



Report on Public Disciplinary Action (Last updated on 17 June 2017)

公開紀律處分報告（最後更新日期：2017年6月17日）

Certificant/ Member number 持證人/會員編號	Category 類別	Disciplinary Action 紀律行動	Reason for the Disciplinary Action 採取紀律行動的原因
CFPHK05761	CFP ^{CM} Certificant CFP ^{CM} 持證人	A suspension on the CFP certificant's right to use the CFP marks for a two(2) month period from 18 June 2017 to 17 August 2017, (both dates inclusive) and complete continuous education of three (3) additional CPT hours on professional ethics and compliance requirement before the end of the above suspension period. 暫停該名 CFP 持證人使用 CFP 認證標誌的權利兩個月，由 2017 年 6 月 18 日起至 2017 年 8 月 17 日止及在上述暫停使用 CFP 認證標誌的權利期結束前，完成額外三(3)個小時有關職業道德和合規要求的持續進修課程。	Violation of provision 19 of Part II of IFPHK Code of Ethics and Professional Responsibility 違反香港財務策劃師學會《專業操守及責任》乙部第 19 條
CFPHK01140	CFP ^{CM} Certificant CFP ^{CM} 持證人	A suspension on the CFP certificant's right to use the CFP marks for a four(4) year period from 17 December 2015 to 16 December 2019. (both dates inclusive) 暫停該名 CFP 持證人使用 CFP 認證標誌的權利五年，由 2015 年 12 月 17 日起至 2019 年 12 月 16 日止	Violation of provision 19 and 27 of Part II of IFPHK Code of Ethics and Professional Responsibility 違反香港財務策劃師學會《專業操守及責任》乙部第 19 及 27 條
CFPHK01808	CFP ^{CM} Certificant CFP ^{CM} 持證人	A suspension on the CFP certificant's right to use the CFP marks for a five(5) year period from 4 November 2015 to 3 November 2020. (both dates inclusive) 暫停該名 CFP 持證人使用 CFP 認證標誌的權利五年，由 2015 年 11 月 4 日起至 2020 年 11 月 3 日止	Violation of provision 19 and 23 of Part II of IFPHK Code of Ethics and Professional Responsibility 違反香港財務策劃師學會《專業操守及責任》乙部第 19 及 23 條



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CFPHK04802	CFP ^{CM} Certificant CFP ^{CM} 持證人	A suspension on the CFP certificant's right to use the CFP marks for a three(3) year period from 1 January 2014 to 31 December 2016 (both dates inclusive) 暫停該名 CFP 持證人使用 CFP 認證標誌的權利三年，由 2014 年 1 月 1 日起至 2016 年 12 月 31 日止	Violation of provision 19 and 23 of Part II of IFPHK Code of Ethics and Professional Responsibility 違反香港財務策劃師學會《專業操守及責任》乙部第 19 及 23 條