee are non-refundable and non-transferable.
3. Please note that the complete application 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: IFPHK Candidacy Renewal”**

4. All applications are subject to review and approval by IFPHK. IFPHK endeavours to notify the result of the application within six to eight weeks' time. If you have any concerns, issues or further queries regarding the IFPHK candidacy renewal application, please contact us at (852) 2982 7888 or by email: [cert@ifphk.org](mailto:cert@ifphk.org).

### Code Tables for Application Form Section One

#### Employer Code

*(Please choose the group that your current employer belongs to)*

<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

# IFPHK CANDIDACY RENEWAL APPLICATION FORM FOR YEAR 2018

For Official Use Only					
Date Received	Data Entry	Completed with all info	Payment	Evaluation	Approval
		<input type="checkbox"/> Yes <input type="checkbox"/> No	To F&A on: Confirmed on:		
Follow up/ Remarks:					

## SECTION ONE: PERSONAL PARTICULARS

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

### Profile



IFPHK Candidate No.	<b>CAN</b>
ID/Passport* No.	
Title	<input type="checkbox"/> Dr <input type="checkbox"/> Mr <input type="checkbox"/> Mrs <input type="checkbox"/> Ms <input type="checkbox"/> Miss
Name <i>(as printed on your ID card/Passport)</i>	(English)
	(Chinese)
Correspondence Address	
Telephone	(Mobile)
	(Office)
	(Home)
Fax	
Email Address	

### Details of Highest Level of Education Attained

Name of Education Institution
Qualification Attained (and Year of Award) ( )

### Employment Details

Current Employer		
Current Position		
Employer Code^: <b>C</b>	Industry Code^: <b>I</b>	Earnings in the Past Year^: <b>E</b>
Years of Financial Planning Work Experience _____ years		
Disclosure of certification status to Employer (Please refer to Point 3 of the Personal Data Agreement in Section Three: Declaration & Agreement)		

\* Please delete as appropriate.

^ Compulsory field to be filled in for statistical purpose. Please refer to the Code Tables under the "IMPORTANT NOTES".

## IFPHK CANDIDACY RENEWAL APPLICATION FORM FOR YEAR 2018



### **Licences 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)

### **CFP® Certification / AFP® Certification in China**

Do you have an active cross border CFP certification / AFP certification in China?
<input type="checkbox"/> Yes, my certification no. in China is: _____
<input type="checkbox"/> No

### **Professional Qualification** (Please tick as appropriate.)

<input type="checkbox"/> AHKIB	<input type="checkbox"/> ANZIIF	<input type="checkbox"/> CFA	<input type="checkbox"/> CFMP	<input type="checkbox"/> ChFC	<input type="checkbox"/> CLU
<input type="checkbox"/> CPA	<input type="checkbox"/> CWM	<input type="checkbox"/> FLMI	<input type="checkbox"/> FRM	<input type="checkbox"/> HKRFP	<input type="checkbox"/> LUTCF
<input type="checkbox"/> Others (please specify) :					

### **Preference** (Please select at most one option on each item.)

Renewal channel	<input type="checkbox"/> Online renewal	<input type="checkbox"/> Form renewal ( <i>default</i> )
Receiving publications	<input type="checkbox"/> Online publications ( <i>default</i> )	<input type="checkbox"/> Printed publications
Language of communication	<input type="checkbox"/> English ( <i>default</i> )	<input type="checkbox"/> Chinese
<p>IFPHK may use email, mail or SMS to offer members and let them know about the availability of examinations, education programs, memberships, conferences, events, research and products and services.</p> <p>Pursuant to the Personal Data (Privacy) Ordinance, if you do not want to receive these messages from the IFPHK, please "tick" here. <input type="checkbox"/></p>		

**SECTION TWO: AGREEMENT**

**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 status and the approval date of my Candidacy and the date of my ceasing to be a Candidate (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 Financial Planning Standards Board Ltd. (FPSB) 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 Candidacy 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.

**Application Statement**

I understand and agree to the above Personal Data Agreement. Also, I declare that the statements made in this application are true and complete. I authorize the investigation of all statements made by me with respect to this application. If I have been convicted of any offence other than a minor traffic or littering offence or have been expelled from a professional society or institute, I will provide additional relevant documents together with this form.

I agree to be bound by the provisions of the IFPHK's Memorandum and Article of Association and subject to IFPHK's Disciplinary Rules and Procedures as a result of complaints. I agree to abide by IFPHK's Code of Ethics and Professional Responsibility at all times in practice.



