



Transcript Review APPLICATION FORM



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

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Transcript Review

REQUIREMENTS AND GUIDELINES

IFPHK may waive some of the required education requirement based on previous education and qualification. Candidates can apply by completing this application form after comparing the pre-approved subjects for exemption with their own transcripts to determine exemption of the education courses. All candidates are kindly advised to review the conditions for approval before submitting the application form.

1. Courses for Exemption

Currently AFP® Certification Education Program and the following courses of CFP® Certification Education Program will be considered for exemptions through transcript review:

1.1 For Degree Programs or above:

CFP Certification Education Program:

Course 1: Investment Planning and Asset Management

Course 2: Insurance Planning and Risk Management

Course 3: Tax Planning and Estate Planning

* Applications of exemption for Course 4 of the CFP Certification Education Program will not be considered at this point of time.

1.2 For Associate Degree/ Higher Diploma Programs:

AFP Certification Education Program

2. Conditions for Approval

To claim exemption for program/courses, the academic subjects must meet the following conditions:

2.1 For Degree Programs:

Condition 1: The subject(s) must be offered by accredited universities, or institutions with an equivalent.

Condition 2: The subject(s) must be at degree level.

Condition 3: Each subject must have a minimum of 40 contact hours. The applicant must have received a passing grade or above.

Condition 4: The contents of the subject(s) must match to indicative contents of the exempted course(s).

2.2 For Associate Degree/ Higher Diploma Programs:

Condition 1: The subject(s) must be offered by accredited universities, or institutions with an equivalent.

Condition 2: The subject(s) must be at Associate Degree/ Higher Diploma level.

Condition 3: The subject(s) must have a minimum of 120 contact hours. The applicant must have received a passing grade or above on each of the relevant subject(s) and have awarded the relevant Associate Degree/ Higher Diploma.

Condition 4: The contents of the subject(s) must match to indicative contents of the exempted program.

3. Application Fee

For application based on pre-approved courses / programs (please refer to pages 4 to 5 for the list of pre-approved courses / programs), an application fee of HK\$100 should be paid for EACH COURSE of the CFP Certification Education Program / AFP Certification Education Program.

For application based on other courses / programs, an application fee of HK\$800 should be paid for EACH COURSE of the CFP Certification Education Program / AFP Certification Education Program.

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REQUIREMENTS AND GUIDELINES

4. Supporting Documents

Official Transcripts: All applications must be supported by sufficient documentary evidence of completion* of relevant qualifications such as official transcripts. Unless originals** are submitted, only certified true copies from the following institutions/ authorities/ approved professionals*** are accepted as Certified True Copies:

- (i) IFPHK Registered AFP/CFP Certification Education Program providers
- (ii) Registrar of local self-accredited universities
- (iii) Commissioners of Oaths of Government of HKSAR
- (iv) HR department of current employer
- (v) Individuals with approved credentials*** listed below:
 - CERTIFIED FINANCIAL PLANNER®, CFP®
 - Certified General Accountant (CGA)
 - Certified Management Accountant – Australia, Canada, US (CMA)
 - Chartered Financial Analyst (CFA)
 - Chartered Financial Consultant (ChFC)
 - Chartered Life Underwriter (CLU)
 - Fellow of Chartered Insurance Institute (FCII)
 - Fellow of the Society of Actuaries (FSA)
 - Member of Hong Kong Bar Association
 - Member of Hong Kong Law Society
 - Member of Hong Kong Institute of Certified Public Accountants (FCPA/CPA)
 - Doctoral Degree in Business / Economics

* Transcripts or documents submitted should contain a key to result code for clear explanation of corresponding subject results.

** Original documents submitted will not be returned.

*** Individuals who certify copies of documents must (1) sign on copies of all pages of the transcripts, including the front and back of the transcripts, (2) write down their credentials and valid license numbers, and (3) attach their current business cards showing the approved credentials and detailed contact information.

Course Syllabus, together with evidence of contact hours of the courses must be submitted for approval.

5. Valid Period for Approval of Transcript Review

There is NO expiry date set on the approval status.

6. Appeal

Applicants may appeal to an unfavorable decision of their transcript review application by providing additional supporting documentation, along with an appeal fee of HK\$800 per module. If the appeal is successful, the appeal fee will be refunded.

7. Pre-approved Subjects for Exemption

Certain subjects offered at local education institutions have been assessed by IFPHK and awarded a pre-approved status for exemptions from the AFP Certification Education Program or respective course(s) of the CFP Certification Education Program.

The exemptions will be given to applicants upon receipt of completed transcript review applications together with official transcripts showing passing grades in the relevant courses and appropriate application fees.

Remarks: For associate degree/higher diploma programs listed, applicants must have successfully completed the entire program and have been awarded the associate degree/higher diploma before applying for transcript review.

