

# Associate (General) Membership

## Application Form



The global symbol of excellence  
in financial planning

## VISION

The leading organization in Hong Kong for advancing professional financial planning standards and promoting the importance of financial planning.

## MISSION

- To lead the development, promotion and enforcement of professional standards in financial planning industry.
- To raise professional standards of financial planners through internationally-recognized certification.
- To increase all external stakeholders' awareness of the importance of financial planning and advice from a financial planning professional.
- To influence corporate industry leaders to uphold high standards in financial planning industry.

## BACKGROUND

IFPHK was formed in June 2000 as a non-profit self-regulatory organization for the fast-growing financial planning industry. We are the sole licensing body in Hong Kong authorized by Financial Planning Standards Board Limited to grant the much-coveted and internationally-recognized CFP certification to qualified financial planning professionals in Hong Kong.

IFPHK represents the financial planning practitioners in Hong Kong. It has over 10,000 members from such diverse professional backgrounds as banking, insurance, stockbroking, asset management, accounting, and legal services.

## Associate (General) Membership

- Individuals who complete Module 1 **PLUS** any one other modules of the IFPHK Registered CFP<sup>CM</sup> Certification Education Program **or** received credentials for the IFPHK Registered CFP<sup>CM</sup> Certification Education Program by **Transcript Review**  
**OR**
- Individuals who possess recognized professional qualifications approved by IFPHK (Please refer to Appendix I)  
**OR**
- Individuals who possess overseas CFP certification from one of the affiliate members of the Financial Planning Standards Board Ltd.

## MEMBERSHIP BENEFITS FOR ASSOCIATE MEMBERS

- An exclusive access to the IFPHK members' area, the unique electronic portal for financial planning practitioners.
- Receive free copies of "Advisors Today", a quarterly and bi-lingual IFPHK publication.
- Receive IFPHK member newsletters.
- Receive IFPHK industry related surveys and practice tools.
- Special rate to attend continuing education programs including seminars, forums, conferences and luncheons.
- Invitation to attend social events and gatherings.
- Library services and internet access at IFPHK office.
- Associate Members are eligible to use "IFPHK Associate Member" on their business card.

## IMPORTANT NOTES

1. Please return the completed form together with appropriate fee to:  
Operations Department  
Institute of Financial Planners of Hong Kong  
Unit 2601, 26/F, Bank of East Asia Harbour View Centre,  
56 Gloucester Road, Wanchai, Hong Kong  
"Re: Application for Associate (General) Membership"
2. All applications are subject to review and IFPHK may in its absolute discretion refuse to approve your membership application.
3. All application fees are non-refundable.
4. If you have any concerns, issues or further queries regarding the Associate (General) Membership application, please contact us by email at [membership@ifphk.org](mailto:membership@ifphk.org).
5. IFPHK observes the requirements and provisions of the Personal Data (Privacy) Ordinance.



**Section I: Personal Particulars (Continue)**

**Preference<sup>2</sup>**

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<sup>3</sup>
- English  
 Chinese

**Other Information**

1. Which newspaper(s) do you read daily?
- |   |   |   |
|---|---|---|
| <input type="checkbox"/> AM730                      | <input type="checkbox"/> Hong Kong Economic Times | <input type="checkbox"/> Sing Tao Daily           |
| <input type="checkbox"/> Apple Daily                | <input type="checkbox"/> Metro Daily              | <input type="checkbox"/> South China Morning Post |
| <input type="checkbox"/> Headline Daily             | <input type="checkbox"/> Ming Pao Daily           | <input type="checkbox"/> The Sun                  |
| <input type="checkbox"/> Hong Kong Economic Journal | <input type="checkbox"/> Oriental Daily News      |   |
2. Which website(s) will you visit to get finance related news?
- |                                       |   |  |
|---------------------------------------|---|--|
| <input type="checkbox"/> Bloomberg    | <input type="checkbox"/> Finet            | <input type="checkbox"/> Professional Advisors |
| <input type="checkbox"/> ET net       | <input type="checkbox"/> Metro Finance    | <input type="checkbox"/> Quamnet               |
| <input type="checkbox"/> Finance Asia | <input type="checkbox"/> Ming Pao Finance | <input type="checkbox"/> 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

<sup>2</sup> Upon approval of your Associate (General) membership application, IFPHK will follow the above preference to communicate with you, if feasible.

