



APFP No.: AP

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

## APFP Designation Renewal Application Form

**IMPORTANT NOTES**

1. APFP holders are required to renew their designation annually in order to continue using the APFP designation. To renew their designation, APFP holders must maintain technical competence and fulfill ethical obligations. They must complete a minimum of 15 credits of continuing education (CE) every year. APFP holders who were granted the designation after 1 July 2010 may complete a minimum of 7.5 CE credits to meet the renewal requirement for the first year.
2. In addition to the annual continuing education requirement, all APFP 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 period of using the APFP designation is by calendar year, from 1 January to 31 December. **Deadline for submitting the complete renewal application for year 2011: 31 December 2010.**
4. Completed application form with appropriate annual fee must be received by IFPHK on or before the deadline on 31 December. If an APFP 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.
5. If a complete application is not received by the end of February in the following year, the APFP holder will be considered as not having satisfied the renewal requirements and the designation will automatically be suspended. The list of "temporarily suspended APFP 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  
Unit 2601, 26<sup>th</sup> Floor, Bank of East Asia Harbour View Centre  
56 Gloucester Road, Wanchai, Hong Kong**

**"Re: APFP Designation Renewal"**

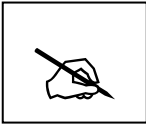
7. All applications are subject to review and approval by IFPHK. IFPHK endeavours to notify the result of the application within six to eight weeks' time. If you have any concerns, issues or further queries regarding the APFP designation renewal application, please contact us at 2982 7888 or by email: cert@ifphk.org.

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:					

# APFP DESIGNATION RENEWAL APPLICATION FORM FOR YEAR 2011

## SECTION ONE: PERSONAL PROFILE

**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.**



**APFP No.:** \_\_\_\_\_ **AP**

**Title:**\* Dr/Mr/Mrs/Ms/Miss      **Name:** \_\_\_\_\_ (Eng) \_\_\_\_\_ (Chinese)  
*(as printed on your ID card/passport)*

**HKID/ Passport\* No.:** \_\_\_\_\_

**Professional Qualification:** CFA / CGA / CMA / ChFC / CLU / ANZIIF / FCII / FSA /  
FCPA / CPA / Doctoral Degree / Others\* \_\_\_\_\_

**Email Address:** \_\_\_\_\_  
*(for sending acknowledgement of receipt if applicable)*

\* circle where appropriate

### Contact Details

**Correspondence Address:** \_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_

**Tel:** \_\_\_\_\_ (Mobile) \_\_\_\_\_ (Office) \_\_\_\_\_ (Home)

**Fax:** \_\_\_\_\_ **Email Address:** \_\_\_\_\_  
*(if different from above)*

### Details of Highest Level of Education Attained

**Name of Education Institution:** \_\_\_\_\_  
**Qualification Attained:** \_\_\_\_\_

# APFP DESIGNATION RENEWAL APPLICATION FORM FOR YEAR 2011

## Employment Details



**Current Employer:** \_\_\_\_\_

**#Company Group of Current Employer:** \_\_\_\_\_ **C**  
 (Please refer to the Employer Code below and choose the group that your current employer belongs to.)

**Current Position:** \_\_\_\_\_

**#Industry of Employment:** \_\_\_\_\_ **I**  
 (Please refer to the Industry Code below and 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.)

**Years of Financial Planning Work Experience:** \_\_\_\_\_

**Earnings in the Past Year** (Please refer to the Earnings Code below): \_\_\_\_\_ **E**

# Compulsory field to be filled in for statistical purpose

### Employer Code:

<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> ING Group	<b>C 20</b> Zurich Insurance Group
<b>C 5</b> Bank of China	<b>C 13</b> Manulife	<b>C 21</b> Others
<b>C 6</b> China Construction Bank	<b>C 14</b> Nanyang Commercial Bank	
<b>C 7</b> Citibank	<b>C 15</b> Prudential	
<b>C 8</b> Convoy	<b>C 16</b> Shanghai Commercial Bank	

