



Membership No.: AG
 Date Joined: _____

Associate (Graduate) Membership Renewal Application Form

IMPORTANT NOTES

1. Associate (Graduate) members are required to renew their membership annually. To renew their membership, Associate (Graduate) members must maintain technical competence and fulfill ethical obligations. They must complete a minimum of 15 credits of continuing education (CE) every year. Members who were granted the membership after 1 July 2009 may complete a minimum of 7.5 CE credits to meet the renewal requirement for the first year (not applicable to new member upgraded from Associate Personal Financial Planner (APFP)).
2. In addition to the annual continuing education requirement, all Associate (Graduate) members voluntarily disclose any public, civil, criminal or disciplinary actions that may have been taken against them during the previous year as part of the renewal process.
3. The one year membership period is by calendar year, from 1 January to 31 December. **Deadline for submitting the complete renewal application for year 2010: 31 December 2009.**
4. Completed application form with appropriate annual fee must be received by IFPHK on or before the deadline on 31 December. If an Associate (Graduate) member 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.
5. If a complete application is not received by the end of February in the following year, the Associate (Graduate) member will be considered as not having satisfied the renewal requirements and the membership will automatically be suspended. The list of "temporarily suspended Associate (Graduate) members" will be posted on IFPHK's website and published in our official publication for public's information. IFPHK may take any other actions it deems appropriate.
6. 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
 Unit 2601, 26th Floor, Bank of East Asia Harbour View Centre
 56 Gloucester Road, Wanchai, Hong Kong**

"Re: Associate (Graduate) Membership Renewal"

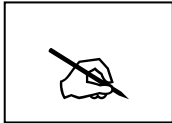
7. All applications are subject to review and approval by IFPHK. IFPHK endeavours to notify the result of the application within six to eight weeks' time. If you have any concerns, issues or further queries regarding the Associate (Graduate) membership renewal application, please contact us at 2982 7888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

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

ASSOCIATE (GRADUATE) MEMBERSHIP RENEWAL APPLICATION FORM FOR YEAR 2010

SECTION ONE: PERSONAL PROFILE

Remarks: No verbal request for changes over the phone will be accepted.



Membership No.: AG

Title: * Dr/Mr/Mrs/Ms/Miss **Name:** _____ (Eng) _____ (Chinese)
(as printed on your ID card/passport)

HKID/ Passport* No.: _____

Professional Qualification: CFA / CGA / CMA / ChFC / CLU / ANZIIF / FCII / FSA /
 FCPA / CPA / Doctoral Degree / Others* _____

Email Address: _____
(for sending acknowledgement of receipt if applicable)

* circle where appropriate

Contact Details

Correspondence Address: _____

Tel: _____ (Mobile) _____ (Office) _____ (Home)

Fax: _____ **Email Address:** _____
(if different from above)

Details of Highest Level of Education Attained

Name of Education Institution: _____

Qualification Attained: _____

Currently Held Statutory Licences

SFC	
<input type="checkbox"/> Type 1 Dealing in Securities	<input type="checkbox"/> Type 6 Advising on Corporate Finance
<input type="checkbox"/> Type 2 Dealing in Futures Contracts	<input type="checkbox"/> Type 7 Providing Automated Trading Services
<input type="checkbox"/> Type 3 Leveraged Foreign Exchange Trading	<input type="checkbox"/> Type 8 Securities Margin Financing
<input type="checkbox"/> Type 4 Advising on Securities	<input type="checkbox"/> Type 9 Asset Management
<input type="checkbox"/> Type 5 Advising on Futures Contracts	
IA	
<input type="checkbox"/> Individual Agent	<input type="checkbox"/> Technical Representative of Insurance Agent
<input type="checkbox"/> Responsible Officer of Insurance Agency	
Others	
<input type="checkbox"/> MPF Intermediaries	<input type="checkbox"/> CIB
<input type="checkbox"/> PIBA	

ASSOCIATE (GRADUATE) MEMBERSHIP RENEWAL APPLICATION FORM FOR YEAR 2010

Employment Details



Current Employer: _____

Current Position: _____

#Industry of Employment: _____ **I**
 (Please refer to the Industry Code below and choose the one that best describes the industry you are serving)

Years of Financial Planning Work Experience: _____

Earnings in the Past Year (Please refer to the Earnings Code below): _____ **E**

#Compulsory field to be filled in for statistical purpose

Industry Code:

I 1 Retail Banking	I 6 Independent Financial Advisor	I 11 Accounting 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	

Earnings Code:

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

Preference



1. 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)

2. To help save the environment, will you consider receiving the online version of the IFPHK journal / newsletter?

- Yes (IFPHK will send you an email alert for downloading the latest copy of the IFPHK journal / newsletter)
 No (IFPHK will send you the printed version of the IFPHK journal / newsletter)

3. If you do not want to receive any promotional emails from IFPHK, please "tick" here.

4. 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*:

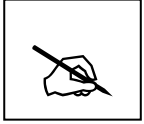
- English
 Chinese

* Note: 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.