<sup>3</sup> 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.

**Section II: Education**

- Degree Holder                                       Non-degree Holder

Name of Education Institution: \_\_\_\_\_

Highest Qualification Attained: \_\_\_\_\_ Year Attained: \_\_\_\_\_



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

Company Group of Current Employer<sup>4</sup> \_\_\_\_\_ **C**  
 (Please refer to the Employer Code below and choose the group that your current employer belongs to.)

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

Industry of Employment<sup>4</sup> \_\_\_\_\_ **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**

Currently Held Statutory Licences:

- |   |  |
|---|--|
| <p><b><u>SFC</u></b></p> <ul style="list-style-type: none"> <li><input type="checkbox"/> Type 1 Dealing in Securities</li> <li><input type="checkbox"/> Type 2 Dealing in Futures Contracts</li> <li><input type="checkbox"/> Type 3 Leveraged Foreign Exchange Trading</li> <li><input type="checkbox"/> Type 4 Advising on Securities</li> <li><input type="checkbox"/> Type 5 Advising on Futures Contracts</li> <li><input type="checkbox"/> Type 6 Advising on Corporate Finance</li> <li><input type="checkbox"/> Type 7 Providing Automated Trading Services</li> <li><input type="checkbox"/> Type 8 Securities Margin Financing</li> <li><input type="checkbox"/> Type 9 Asset Management</li> </ul> | <p><b><u>IA</u></b></p> <ul style="list-style-type: none"> <li><input type="checkbox"/> Individual Agent</li> <li><input type="checkbox"/> Responsible Officer of Insurance Agency</li> <li><input type="checkbox"/> Technical Representative of Insurance Agent</li> </ul> <p><b><u>Others</u></b></p> <ul style="list-style-type: none"> <li><input type="checkbox"/> MPF Intermediaries</li> <li><input type="checkbox"/> PIBA</li> <li><input type="checkbox"/> CIB</li> </ul> |
|---|--|

<sup>4</sup> Compulsory field to be filled in for statistical purpose.

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> Wing Lung Bank
<b>C4</b> Bank of East Asia	<b>C12</b> ING Group	<b>C20</b> Zurich Insurance Group
<b>C5</b> Bank of China	<b>C13</b> Manulife	<b>C21</b> Others
<b>C6</b> China Construction Bank	<b>C14</b> Nanyang Commercial Bank	
<b>C7</b> Citibank	<b>C15</b> Prudential	
<b>C8</b> Convoy	<b>C16</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

**Qualification**

I declare that I possess the following qualification for the application of IFPHK Associate (General) Membership.

(Please "✓" as appropriate)

- Complete Module 1 **PLUS** any one other modules of the IFPHK Registered CFP<sup>CM</sup> Certification Education Program **or** received credentials for the IFPHK Registered CFP<sup>CM</sup> Certification Education Program by **Transcript Review**
- Recognized professional qualifications approved by IFPHK:  
(Please refer to Appendix I)  
Please specify: ( \_\_\_\_\_ )
- Overseas CFP certification from one of the affiliate members of the Financial Planning Standards Board Ltd.:  
Country / Region: \_\_\_\_\_ Date Awarded: \_\_\_\_\_

**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 membership status, date of award of membership, professional standing and history of disciplinary actions as an Associate (General) member and the date of my ceasing to be an Associate (General) member (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. 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 membership 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, 26th Floor, Bank of East Asia Harbour View Centre, 56 Gloucester Road, Wanchai, Hong Kong

**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 application. If I have been convicted of any criminal offence or have been expelled from a professional society or institute, I will provide additional relevant documents together with this form.