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IMPORTANT NOTES

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® certification or CFP® certification. If you have yet to register candidacy with IFPHK, please enrol now at www.ifphk.org.

- Individuals who wish to apply for Transcript Review can submit their completed applications to IFPHK office in person or by mail. Incomplete applications and applications by fax will not be accepted.

Membership & Certification Department
Institute of Financial Planners of Hong Kong
13/F, Causeway Bay Plaza 2
463-483 Lockhart Road, Hong Kong
"Re: Application for Transcript Review"

- 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.
- All applications are subject to review and approval by IFPHK. IFPHK may in its absolute discretion refuse to approve any application.
- All application fees are non-refundable.
- 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.
- Information submitted will be processed according to Personal Data (Privacy) Ordinance.
- If you have any concerns, issues or further queries regarding the Candidacy Registration application, please contact us by email at cert@ifphk.org.
- All documents (e.g. certificate) submitted are subject to review by random audit. IFPHK reserves the right to reject the Transcript Review application, AFP® Certification and CFP® Certification if the individual selected for random audit fails to provide sufficient documents to fulfill the requirement of random audit.

PRE-APPROVED COURSES/PROGRAM FOR EXEMPTION

The following subjects offered at local education institutions have a pre-approved status for exemptions from respective courses/program by the IFPHK. The exemptions will be given to applicants upon receipt of completed transcript review applications together with official transcripts showing passing grades in the courses and appropriate application fees.

Remarks: For those associate degree/higher diploma programs listed, applicants must have successfully completed the entire program and have been awarded the associate degree/higher diploma before applying for transcript review.

COURSE 1: Investment Planning and Asset Management CFP Certification Education Program

<u>Institution</u>	<u>Code</u>	<u>Course / Program</u>
City University of Hong Kong	EF3320 + EF4320	Security Analysis and Portfolio Management; PLUS Advanced Security Analysis and Portfolio Management
City University of Hong Kong	EF5050 + EF5052	Derivatives and Risk Management; PLUS Investments
City University of Hong Kong	EF4328	Asset Management
The Education University of Hong Kong	BUS4059 + BUS4060	Investment Analysis and Portfolio Management for Personal Needs; PLUS Risk Management for Investment
The Hang Seng University of Hong Kong / Hang Seng Management College	FIN3002 + FIN3003 + FIN4006	Introduction to Financial Management; PLUS Principles of Investments; PLUS Portfolio Management
The Hang Seng University of Hong Kong / Hang Seng Management College	FIN2001 + FIN3003 + FIN4006	Financial Management; PLUS Principles of Investments; PLUS Portfolio Management

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PRE-APPROVED COURSES/PROGRAM FOR EXEMPTION

COURSE 1: Investment Planning and Asset Management (continued) CFP Certification Education Program

<u>Institution</u>	<u>Code</u>	<u>Course / Program</u>
Hong Kong Baptist University	FIN2250 / FINE3005	Investment Management
Hong Kong Chu Hai College	FNE301 + FNE311	Investment Portfolio Management; PLUS Financial Markets and Institutions
Hong Kong Shue Yan University	BUS410	Investment Analysis and Portfolio Management
Lingnan University	FIN300 / FIN2300	Investment and Portfolio Management
Macau Institute of Management	ATG202 + ATG203 + BKF302	財務管理導論; PLUS 財務管理; PLUS 財務規劃和管理
Macau University of Science and Technology	BCOM002 + BCOM003 + BCOM005 + BCOM006 + BCOM007 + BCOM103 + BCOM104	Microeconomics; PLUS Macroeconomics; PLUS Introduction to Financial Accounting; PLUS Introduction to Managerial Accounting; PLUS Fundamentals of Finance; PLUS Financial Management; PLUS Cost and Management Accounting
PolyU SPEED	BHMS5054 + BHMS5055 + BHMS5057 + BHMS5058	Equity Analysis and Valuation; PLUS Investment and Portfolio Management; PLUS Wealth Creation and Management; PLUS Derivatives and Hedging Strategies
The Hong Kong Polytechnic University	AF5344	Investments
The Hong Kong Polytechnic University	AF4317 + AF4324 + AF4325	Derivative Securities; PLUS Financial Planning; PLUS Wealth Management
Hong Kong Metropolitan University	FIN B385F	Investment Management
UOW College Hong Kong	FIN3201 + FIN4301	Investment and Portfolio Management; PLUS Derivative Securities

COURSE 2: Insurance Planning and Risk Management CFP Certification Education Program