ASSOCIATE (GRADUATE) MEMBERSHIP RENEWAL APPLICATION FORM FOR YEAR 2010

SECTION TWO: CONTINUING EDUCATION DECLARATION

This is to declare that I understand the CE requirement and obligations of an Associate (Graduate) member as specified by IFPHK; and that I have met the CE requirement and obligations for 2010 membership renewal.



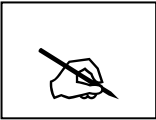
Signature: _____ Date: _____

NOTES:

1. Associate (Graduate) members are required to maintain attendance records and supporting documentary evidence of CE activities for a period of up to 3 years.
2. All filings and records of CE activities are subject to audit by IFPHK where Associate (Graduate) members will be required to provide all attendance records and supporting documentary evidence upon request. Failure to provide the evidence may lead to disciplinary action including but not limited to the relinquishment of the Associate (Graduate) membership.
3. Please do not submit any CE attendance records and supporting documentary evidence with this application form unless specifically requested to do so.
4. For those Associate (Graduate) members who have not signed the Continuing Education Declaration, or have not acquired enough CE credits, are both considered non-compliance with the renewal requirements. Their Associate (Graduate) membership will be suspended until they have successfully renewed their membership.
5. Associate (Graduate) members who cannot comply with the renewal requirements for health reasons or other circumstances beyond their control can submit a written request to IFPHK for consideration. Such requests must include an explanatory letter and all applicable supporting documentation. These exception cases will be considered by the Executive Committee on a case-by-case basis.

SECTION THREE: ETHICS DECLARATION

Period of Declaration: 1 January 2009 to date of application for renewal

- | | Yes | No |
|---|--------------------------|--------------------------|
|  1. In the period of declaration, have you been convicted of an offence involving a criminal charge? | <input type="checkbox"/> | <input type="checkbox"/> |
| 2. In the period of declaration, have you been bankrupt, whether declared or not? | <input type="checkbox"/> | <input type="checkbox"/> |
| 3. In the period of declaration, have you been refused membership of a statutory body or other professional body in respect of your professional capacity? | <input type="checkbox"/> | <input type="checkbox"/> |
| 4. In the period of declaration, have you been refused professional indemnity insurance? | <input type="checkbox"/> | <input type="checkbox"/> |
| 5. In the period of declaration, have you been subject to disciplinary proceedings or expelled by a statutory body or other professional body in respect of your professional capacity? | <input type="checkbox"/> | <input type="checkbox"/> |
| 6. Are you aware of any other matters that may impact on IFPHK's consideration of your application? | <input type="checkbox"/> | <input type="checkbox"/> |

Note: If you have answered YES to any of the above questions, please provide more details by attaching all relevant documents relating to the matters at issue.

Terms and Conditions of Associate (Graduate) Membership Renewal

I have read and agree to be bound by IFPHK's *Memorandum and Article of Association* and the Regulations of the Associate (Graduate) membership, as updated from time to time, together with the various documents referenced therein, including IFPHK's *Disciplinary Rules and Procedures* and IFPHK's *Code of Ethics and Professional Responsibility* at all times in practice.

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. disclose my membership status, date of award of membership, professional standing and history of disciplinary actions as an Associate (Graduate) member and the date of my ceasing to be an Associate (Graduate) member (if applicable) to the public,
 - 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.
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.

ASSOCIATE (GRADUATE) MEMBERSHIP RENEWAL APPLICATION FORM FOR YEAR 2010

3. I agree that IFPHK may disclose my Associate (Graduate) membership 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 following address:

Institute of Financial Planners of Hong Kong
Unit 2601, 26th Floor, Bank of East Asia Harbour View Centre
56 Gloucester Road, Wanchai, Hong Kong

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: _____

SECTION FOUR: PROCESS AND PAYMENT DETAILS

Annual membership fee for Year 2010: HK\$720 (in which, 15% will be contributed to IFPHK capital fund)

For late application submitted between 1 January 2010 and 28 February 2010, a late fee of HK\$100 will be charged.

<p>Renewal application submitted by 31/12/2009</p> <p>Pay amount: HK\$720 <input type="checkbox"/></p>	<p>Renewal application submitted between 1/1/2010 and 28/2/2010</p> <p>Pay amount: HK\$820 <input type="checkbox"/></p>
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Payment by cheque to: "IFPHK Ltd." (Bank: _____ Cheque No.: _____)

Payment by credit card: VISA MasterCard

Card No.: -

Card Expiry Date: /

Cardholder's Name: _____

Cardholder's Signature: _____ Date: _____

For Official Use Only		
Membership No.	Name of Associate (Graduate) Member	Remarks
AG		

ACKNOWLEDGEMENT OF RECEIPT

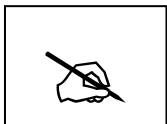
For Renewal Application Form Submitted by Mail or by Courier

The acknowledgement of receipt will be sent to you via email to the email address provided at Section One: Personal Profile 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 Associate (Graduate) Membership Renewal Application Form for Year 2010.

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 Associate (Graduate) Membership renewal application, please contact us by email at cert@ifphk.org.

Thank you for your continual support of the Associate (Graduate) Membership.

Institute of Financial Planners of Hong Kong

Date