

Acknowledge Receipt of Study Guide
Signature

## Certified Private Wealth Professional (CPWP) - Module 2: Ethics and Compliance Examination Enrolment Form - Oct 2019

(Please complete	legibly all par	ts in BL	OCK LETTERS and in E	BLACK	or BLUE INK	and put a "√" in the	e appropriate " $\square$ ")	
Section A - Perso	nal Particul	ars						
☐ HKIB Member (Mer	mbership No.:		)	□N	on-HKIB Memb	er		
Name in Chinese:			Name in English: (as on identity document)				Title: ☐ Mr. / ☐ Ms.	
Mobile Phone Office Tel. No.:		Email Address: (Confirmation Notice and Exam			mination Attendance Notice will ONLY be sent via email)			
Correspondence Address: (Please indicate the Company Name if it is a company address)						HKID / Passport Number: (Please attach a copy of your HKID card/ Passport for verification)		
Name of Company :			Department / Unit:			Position held:		
Section B - Exami	ination Sch	edule	and Fees		'			
Enrolment Examination Date					Examination Fee			
Deadline Examination L						it enrolment	Late enrolment fee	
5 Sep 2019 (Thur)	5 Oct 2019 13:00 - 1		HKD1,770 (Including Examination Fee a Study Guide)	nd a	H	CD870 attempted previously)	HKD200 (Applicable after the deadline. Acceptance subject to availability)	
state the examination code under 'remarks' and email together with the completed enrolment form to exam@hkib.org.  Debit my credit card, amount HKD Visa  Master  Card No.:								
The information I have I understand that the p I confirm that I have reinformation published understand and accep I voluntarily consent To the Hong Kong Ider information, including Wealth Management.	e provided in this paid fees are nonead the (1) CPV in the HKIB are the regulations he Hong Kong Intity Card number the result of the Association, and well as any other	form is transfer form is transfer form is transfer for and passed consen		se, dis se, dis al data ny con by the to perf	2 Examination Caclose and/or proathat I previously duct and behavion Private Wealth	Suidance Notes printervide my personal data y supplied (if any) and or while taking the ex n Management Assoc	ed in this form, and fully including but not limited any examination-related camination, to the Private intion for monitoring and	
					ate			
Section E: Other I	nformation							
	Secondary or b	elow			ee Graduate	☐ Master or above		
_ '	< 1 year	mont !- !	•	5 - 10	) years	☐ 11 - 15 years	□ >15 years	
I have applied grandfathering assessment to PWMA.								
<ul> <li>I would not apply grandfathering assessment to PWMA.</li> <li>I have been grandfathered by the PWMA and have been granted a one-off exemption under the grandfathering route.</li> </ul>								
(Please provide copy	y of the confirma	tion of gr	andfathering and one-off e	xempt	ion)		mes and other activities as	

these may be relevant to CPWP holders in fulfilling the PWMA's On-going Professional Training (OPT) requirement.

# The Hong Kong Institute of Bankers Certified Private Wealth Professional (CPWP) - Module 2: Ethics and Compliance Examination Guidance Notes

#### **Examination Enrolment**

- Please complete and return the enrolment form with a copy of your HKID card/ Passport for verification and retain a copy for your own reference.
- Entries must comply with the regulations and timetable published in this form and HKIB website.
- 3) Under no circumstances will change of examination enrolment be allowed.
- 4) Under no circumstances will the examination fees be refunded or transferred.

#### **Method of Payment**

- (a) By cheque (post-dated cheque will not be accepted), and attach it to the enrolment form. Cheque should be made payable to "The Hong Kong Institute of Bankers". Please put your full name and contact phone number on the back of the cheque; OR
   (b) Send your e-Cheque payable to 'The Hong Kong Institute of Bankers' together with the completed enrolment form to exam@hkib.org; OR
  - (c) By credit card payment. Please provide credit card information at Section C Payment Methods.
- 6) Enrolment form without payment instruction will not be processed.
- 7) Examination fee, once paid, will not be refunded.
- 8) Please keep a payment record. If any query arises, please quote these details, together with your ID card/passport number.

#### **Application Period**

9) Application can be accepted by fax, by email, by hand or by registered mail to avoid loss in the mail, but attention must be paid to the enrolment period of the examination enrolment.

#### **Examination Attendance Notices (Attendance Notices)**

- 10) Attendance Notices will be sent to candidates <u>via email ONLY about 2 weeks before the examination.</u> You are obligated to inform the Institute if you do not receive the Attendance Notice <u>1 week</u> before the examination.
- 11) Candidates are required to print a copy of the Attendance Notice on a plain A4 paper before attending each examination.
- 12) Candidates **MUST** produce their Attendance Notice in each examination, along with valid identification document (HKID/ passport) specified on the application form. Photocopy will not be accepted.

#### **Results**

- 13) (a) Issue of results: Candidates will be notified of their results by post and only with written notice. Results will not be revealed by telephone, fax or other electronic means. Results will be released within 2 to 4 weeks from the examination date.

  (b) Withholding of results: Results will be withhold from candidates who have not paid in full any manies due or payable to the
  - (b) Withholding of results: Results will be withheld from candidates who have not paid in full any monies due or payable to the Institute, including but not limited to examination enrolment fees.

#### **Examination Information**

14) Related examination information and typhoon or rainstorm arrangement for examinations are available in the examination handbook and the HKIB website (www.hkib.org). Candidates should read the information and regulations of the examination beforehand.

#### **Important Notes on Personal Data**

15) The personal data provided on this form will be used for the examination administrative and communicative purposes. Failure to provide complete and accurate information may affect the provision of administrative services to the candidate. The Institute will keep the personal data provided confidential but may need to disclose it to appropriate personnel in the Institute and other relevant parties engaging in the provision of the examination services to the Institute. You have the right to request access to and correction of your personal data. If you wish to do so, please contact the Institute. Please refer to the HKIB website www.hkib.org for details.

#### **Acknowledgement**

16) Acknowledgement of the examination enrolment will be sent to candidates via e-mail within 7 full working days of receiving the enrolment form. Should you fail to receive the acknowledgement within the above said period, please inform the Institute immediately.

### ENSURE YOU HAVE SIGNED THE EXAMINATION ENROLMENT FORM, AND HAVE ATTACHED PAYMENT OR EVIDENCE OF PAYMENT BEFORE SUBMITTING THE FORM TO THE INSTITUTE.

For Enquiries:

Tel: (852) 2153 7821 / 2153 7865 Fax: (852) 2544 9946 E-mail: <a href="mailto:exam@hkib.org">exam@hkib.org</a> Website: <a href="mailto:www.hkib.org">www.hkib.org</a>