



  
Candidacy

# APPLICATION FORM

(For New Applicants)



香港財務策劃師學會  
INSTITUTE OF FINANCIAL PLANNERS OF HONG KONG

13/F, Causeway Bay Plaza 2, 463-483 Lockhart Road, Hong Kong 香港銅鑼灣駱克道463-483號銅鑼灣廣場二期13樓  
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# Candidacy Registration Application Form

## IMPORTANT NOTES

1. IFPHK offers concessionary fee arrangements for Hong Kong students who are taking up a face-to-face, full-time undergraduate degree program at one of the Hong Kong degree-awarding higher education institutions. To apply, relevant students should complete the "Application for Concessionary Fee Arrangements for Candidacy under "Fast-track to CFP Certification" - List A" form and submit it together with the Candidacy Registration Application Form. (please go to <http://www.ifphk.org/pdf/Candidacy/ListAConcessionaryFeeForm.pdf> for the Form)
2. Under the 2011 new certification structure, it is compulsory for all individuals to maintain a valid candidacy status with IFPHK before they are eligible to proceed with the AFP<sup>®</sup> certification or CFP<sup>®</sup> certification.
3. To ensure the applications can be handled in a timely manner, individuals are highly encouraged making use of **IFPHK online platform** to register their Candidacy with IFPHK.
4. Individuals who wish to apply for candidacy otherwise can submit their completed applications to IFPHK office in person or by mail. Incomplete applications and applications by fax will not be accepted.

Operations Department  
Institute of Financial Planners of Hong Kong  
13<sup>th</sup> Floor, Causeway Bay Plaza 2  
463 – 483 Lockhart Road, Hong Kong  
"Re: IFPHK Candidacy Registration Application"

5. All documents (e.g. certificate) submitted are subject to review by random audit. IFPHK reserves the right to reject the candidacy registration, AFP<sup>®</sup> Certification and CFP<sup>®</sup> Certification if the individual selected for random audit fails to provide sufficient documents to fulfill the requirement of random audit.
6. All applications are subject to review and approval by IFPHK. IFPHK may in its absolute discretion refuse to approve any application.
7. Candidacy benefits will not start until full payment is received. The application result will be sent to the email address provided in around 6-8 weeks.
8. All application fees and "Fast-track to CFP Certification" assessment fees are non-refundable and non transferrable regardless of whether the application is successful.
9. A candidacy year runs from 1 January until 31 December. If a candidacy application is first approved after 1 July, IFPHK may grant half-year candidacy for the initial year.
10. Candidacy fees are reviewed and/or revised annually. Candidates will be notified of any changes.
11. IFPHK reserves the right to terminate candidacy benefits if a renewal payment is not received by the start of the candidacy year. There are no refunds or reimbursements for services that have not been utilised during the candidacy term.
12. If Candidacy lapses upon renewal, candidates are requested to apply for reinstatement which is subject to a reinstatement fee of HK\$300 per year and the relevant annual fee.
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 application process.
14. Information submitted will be processed according to the Personal Data (Privacy) Ordinance.
15. Application sent to us with insufficient postage or packaging will NOT reach IFPHK. Applicants are advised to ensure sufficient postage and have their return address printed on envelopes.
16. If you have any concerns, issues or further queries regarding the Candidacy Registration application, please contact us by email at [cert@ifphk.org](mailto:cert@ifphk.org).

# Candidacy Registration Application Form

## APPLICATION FORM

For official use only					
Name			Ref No		
Date Received	Data entry	Completed with all info <input type="checkbox"/> Yes <input type="checkbox"/> No	Payment	Evaluation	Final Approval

**SECTION (I): Fast-track to CFP Certification** (please tick where appropriate)



<b>Applying for "Fast-track to CFP Certification"?<sup>1</sup></b>					
<input type="checkbox"/> Yes	List:	<input type="checkbox"/> List A	<input type="checkbox"/> List B	<input type="checkbox"/> List C	<input type="checkbox"/> List D
Relevant academic/professional qualification: _____					
<input type="checkbox"/> No					

<sup>1</sup> Applicants with certain academic or professional credentials may apply for "Fast-track to CFP Certification". If approved, they will be eligible to directly enroll in / be exempted from the CFP Certification Education Program and/or CFP Certification Examination. For details, please refer to APPENDIX.

Non "Fast-track to CFP Certification" applicants should start with AFP Certification Education Program.