<u>Institution</u>	<u>Code</u>	<u>Course / Program</u>
City University of Hong Kong	EF5300 + EF5343	Advanced Personal Finance; PLUS Corporate Risk Management Policies
City University of Hong Kong	MS4232 + MS4241	Casualty Insurance; PLUS Life Insurance
The Education University of Hong Kong	BUS3054 + BUS3056	Household Finance and Wealth Management; PLUS Lifelong and Retirement Financial Planning
Hong Kong Chu Hai College	FNE215 + FNE377	Financial Planning; PLUS Financial Risk Management and Insurance
Hong Kong Shue Yan University	BUS406	Insurance
Lingnan University	RIM201 / RIM2201	Principles of Insurance
The Hong Kong Polytechnic University	AF3318	Principles of Insurance
The Hong Kong Polytechnic University	AF5348	Risk Management and Insurance
UOW College Hong Kong	FIN3304 + FIN4203	Risk Management and Insurance; PLUS Wealth Management

COURSE 3: Tax Planning and Estate Planning CFP Certification Education Program

<u>Institution</u>	<u>Code</u>	<u>Course / Program</u>
The Education University of Hong Kong	BUS2051 + BUS3054 + BUS3056	Budgeting and Taxation; PLUS Household Finance and Wealth Management; PLUS Lifelong and Retirement Financial Planning
The Hang Seng University of Hong Kong / Hang Seng Management College	ACC3003 / ACY3003+ FIN4004	Hong Kong Taxation; PLUS Personal Financial Planning

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PRE-APPROVED COURSES/PROGRAM FOR EXEMPTION

COURSE 3: Tax Planning and Estate Planning (continued) CFP Certification Education Program

<u>Institution</u>	<u>Code</u>	<u>Course / Program</u>
Hong Kong Chu Hai College	FNE215 + ABA367	Financial Planning; PLUS Hong Kong Taxation
Hong Kong Shue Yan University	BUS310 + BUS405	Estate and Retirement Planning; PLUS Tax Planning / Hong Kong Taxation and Planning
Lingnan University	ACT203 / ACT3203 + RIM250 / RIM2250	Taxation; PLUS Personal Risk and Financial Planning
The Hong Kong Polytechnic University	AF5214 + AF5350	Taxation for Financial Planning; PLUS Employee Benefits and Estate Planning
The Hong Kong Polytechnic University	BHMS5057 + BHMS5059 + BHMS5060	Wealth Creation and Management; PLUS Hong Kong Tax Framework and Financial Regulations; PLUS Family Wealth Management
UOW College Hong Kong	ACC2501 + FIN4203	Taxation; PLUS Wealth Management

AFP Certification Education Program

<u>Institution</u>	<u>Code</u>	<u>Course / Program</u>
CUHK School of Continuing and Professional Studies	N/A	Higher Diploma in Financial Services
HKBU College of International Education	N/A	Associate of Arts (Financial Management) ¹
HKBU College of International Education	N/A	Associate Degree with concentration in Wealth Management ¹
HKU SPACE - Po Leung Kuk Stanley Ho Community College	N/A	Higher Diploma in Business (Accounting and Financial Planning) / Higher Diploma in Accounting - Accounting and Financial Planning Theme
HKU SPACE - Community College	N/A	Higher Diploma in Business
Hong Kong Institute of Vocational Education	N/A	Higher Diploma in Financial Planning and Investment
Hong Kong Institute of Vocational Education	BA124003 / BA124010	Higher Diploma in Financial Services (Investment and Wealth Management) / Higher Diploma in Banking and Finance (Investment and Wealth Management)
Hong Kong Institute of Vocational Education	N/A	Higher Diploma in Banking and Financial Analysis
HKMU Li Ka Shing School of Professional and Continuing Education	N/A	Higher Diploma in Business Administration and Management ²
PolyU Hong Kong Community College	8C008-AF ³	Associate Degree in Business (Accounting and Finance)
PolyU Hong Kong Community College	8C008-BM ³ / 8C108-BM ³	Associate Degree in Business (Business Management)
PolyU Hong Kong Community College	8C008-NS ³	Associate Degree in Business
PolyU Hong Kong Community College	8C108-FIN ⁴	Associate Degree in Business (Finance)
PolyU Hong Kong Community College	8C108-NS ⁴	Associate Degree in Business
PolyU Hong Kong Community College	8C015	Higher Diploma in Financial and Investment Planning
PolyU Hong Kong Community College	8C121-FIP	Higher Diploma in Financial and Investment Planning
UOW College Hong Kong	N/A	Associate of Business Administration in Financial Services

¹ Required to pass all three relevant subjects, namely, Financial Planning (Code: CS2596 / WMGT3302 / FMGT3302 / FMGT2300), Investment Management (Code: CS2616 / WMGT3303 / FMGT3303 / FMGT2301) and Principles of Insurance (Code: CS2606 / WMGT3305 / FMGT3305 / FMGT2303).