### 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	

### 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

## Currently Held Statutory Licences



<b>SFC</b>	
<input type="checkbox"/> <b>Type 1</b> Dealing in Securities	<input type="checkbox"/> <b>Type 6</b> Advising on Corporate Finance
<input type="checkbox"/> <b>Type 2</b> Dealing in Futures Contracts	<input type="checkbox"/> <b>Type 7</b> Providing Automated Trading Services
<input type="checkbox"/> <b>Type 3</b> Leveraged Foreign Exchange Trading	<input type="checkbox"/> <b>Type 8</b> Securities Margin Financing
<input type="checkbox"/> <b>Type 4</b> Advising on Securities	<input type="checkbox"/> <b>Type 9</b> Asset Management
<input type="checkbox"/> <b>Type 5</b> Advising on Futures Contracts	
<b>IA</b>	
<input type="checkbox"/> Individual Agent	<input type="checkbox"/> Technical Representative of Insurance Agent
<input type="checkbox"/> Responsible Officer of Insurance Agency	
<b>Others</b>	
<input type="checkbox"/> MPF Intermediaries	<input type="checkbox"/> CIB
<input type="checkbox"/> PIBA	

# APFP DESIGNATION RENEWAL APPLICATION FORM FOR YEAR 2011

## Preference



1. To help save the environment, will you consider online renewal with IFPHK sending you a reminder notice?  
 Yes (IFPHK will send you a reminder notice for online renewal)  
 No (IFPHK will send you the printed renewal pack with enclosed renewal form)
  2. Do you consider receiving online publications rather than printed publications from IFPHK?  
 Yes (Please skip Question 3)       No
  3. If you do not want to receive the regular email "IFPHK Weekly Alert" from IFPHK, please "tick" here.   
(Please do not tick here if your answer to question 2 is "yes" since most of the online publications from IFPHK are sent via the "IFPHK Weekly Alert")
  4. 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
- \* Note: 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.

## Other Information



1. Which newspaper(s) do you read daily?  
 AM730                                       Hong Kong Economic Times       Sing Tao Daily  
 Apple Daily                                       Metro Daily                                       South China Morning Post  
 Headline Daily                                       Ming Pao Daily                                       The Sun  
 Hong Kong Economic Journal       Oriental Daily News
2. Which website(s) will you visit to get finance related news?  
 Bloomberg                                       Finet     Professional Advisors  
 ET net     Metro Finance                                       Quamnet  
 Finance Asia                                       Ming Pao Finance                                       Yahoo Finance
3. What kind of market information would you like IFPHK provides to you in the future?  
 Economic data and statistics report  
 Financial planning practice  
 International development in financial planning  
 Investment and insurance product development  
 Market trends in Hong Kong  
 Regulatory and compliance update

## APFP DESIGNATION RENEWAL APPLICATION FORM FOR YEAR 2011

### SECTION TWO: CONTINUING EDUCATION DECLARATION

This is to declare that I understand the CE requirement and obligation of

- a) an Associate Personal Financial Planner (APFP); and
- b) an associate member of IFPHK (if applicable)

as specified by IFPHK; and that I have met the CE requirement and obligations for 2011 designation renewal.



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

#### NOTES:

1. APFP holders are required to maintain attendance records and supporting documentary evidence of CE activities for a period of up to 3 years.
2. All filings and records of CE activities are subject to audit by IFPHK where APFP holders 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 APFP designation.
3. Please do not submit any CE attendance records and supporting documentary evidence with this application form unless specifically requested to do so.
4. For those APFP holders who have not signed the Continuing Education Declaration, or have not acquired enough CE credits, are both considered non-compliance with the CE requirement. Their rights to use the APFP designation will be suspended until they have successfully renewed their designation.
5. APFP 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 Operations Department on a case-by-case basis.

## APFP DESIGNATION RENEWAL APPLICATION FORM FOR YEAR 2011

### SECTION THREE: ETHICS DECLARATION

Period of Declaration: 1 January 2010 to date of application for renewal



- |   | Yes                      | No                       |
|---|--------------------------|--------------------------|
| 1. In the period of declaration, have you been convicted of an offence involving a criminal charge?   | <input type="checkbox"/> | <input type="checkbox"/> |
| 2. In the period of declaration, have you been bankrupt, whether declared or not?   | <input type="checkbox"/> | <input type="checkbox"/> |
| 3. In the period of declaration, have you been refused membership of a statutory body or other professional body in respect of your professional capacity?                              | <input type="checkbox"/> | <input type="checkbox"/> |
| 4. In the period of declaration, have you been refused professional indemnity insurance?  | <input type="checkbox"/> | <input type="checkbox"/> |
| 5. In the period of declaration, have you been subject to disciplinary proceedings or expelled by a statutory body or other professional body in respect of your professional capacity? | <input type="checkbox"/> | <input type="checkbox"/> |
| 6. Are you aware of any other matters that may impact on IFPHK's consideration of your application?   | <input type="checkbox"/> | <input type="checkbox"/> |