**SECTION (II): Personal Particulars**



<b>ID Card/Passport No.</b> <small>(as printed on ID card/passport)</small>	<b>Issuing Country/Jurisdiction</b>
<b>Title</b> <input type="checkbox"/> Dr <input type="checkbox"/> Mr <input type="checkbox"/> Ms <input type="checkbox"/> Mrs <input type="checkbox"/> Miss	<b>Chinese Name</b> <small>(if applicable &amp; as printed on ID card/passport)</small>
<b>Surname</b> <small>(as printed on ID card/passport)</small>	<b>Given Name</b> <small>(as printed on ID card/passport)</small>
<b>Date of Birth</b> <small>(DD/MM/YYYY)</small>	<b>Phone Number</b> <small>(Mobile) (Office) (Home)</small>
<b>Correspondence Address</b>	
<b>Email Address<sup>2</sup></b>	

<sup>2</sup> The email address will be used as the login name for members' area under IFPHK website. Acknowledgement of receipt and other regular communication from IFPHK will be sent to the same email address.

**SECTION (III): Academic Qualification** (please tick where appropriate)



<b>Highest Academic Qualification</b>	
<input type="checkbox"/> Doctoral Degree	<input type="checkbox"/> Tertiary Education
<input type="checkbox"/> Master Degree	<input type="checkbox"/> Secondary or below
<input type="checkbox"/> Bachelor Degree	
<b>Major in</b>	<b>Name of College / University</b>

# Candidacy Registration Application Form

## SECTION (IV): Employment Detail



Current Employer		Employer Code <sup>3</sup> C
Current Position		Industry Code <sup>3</sup> I
Years in Financial Planning Industry	Current Earnings <sup>3</sup> E	

<sup>3</sup> Please refer to the APPENDIX for the tables of Employer Code, Industry Code and Earnings Code.

## SECTION (V): Licences Issued by Regulators/Authorized Bodies 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"/> Insurance Authority (IA)
MPF	<input type="checkbox"/> Mandatory Provident Fund Schemes Authority (MPFA)

## SECTION (VI): CFP® Certification in China & Preference



### CFP® Certification in China:

Do you have an active cross border CFP certification in China?

- Yes, my certification no. in China is: \_\_\_\_\_  
 No

### Preference:

1. Do you prefer to receive online publications rather than printed publications from IFPHK?

- Yes  
 No

2. 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

3. IFPHK will use email, mail or SMS to offer you and let you know about the availability of products and services relating to examinations, education programs, memberships, conferences, events and research. If you do not want to receive these messages, please "tick" here.

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.

# Candidacy Registration Application Form

## SECTION (VII) Payment Details (please tick where appropriate)



Payment enclosed:	(Please check the appropriate box and fill in the appropriate amount in the corresponding column)	
	<input type="checkbox"/> Non "Fast-track to CFP Certification"	<input type="checkbox"/> "Fast-track to CFP Certification"
<input checked="" type="checkbox"/> First Time Application Fee HK\$300	\$ 300	\$ 300
<input checked="" type="checkbox"/> Annual Candidacy Fee <sup>4</sup> • HK\$500 (application submitted between January and June) • HK\$250 (application submitted between July and December)	\$ _____	\$ _____
<input type="checkbox"/> "Fast-track to CFP Certification" Assessment Fee HK\$1,000	\$ N/A	\$ 1,000
<input type="checkbox"/> Textbook Fees (Optional) (English version)		
<input type="checkbox"/> Fundamentals of Risk and Insurance	\$280	
<input type="checkbox"/> Employee Benefits & Estate Planning	\$270	
<input type="checkbox"/> Advanced Financial Planning - Case Analysis and Suggested Approach	\$210	
(Chinese version)		
<input type="checkbox"/> 財務策劃概論	\$300	
<input type="checkbox"/> 風險與保險概論	\$330	
<input type="checkbox"/> 僱員福利與遺產安排	\$320	
	\$ _____	\$ _____
<input type="checkbox"/> Postage for Textbooks <sup>5</sup> (Optional)		
<input type="checkbox"/> HK\$50 per copy (post to Hong Kong) X _____ copies	\$ _____	\$ _____
<input type="checkbox"/> HK\$150 per copy (post to Macau) X _____ copies		
<b>TOTAL</b>	\$ _____	\$ _____

<sup>4</sup> 5% of the annual candidacy fee will be contributed to IFPHK building fund.