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

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

# IFPHK CANDIDACY RENEWAL APPLICATION FORM FOR YEAR 2018

## SECTION THREE : PROCESS AND PAYMENT DETAILS

**Annual candidacy fee for Year 2018: HK\$500**

For late application submitted between 1 January 2018 and 28 February 2018, a late fee of HK\$100 will be charged.



<b><u>Application submitted by</u></b> <b><u>31 DEC 2017</u></b>	<input type="checkbox"/>	<b><u>Application submitted between</u></b> <b><u>1 JAN 2018 and 28 FEB 2018</u></b>	<input type="checkbox"/>
Pay amount: <b>HK\$500</b>	<input type="checkbox"/>	Pay amount: <b>HK\$600</b>	<input type="checkbox"/>

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

Payment by credit card:  VISA  MasterCard

Card No.:        [ ] [ ] [ ] [ ] - [ ] [ ] [ ] [ ] - [ ] [ ] [ ] [ ] - [ ] [ ] [ ] [ ]

Card Expiry Date: [ ] [ ] / [ ] [ ] (MM / YY)

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

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

Remarks:

1. 5% candidacy fee will be contributed to IFPHK building fund.
2. IFPHK reserve the right to review the candidacy fee on an annual basis.

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IFPHK Candidate No.	Name of Candidate	Remarks
<b>CAN</b>		

**ACKNOWLEDGEMENT OF RECEIPT**

**For Renewal Application Form Submitted by Mail or by Courier**

The acknowledgement of receipt will be sent to you via email to the email address provided at **Section One: Personal Particulars** of this renewal form. If email address is not provided, there will be no acknowledgement sent.



**ACKNOWLEDGEMENT OF RECEIPT**

**For Renewal Application Form Submitted in Person**



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

We hereby acknowledge the receipt of your IFPHK Candidacy Renewal Application Form for Year 2018.

Please note that we will begin processing your application. You will be promptly notified of the results once your application has been approved.

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 IFPHK candidacy renewal application, please contact us by email at [cert@ifphk.org](mailto:cert@ifphk.org).

Thank you for your continual support to IFPHK.

Please fill out this questionnaire to help us better understand your needs. The questionnaire may be returned together with the renewal application.

請填妥這份問卷，讓我們更瞭解您的需要。您可把問卷連同續期申請表格一併提交。

**Part I 第一部分**

1. Please evaluate how often the following skills are used in your practice of financial planning.

(1 = rarely, 5 = all the time)

請評估您在從事財務策劃工作中是否經常使用下列技能。(1 = 極少, 5 = 經常)

	1	2	3	4	5
Collect information to determine the client's goals and objectives 收集資料來釐定客戶的目標及目的	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
Understand the client's needs in various financial planning areas 了解客戶在各財務策劃範疇的需要	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
Apply professional knowledge to evaluate the client's status 應用專業知識來評估客戶的狀況	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
Synthesize information to write a financial plan 綜合資料來編寫理財計劃	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
Prioritize financial planning strategies to achieve client's different goals 按優先次序排列財務策劃策略以達成客戶的各項目標	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
Review the progress towards achievement of objectives 覆核達成目標的進度	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>

**PART II 第二部分**

2. What other professional qualifications or designations do you want to pursue? (may choose more than one)

您想獲取哪些其他專業資歷或資格? (可選超過一項)

- Mainland China financial planning qualifications 中國內地財務策劃專業資格
- CFA or similar professional qualifications 特許金融分析師(CFA)或類似專業資格
- FRM or similar professional qualifications 金融風險管理師(FRM)或類似專業資格
- CPA, ACCA or similar professional qualifications  
註冊會計師(CPA)、特許公認會計師(ACCA)或類似專業資格
- Retirement planning professional qualifications 退休策劃專業資格  
Please specify 請註明: \_\_\_\_\_
- Insurance planning professional qualifications 保險策劃專業資格  
Please specify 請註明: \_\_\_\_\_
- Legal professional qualifications 法律專業資格

3. In the past year, have you attended any in-house training (organized by your company or business partners) or public training classes at IFPHK, that is provided by IFPHK?

在過去一年裏，您有否參與過由香港財務策劃師學會提供的機構培訓(由僱主或商業伙伴安排)或在本學會上課的公開培訓課程?

