



## QRA Holder Renewal Application Form For Year 2019

### IMPORTANT NOTES

1. QRA holders are required to renew their membership annually in order to continue using the QRA marks. To renew their membership, QRA holders must maintain technical competence and fulfill ethical obligations. They must complete a minimum of 5 credits of continuing education (CE) on retirement related topics every year (3 of which must be obtained from IFPHK designated CE courses). QRA holders who received their membership after 1 July 2018 may complete a minimum of 2.5 CE credits to meet the renewal requirement for the first year (1.5 of which must be obtained from IFPHK designated CE courses).
2. In addition to the annual continuing education requirement, all QRA holders 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 2019: 31 December 2018.**
4. Completed application form with appropriate annual fee must be received by IFPHK on or before the deadline on 31 December. If a QRA holder 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.
5. If a complete application is not received by the end of February in the following year, the QRA holder will be considered as not having satisfied the renewal requirements and the membership will automatically be suspended. The list of "temporarily suspended QRA holders" 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  
13/F, Causeway Bay Plaza 2,  
463 – 483 Lockhart Road, Hong Kong  
“Re: QRA 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 QRA membership renewal application, please contact us at (852) 2982 7888 or by email: [membership@ifphk.org](mailto:membership@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 Ltd
<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

# QRA HOLDER RENEWAL APPLICATION FORM FOR YEAR 2019

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:					

## 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

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

### Details of Highest Level of Education Attained

<b>Name of Education Institution</b>
<b>Qualification Attained (and Year of Award)</b> (    )

### Employment Details

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

\* Please delete as appropriate.

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

## QRA HOLDER RENEWAL APPLICATION FORM FOR YEAR 2019



### **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

### **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
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. 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"/>		

# QRA HOLDER RENEWAL APPLICATION FORM FOR YEAR 2019

## SECTION TWO: MARK USAGE & CONTINUING EDUCATION DECLARATION

This is to declare that

- a) I have read and agree to follow the *Guideline on Use of the QRA Marks* which is available on IFPHK website;
- b) I understand the continuing education (CE) requirements and obligations of a QRA Holder as specified by IFPHK; and
- c) I have obtained 3 hours of CE credits in year 2018 by attending the following IFPHK designated CE course or conference:



- Course: "Use of Annuity in Retirement Planning"
- IFPHK Financial Planning Conference 2018

and that I have met the obligations of the proper usage of the QRA marks and CE requirement for 2019 membership renewal.



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

**NOTES:**

1. QRA holders have to strictly follow the *Guideline on Use of the QRA Marks* in featuring the QRA marks in printed and online communications including business cards, letterhead, advertising, personal promotional literature, signage and websites.
2. QRA holders are required to maintain attendance records and supporting documentary evidence of CE programs for a period of up to 3 years.
3. All filings and records of CE programs are subject to audit by IFPHK where 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 QRA membership.
4. Please do not submit any CE attendance records and supporting documentary evidence with this application form unless specifically requested to do so.
5. QRA holders who have not signed the Mark Usage & Continuing Education Declaration or have not acquired enough CE credits are considered non-compliance with the renewal requirements. Their membership and rights to use the QRA marks will be suspended until they have successfully renewed their membership.
6. QRA holders 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 Assessment and Compliance Committee on a case-by-case basis.

## SECTION THREE: DECLARATION & AGREEMENT



Period of Declaration: 1 January 2018 to date of application for renewal

	Yes	No
1. Have you ever been convicted of any offence other than a minor traffic or littering offence in Hong Kong or elsewhere? 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? 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? If "yes", please specify: _____	<input type="checkbox"/>	<input type="checkbox"/>
4. Have you ever been refused professional indemnity insurance in Hong Kong or elsewhere? 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? 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? 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. A QRA Holder has the obligation to cooperate fully in IFPHK investigation (if any) in relation to his / her declaration above.

# QRA HOLDER RENEWAL APPLICATION FORM FOR YEAR 2019

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## 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 QRA holder's status, date of award, professional standing and history of disciplinary actions as a QRA holder and the date of my ceasing to be a QRA holder (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.
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 QRA holder's 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 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 registration. 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 understand that the rights to use the QRA marks are granted by IFPHK to me personally. I agree that my QRA holder status is limited to a fixed period of time. At the end of the period, if my membership is not renewed, I agree that my QRA holder status expires immediately and my right to use the QRA marks will terminate. I further agree that if I do not comply with the QRA renewal requirements, I shall cease the use of the QRA marks immediately. I agree that the IFPHK may relinquish any rights I have in the use of the QRA marks if I fail to maintain my QRA holder status.

I agree to be bound by the provisions of the IFPHK's Memorandum and Article of Association as an Associate Member and acknowledge that the Board of Directors of the IFPHK may terminate a person's IFPHK membership if it considers the person not fit to be a member, such as but not limited to where the person has been convicted of a criminal offence, is adjudicated bankrupt, is mentally incapacitated, or if the person's opinion or conduct is injurious to the interest or character of the IFPHK.



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

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

**QRA HOLDER RENEWAL APPLICATION FORM FOR YEAR 2019**

**SECTION FOUR: PROCESS AND PAYMENT DETAILS**

**Annual membership fee for Year 2019: HK\$1,100** (in which, 5% will be contributed to IFPHK building fund)

For late application submitted between 1 January 2019 and 28 February 2019, a late fee of HK\$100 will be charged.



<p><b><u>Application submitted by 31 DEC 2018</u></b></p> <p>Pay amount: <b>HK\$1,100</b> <input type="checkbox"/></p>	<p><b><u>Application submitted between 1 JAN 2019 and 28 FEB 2019</u></b></p> <p>Pay amount: <b>HK\$1,200</b> <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: [ ] [ ] / [ ] [ ] (MM / YY)

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

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

For Official Use Only		
QRA Holder No.	Name of QRA Holder	Remarks
QRA		

**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 QRA Holder Renewal Application Form for Year 2019.

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 QRA membership renewal application, please contact us by email at [membership@ifphk.org](mailto:membership@ifphk.org).

Thank you for your continual support to IFPHK.

\_\_\_\_\_  
Institute of Financial Planners of Hong Kong

\_\_\_\_\_  
Date