<sup>5</sup> Applicants may collect the textbooks at IFPHK Office or request delivery service. IFPHK will send textbook collection notification email to purchaser. The textbook(s) is/are valid for collection at IFPHK office within 3 months from the date of email. IFPHK is not responsible for the custody of uncollected textbook(s) beyond the collection period. Those who request delivery service can check the box next to "Postage for Textbooks" and fill in the appropriate amount (HK\$50 per copy / HK\$150 per copy for delivery to Hong Kong / Macau address).



<input type="checkbox"/>	<b>Cheque</b> <sup>6</sup> Cheque No. _____ Drawn on (Bank): _____
<input type="checkbox"/>	<b>Bank Transfer / Deposit</b> <sup>7</sup>
Account Information	
Bank	: The Hong Kong and Shanghai Banking Corporation (HSBC)
Bank Code	: 004
Account No.	: 002-8-414118
Account Name	: The Institute of Financial Planners of Hong Kong Limited

<sup>6</sup> Cheques should be made payable to "IFPHK Ltd."

<sup>7</sup> Please attach a copy of the transfer / bank-in slip with this application form

For official use only		
Name of applicant	Ref No.	Remarks

# Candidacy Registration Application Form

## SECTION (VIII): Agreement and Declaration (please tick where appropriate)

### 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 date of approved 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. and its affiliate members for statistical purpose or certification/cross-border certification 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.

### By my signature below,

- i. I understand and agree to comply with all conditions, requirements, policies and procedures for the AFP/CFP Certification Program established by IFPHK as may be amended from time to time.
- ii. I understand that such conditions, requirements, policies and procedures consist of all materials relevant to the AFP/CFP Certification Program including but not limited to IFPHK's Memorandum and Article of Association, IFPHK's Disciplinary Rules and Procedures, and IFPHK's Code of Ethics and Professional Responsibility and any conditions, requirements, policies and procedures that IFPHK may establish and/or amend from time to time.
- iii. I understand and agree that IFPHK may enforce the conditions, requirements, policies and procedures against me and may reject, suspend or terminate my candidacy (if granted) at any time, or decline to award me the right to use the AFP/CFP Marks for my failure to satisfactorily meet any such conditions, requirements, policies and procedures.
- iv. I understand and agree that fees paid pursuant to my application are nonrefundable and nontransferable.
- v. I understand that upon successful application for candidacy registration with the IFPHK, I am required to complete the Education and Examination Requirements under new structure in order to acquire the Certification.
- vi. I understand and agree to the above Personal Data Agreement.
- vii. I declare that the information contained in my application is truthful and complete, and I agree to notify IFPHK of any material changes to my responses to any of the questions in this application, including my contact details. I understand and agree that IFPHK may investigate the statements I have made with respect to this application, and that I may be subject to disciplinary actions for any misrepresentation (whether fraudulent or otherwise) in this application.

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

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



# Candidacy Registration Application Form

## APPENDIX

	Education Requirement	Examination Requirement
<b>AFP Certification</b>	AFP Certification Education Program	CFP Certification Examination ( Foundation Level) <sup>2</sup>
<b>CFP Certification</b>	CFP Certification Education Program	CFP Certification Examination ( Foundation Level ) CFP Certification Examination ( Advanced Level Paper 1) CFP Certification Examination ( Advanced Level Paper 2)

### APP1. List of “Fast-track to CFP Certification” <sup>1</sup>

#### Non “Fast-track to CFP Certification”

No exemption is granted. They should start with AFP Certification Education Program.

#### List A

Education: AFP Certification Education Program is exempted.

Examination: No exemption is granted.

- Bachelor degree in all disciplines <sup>3</sup> ;
- Financial Planning qualifications:
  - Associate of the Hong Kong Institute of Bankers (AHKIB);
  - Associate Retail Wealth Professional (ARWP);
  - Chartered Insurance Agency Manager (CIAM);
  - Chartered Wealth Manager (CWM);
  - Fellow, Australian and New Zealand Institute of Insurance and Finance (ANZIIF (Fellow));
  - Fellow, Financial Services Institute (FFSI);
  - Fellow, Life Management Institute (FLMI);
  - Financial Advisers' International Qualification (FAIQ(CII))
  - LUTCF Fellow (LUTCF)
  - Qualified Retirement Advisor (QRA) Holder
  - Society of Registered Financial Planners (HKRFP)

#### List B

Education: AFP Certification Education Program is exempted.

Examination: CFP Certification Examination (Foundation Level) is exempted (for CFP Certification purpose only).