- Once (Please skip Q.4) 一次(請略過第4條)
- More than once (Please skip Q.4) 超過一次(請略過第4條)
- Never (Please answer the next question) 從來沒有(請回答下一條)

4. Why have you never trained with IFPHK?

為何您從沒報讀香港財務策劃師學會提供的培訓課程?

- Topics are not relevant to my work 課題與我的工作不太相關
- Topics are not interesting 課題不太吸引
- Program fee is quite expensive 課程費用較昂貴
- Prefer to train at other training organizations 傾向報讀其他培訓機構的課程
- In-house training is enough to satisfy annual requirements 機構培訓足夠解決每年需要

5. What are your major goals of joining the IFPHK candidacy program? (may choose at most two answers)  
您成為學會候證人的主要目標是什麼？(最多可選兩項)

- To obtain the CFP certification 取得 CFP 資格認證
- To obtain the AFP certification 取得 AFP 資格認證
- To enjoy member rates for IFPHK events / courses 以會員價參與學會活動/課程
- To receive updated information of the financial planning industry 收取財務策劃業的最新資訊
- To enhance networking opportunities with other practitioners 擴展與其他從業員間的人際網絡
- Others, please specify 其他，請註明：\_\_\_\_\_

6. Regarding your own progress towards AFP certification / CFP certification, has it been significantly prolonged by the following matters? (may choose more than one)

在您考取 AFP 資格認證/CFP 資格認證的過程中，您的進度曾經因下列事情而大幅延誤嗎？(可選超過一項)

- No delay in progress 進度沒有延誤
- Availability of AFP Certification Education Program / CFP Certification Education Program  
AFP 資格認證教育課程/CFP 資格認證教育課程的開辦情況
- Frequency of CFP Certification Examination CFP 資格認證考試的舉辦次數
- Arranging time to attend AFP Certification Education Program / CFP Certification Education Program  
安排時間參加 AFP 資格認證教育課程/CFP 資格認證教育課程
- Not enough time to prepare for CFP Certification Examination 不足夠時間預備 CFP 資格認證考試
- Not registering for CFP Certification Examination because of lack of confidence in passing it  
沒有信心合格，因而不報考 CFP 資格認證考試
- Cannot pass the CFP Certification Examination. 未能通過 CFP 資格認證考試
- Not having sufficient work experience for AFP certification / CFP certification  
沒有足夠工作經驗以申請 AFP 資格認證/CFP 資格認證
- Others, please specify 其他，請註明：\_\_\_\_\_

7. In your plan or progress towards obtaining the AFP Certification / CFP Certification, how many CFP Certification Examinations have you taken or are you planning to take in a year?

因應您的進度或考取 AFP 資格認證/CFP 資格認證的計劃，您曾經或預計一年內參與多少次考試？

- Have not taken / Have no plan to take any examination 不曾參與/沒有計劃參與任何考試
- Once a year 一年一次
- Twice a year 一年兩次
- Three to four times a year 一年三至四次

8. If you have not taken any AFP Certification Education Program, CFP Certification Education Program or CFP Certification Examination in the past year, please provide us with the reason.

如您在過去一年內沒有參加任何 AFP 資格認證教育課程、CFP 資格認證教育課程或 CFP 資格認證考試，請說明原因。

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9. Does your employer subsidize the employees in obtaining the CFP Certification?  
在獲取 CFP 資格認證的不同階段中，您的僱主有沒有向員工提供資助？

AFP Certification Education Program / CFP Certification Education Program fee AFP 資格認證教育課程/CFP 資格認證教育課程的學費	<input type="checkbox"/> Yes 有	<input type="checkbox"/> No 沒有
CFP Certification Examination fee CFP 資格認證考試的考試費	<input type="checkbox"/> Yes 有	<input type="checkbox"/> No 沒有
IFPHK Candidacy fee IFPHK 候證人年費	<input type="checkbox"/> Yes 有	<input type="checkbox"/> No 沒有
Annual fee for AFP Certification / CFP Certification AFP 資格認證/CFP 資格認證的年費	<input type="checkbox"/> Yes 有	<input type="checkbox"/> No 沒有

**PART III 第三部分** Personal Particulars (Optional) 個人資料 (可選擇不填寫)

Name 姓名 : \_\_\_\_\_ ( \_\_\_\_\_ )  
Candidacy No. 候證人編號

Signature 簽署 : \_\_\_\_\_ Date 日期 : \_\_\_\_\_

This is the end of the survey, thank you very much for providing your views to us.  
多謝您完成問卷調查及提供您的寶貴意見。