**Note: If you have answered YES to any of the above questions, please provide more details by attaching all relevant documents relating to the matters at issue.**

#### Terms and Conditions of APFP Designation Renewal

1. I have read and agree to be bound by IFPHK's *Memorandum and Article of Association* and the Regulations of the APFP designation, as updated from time to time, together with the various documents referenced therein, including IFPHK's *Disciplinary Rules and Procedures* and IFPHK's *Code of Ethics and Professional Responsibility* at all times in practice.
2. I understand that the rights to use the APFP designation are granted by IFPHK to me. I understand that the use of such a designation is limited to a fixed period of time. At the end of the period, if the designation is not renewed, the designation expires and any right to use the APFP designation will terminate upon expiration of the designation but without prejudice to any rights which IFPHK may have against me for any antecedent breaches of the IFPHK's *Code of Ethics and Professional Responsibility* as well as the *Memorandum and Article of Association* and/or the misuse of the APFP designation prior to the termination of the designation. If I fail to comply with designation renewal requirements, I agree to cease use of the APFP designation immediately. I understand that the IFPHK may relinquish any rights I have in the use of APFP designation if I fail to maintain current designation status.

# APFP DESIGNATION RENEWAL APPLICATION FORM FOR YEAR 2011

## Data Protection 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 my designation status, date of award of designation, professional standing and history of disciplinary actions as an APFP holder and the date of my ceasing to be an APFP holder (if applicable) to the public,
  - 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 APFP designation 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 following address:

Institute of Financial Planners of Hong Kong  
Unit 2601, 26<sup>th</sup> Floor, Bank of East Asia Harbour View Centre  
56 Gloucester Road, Wanchai, Hong Kong

**I declare that the statements made in this application and any attachments are accurate and true. I authorise the investigation of all statements made by me with respect to this application. I agree to be subject to any disciplinary rules of IFPHK for any misrepresentation in this application.**

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

A complimentary Associate Membership of IFPHK goes along with the successful renewal of APFP designation, please indicate below if you would not like to enjoy this benefit:

No, I do not want to join IFPHK as Associate Member

# APFP DESIGNATION RENEWAL APPLICATION FORM FOR YEAR 2011

## SECTION FOUR: PROCESS AND PAYMENT DETAILS

**Annual fee for Year 2011: HK\$600** (in which, 15% will be contributed to IFPHK capital fund)

For late application submitted between 1 January 2011 and 28 February 2011, a late fee of HK\$100 will be charged.



<b>Renewal application submitted by 31/12/2010</b> Pay amount: <b>HK\$600</b>	<input type="checkbox"/>	<b>Renewal application submitted between 1/1/2011 and 28/2/2011</b> Pay amount: <b>HK\$700</b>	<input type="checkbox"/>
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Payment by cheque to: "IFPHK Ltd." (Bank: \_\_\_\_\_ Cheque No.: \_\_\_\_\_)

Payment by credit card:  VISA  MasterCard

Card No.:              -

Card Expiry Date:      /

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

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

For Official Use Only		
APFP No.	Name of APFP Holder	Remarks
AP		

**ACKNOWLEDGEMENT OF RECEIPT**

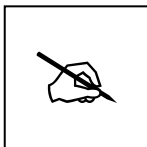
**For Renewal Application Form Submitted by Mail or by Courier**

The acknowledgement of receipt will be sent to you via email to the email address provided at Section One: Personal Profile 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 APFP Designation Renewal Application Form for Year 2011.

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 APFP designation renewal application, please contact us by email at [cert@ifphk.org](mailto:cert@ifphk.org).

Thank you for your continual support of the APFP designation.

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

\_\_\_\_\_  
Date