- Financial Planning qualifications:
  - ASSOCIATE FINANCIAL PLANNER / AFP
  - Certified Financial Management Planner (CFMP);
  - Chartered Financial Consultant (ChFC);
  - Chartered Life Underwriter (CLU);
  - Certified Retail Wealth Professional (CRWP);
  - Fellow Chartered Financial Practitioner (FChFP);
  - Financial Risk Manager (FRM)

#### List C

Education: AFP Certification Education Program and CFP Certification Education Program (Course 1 to 3) are exempted.

Examination: CFP Certification Examination (Foundation Level) is exempted (for CFP Certification purpose only).

- Master Degree program in relevant discipline e.g. Economics / Business <sup>4</sup>

#### List D

Education: AFP Certification Education Program and CFP Certification Education Program (Course 1 to 4) are exempted.

Examination: CFP Certification Examination (Foundation Level) is exempted (for CFP Certification purpose only).

- Associate / Fellow of Association of Chartered Certified Accountants (ACCA/FCCA);
- Associate / Fellow of Association of International Accountants (AAIA/FAIA);
- Associate / Fellow of Chartered Institute of Management Accountants (ACMA/FCMA);
- Certified General Accountant (CGA);
- Certified Management Accountant (CMA) (Australia, Canada & US);
- Certified Public Accountant / Certified Practising Accountant (CPA/FCPA) (Australia, Hong Kong, US);
- Chartered Accountant (CA) (Australia, Canada, England and Wales, Ireland, New Zealand, Scotland, South Africa, Zimbabwe);
- Chartered Financial Analyst (CFA);
- Fellow of Chartered Insurance Institute (FCII);
- Fellow of the Society of Actuaries (FSA);
- Members of Chartered Institute of Public Finance and Accountancy (CPFA);
- Members of Hong Kong Bar Association;
- Members of Hong Kong Law Society;
- Doctoral Degrees in Economics / Business <sup>3</sup>

<sup>1</sup> “Fast track to CFP Certification” formerly known as the “Challenge Status”

<sup>2</sup> The *Foundation Level* examination paper also serves as the “Examination” element of the 4Es requirement for AFP® certification. All terms relevant to the Foundation Level examination apply also to candidates/examinees for AFP Certification.

<sup>3</sup> The academic qualification must be awarded by accredited education institutes.

<sup>4</sup> The academic qualification must be awarded by accredited education institutes. To apply for List C “Fast-Track to CFP Certification”, the Master Degree program must substantially cover topics of the CFP Certification Education Program (course 1 to 3) in order to demonstrate the relevancy of discipline to the CFP Certification Education Requirements.

# Candidacy Registration Application Form

## APP2. Employer Code

<b>C1</b> AIA	<b>C9</b> DBS Bank	<b>C17</b> Standard Chartered Bank
<b>C2</b> AXA	<b>C10</b> Hang Seng Bank	<b>C18</b> UBS
<b>C3</b> Bank of Communications	<b>C11</b> HSBC	<b>C19</b> CMB Wing Lung Bank
<b>C4</b> Bank of East Asia	<b>C12</b> FWD Group	<b>C20</b> Zurich Insurance Group
<b>C5</b> Bank of China	<b>C13</b> Manulife	<b>C22</b> Sun Life Hong Kong Limited
<b>C6</b> China Construction Bank	<b>C14</b> Nanyang Commercial Bank	<b>C23</b> CTF Life
<b>C7</b> Citibank	<b>C15</b> Prudential	<b>C24</b> China Life
<b>C8</b> Convoy	<b>C16</b> Shanghai Commercial Bank	<b>C21</b> Others

## APP3. Industry Code

<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	

## APP4. 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



# Candidacy Registration Application Form

## 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.

- All information is filled out properly.
- Application form is signed and dated.
- Copy of designation/degree for "Fast-track to CFP Certification" is attached. (For "Fast-track to CFP Certification" only)
- Payment form is completed. For payment by cheque, a crossed cheque made payable to "IFPHK Ltd." is attached. For payment by bank transfer / deposit, please attach a copy of the transfer / bank-in slip with this application form.
- Sufficient postage has been paid for the postal packet / letter to IFPHK.

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### ACKNOWLEDGEMENT OF RECEIPT For Candidacy Registration Application Form Submitted in Person



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

We hereby acknowledge the receipt of your Candidacy Registration Application Form.

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 Candidacy Registration Application, please contact us by email at [cert@ifphk.org](mailto:cert@ifphk.org).