² Required to pass all two relevant subjects, namely, Fundamentals of Financial Planning I (Code: FIN4078EF / FIN4093EF / FIN4097EF) and Fundamentals of Financial Planning II (Code: FIN4079EF / FIN4094EF / FIN4098EF).

³ Required to pass all five relevant subjects, namely, Financial Management (Code: CC3111 / BMMH2113), Principles of Insurance (Code: CC3137 / BMMH2145), Principles of Investment (Code: CC3138 / BMMH2132), Principles of Financial Planning (Code: CC3152 / BMMH2144) and Retirement and Estate Planning (Code: CC3173).

⁴ Required to pass all five relevant subjects, namely, Personal Financial Planning (Code: CCN1021 / BMMH1021), Financial Management (Code: CCN2113 / BMMH2113), Principles of Investments (Code: CCN2132 / BMMH2132), Principles of Insurance (Code: CCN2145 / BMMH2145) and Retirement and Estate Planning (Code: CCN2161).

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APPLICATION FORM

For official use only					
Name			Ref No		
Date Received	Data entry	Completed with all info ☐ Yes ☐ No	Payment	Evaluation	Final Approval
Remarks					

SECTION (I): Candidacy¹

IFPHK Candidate Number	ID Card/Passport No.
Full Name (as printed on ID card/passport)	Phone No.

¹ It is compulsory for all individuals to maintain a valid candidacy status with IFPHK before they are eligible to proceed with the AFP certification or CFP certification. If you have yet to register candidacy with IFPHK, please enrol now at www.ifphk.org.

For application in relation to **AFP** Certification Education Program ONLY

SECTION (IIa): Details of Program for Transcript Review

Name of University / Institution			
Name of Associate Degree / Higher Diploma Program			
Year Awarded (YYYY)	Pre-approval status ² ☐ Pre-Approved ☐ Not pre-approved		
Course Code	Course Name	Contact Hours	Result ²
			☐ Pass ☐ Fail
			☐ Pass ☐ Fail
			☐ Pass ☐ Fail
			☐ Pass ☐ Fail
			☐ Pass ☐ Fail

² Please check the appropriate box.

For application in relation to **CFP** Certification Education Program ONLY

SECTION (IIb): Details of Courses for Transcript Review

Name of University					
Name of Degree Program				Year Awarded / to be awarded (YYYY)	
Course for Exemption ³	Pre-approved Course ⁴	Course Code	Course Name	Contact Hours	Result ⁴
	☐ Yes ☐ No				☐ Pass ☐ Fail
	☐ Yes ☐ No				☐ Pass ☐ Fail
	☐ Yes ☐ No				☐ Pass ☐ Fail
	☐ Yes ☐ No				☐ Pass ☐ Fail
	☐ Yes ☐ No				☐ Pass ☐ Fail

³ Fill in course number 1, 2 or 3.

⁴ Please check the appropriate box.

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SECTION (III): Payment Details⁵



Transcript Review Fee	Based on Pre-approved Courses / Programs HK\$100@	Based on Other Courses / Programs HK\$800@
☐ AFP Certification Education Program	\$	\$
☐ CFP Certification Education Program (Course 1)	\$	\$
☐ CFP Certification Education Program (Course 2)	\$	\$
☐ CFP Certification Education Program (Course 3)	\$	\$
TOTAL	\$	\$

⁵ Please check the appropriate box and fill in the appropriate amount in the corresponding column.

☐ **Cheque⁶** Cheque No. _____ Drawn on (Bank): _____

☐ **Bank Transfer / Deposit**

Account Information

Bank Name : HSBC

Bank Code : 004

Account Name : The Institute of Financial Planners of Hong Kong Limited

Account No. : 002-8-414118

(Please attach a copy of transfer / bank-in slip with this application form.)



⁶ Cheques should be made payable to "IFPHK Ltd."

For official use only		
Name of applicant	Ref No.	Remarks

ACKNOWLEDGEMENT OF RECEIPT For Transcript Review Application Form Submitted in Person



To: _____ (Please fill in your full name)

We hereby acknowledge the receipt of your Transcript Review 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 Transcript Review Application, please contact us by email at cert@ifphk.org.

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SECTION (IV): Agreement and Declaration

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. use my personal data to compile statistics and analyse the results wholly for use within IFPHK,
 - d. 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 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 IFPHK at 13/F, Causeway Bay Plaza 2, 463 – 483 Lockhart Road, Hong Kong.

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, and as amended from time to time.
- ii. I understand that transcript review fees are nonrefundable and nontransferable.
- iii. I understand, accept, and agree to the Personal Data Agreement stated above
- iv. 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: _____

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.
- ☐ Copies of designation/transcript and syllabus are attached.
- ☐ 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.