I agree to be bound by the provisions of the IFPHK's Memorandum and Article of Association and subject to IFPHK's Disciplinary Rules and Procedures as a result of complaints. I agree to abide by IFPHK's Code of Ethics and Professional Responsibility at all times in practice.

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

**Section V: Payment Details**

Payment enclosed:



**Full Year Associate (General) Membership:** HK\$900 (application submitted between January and June)  
(HK\$300 first time application fee + HK\$600 annual membership fee, in which, 15% will be contributed to IFPHK capital fund)

**Half Year Associate (General) Membership:** HK\$600 (application submitted between July and December)  
(HK\$300 first time application fee + HK\$300 half year membership fee, in which, 15% will be contributed to IFPHK capital fund)

Payment Method:

Payment by cheque to: "IFPHK Ltd." ( Bank: \_\_\_\_\_ Cheque No.: \_\_\_\_\_ )

Payment by credit card:       VISA       MasterCard

I authorize the Institute of Financial Planners of Hong Kong Limited to debit the above sum from my credit card account.

Card No. \_\_\_\_\_ - \_\_\_\_\_ - \_\_\_\_\_ - \_\_\_\_\_

Cardholder's Name \_\_\_\_\_ Card Expiry Date \_\_\_\_\_ (MM/YY)

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

**For Official Use only**

Name of applicant	Ref No.	Remarks

**ACKNOWLEDGEMENT OF RECEIPT**

**For Associate (General) Membership Application Form Submitted in Person**

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

We hereby acknowledge the receipt of your Associate (General) Membership 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 Associate (General) Membership application, please contact us by email at [membership@ifphk.org](mailto:membership@ifphk.org).

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

\_\_\_\_\_  
Date

**Recognition of Qualifications / Examinations for Associate Membership**

<b>Industry</b>	<b>Organizations</b>	<b>Completion of the below Qualifications/Examinations</b>
Accounting	Hong Kong Institute of Certified Public Accountants	Professional Programme of the Qualification Programme <b>OR</b> CPA Qualification Programme (but without practical experience)
	The Association of Chartered Certified Accountants	Accounting Technician Scheme <b>OR</b> Level 1 of ACCA Professional Scheme
	Hong Kong Association of Accounting Technicians	Accounting Technician Examination <b>OR</b> Level 1 of ACCA Professional Scheme
Banking	Hong Kong Institute of Bankers	Banking Certificate Examination <b>OR</b> Diploma in Financial Planning and Advising
Company Secretaries	Hong Kong Institute of Company Secretaries	International Qualifying Scheme – Part I
Investment & Finance	Chartered Financial Analyst	Completed Level I
	Securities and Futures Commission	Licensing Examinations (HKSI) <b>OR</b> Licensed representatives / responsible officers
Insurance	Officer of the Commissioner of Insurance	Insurance Intermediaries Quality Assurance Scheme (VTC) <b>OR</b> Licensed insurance agents or brokers
	The Life Underwriters Association of Hong Kong	Any two modules of the education program
Financial Planning	Society of Registered Financial Planners Limited	Any two papers of the qualifying examination
	The Chartered Insurance Institute with The Institute of Financial Planners of Hong Kong	Financial Advisers' International Qualification
	General Agents and Managers Association	Any two papers of the CIAM
	International Association of Registered Financial Consultants	Registered Financial Consultant Self Study and Examination

**Recognition of Professional Qualifications for Associate Membership**

<b>Qualifications/Membership</b>	<b>Qualifications/Membership</b>
Chartered Financial Analyst (CFA)	Fellow of Australian and New Zealand Institute of Insurance and Finance (ANZIIF (Fellow))
Chartered Financial Consultant (ChFC)	Fellow of Chartered Insurance Institute (FCII)
Chartered Life Underwriter (CLU)	Fellow of the Society of Actuaries (FSA)
Certified General Accountant (CGA)	Member of Hong Kong Bar Association
Certified Management Accountant – Australia, Canada, USA (CMA)	Member of Hong Kong Law Society
Doctoral Degree in Business/Economics	Member of Hong Kong Institute of Certified Public Accountants

As at 16 June 2008