



24 June – 14 July 2020



Enjoy a 10% discount off for enrolling 2 or more modules in one time

HKIB CPD	PWMA OPT	SFC CPT	IA CPD
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Programme Outlines

Certified Private Wealth Professionals (CPWP) Module 2 – Ethics and Compliance (Ref No: 80/74/29)

Programme & Module	Outlines
<p>3 Core Hours</p> <p>HD000000P200651 Regulatory Regime in Hong Kong and Requirements on Sale of Investment Products</p> <p><i>(Refer to CPWP M2 Exam Syllabus Topic 1, 2)</i></p>	<ul style="list-style-type: none"> ■ Legal and Regulatory Regime in Hong Kong <ul style="list-style-type: none"> □ The Banking Ordinance overview □ Key regulatory requirements applicable to property lending ■ Key Provisions relevant to Private Wealth Management <ul style="list-style-type: none"> □ Securities and Futures Ordinance (SFO), Deposit Protection Scheme (DPS) ■ Regulatory Requirements on Sale of Investment Products <ul style="list-style-type: none"> □ Sale of investment products: general matters □ Regulatory requirements relevant to the sale of investment products □ Professional investor regime □ Application of the suitability obligation to the sale of specific types of investment products □ Internal controls
<p>3 Core Hours</p> <p>HD000000P200652 Relevant Laws and Regulations relating to Client Engagement and Relationship Building</p> <p><i>(Refer to CPWP M2 Exam Syllabus Topic 3)</i></p>	<ul style="list-style-type: none"> ■ Core Compliance Knowledge for Private Wealth Management <ul style="list-style-type: none"> □ Anti-money laundering (AML) and counter-terrorist financing (CTF) laws and regulations □ Personal Data (Privacy) Ordinance, Cap 486 ■ Laws and Regulations relating to Client Engagement and Relationship Building <ul style="list-style-type: none"> □ Looking for potential customers □ Understanding restrictions on “suitcase banking” and related risks □ On-boarding a customer □ Managing the customer relationship ■ When things go wrong <ul style="list-style-type: none"> □ Complaint handling □ Regulatory investigations □ Powers of SFC and HKMA
<p>3 Core Hours</p> <p>HD000000P200753 Ethics and Practical Application of Legal and Regulatory Requirements for Private Banking</p> <p><i>(Refer to CPWP M2 Exam Syllabus Topic 4-6)</i></p>	<ul style="list-style-type: none"> ■ Ethical Standards set by Private Wealth Management Association <ul style="list-style-type: none"> □ General principles □ Risk management and client complaints ■ Fiduciary Duties and Ethical Values <ul style="list-style-type: none"> □ Understand issues which appear to compromise professional, legal or ethical standards including any perceptions thereof □ Duties and obligations of licensed and registered persons and directors: Keep up-to-date & comply with policies and procedures ■ Professional Conduct for Private Banking <ul style="list-style-type: none"> □ Put professional interests ahead of personal agenda, avoid and manage conflicts of interest □ Protect confidentiality of customer data ■ Practical Application of Legal and Regulatory Requirements in private wealth management context <ul style="list-style-type: none"> □ Misappropriation of customer assets □ System and control, Know Your Client (KYC) □ Other types of misconduct
<p>3 Core Hours</p> <p>HD000000P200754 Risk Management, Risk Governance and Risk Culture of Private Wealth Management Institutions</p> <p><i>(Refer to CPWP M2 Exam Syllabus Topic 7-8)</i></p>	<ul style="list-style-type: none"> ■ Controls and Accountabilities; Reporting and Escalation Policies <ul style="list-style-type: none"> □ Overview □ Controls and Accountabilities □ Reporting and escalation policies ■ Risk Management of Private Wealth Management Institutions <ul style="list-style-type: none"> □ Overview of risk management ■ Risk Governance and Risk Culture of Private Wealth Management Institutions <ul style="list-style-type: none"> □ Principles of proper risk governance, risk culture, risk appetite and values □ Relevance of risk governance and culture to a practitioner’s business conduct □ Impact and responsibilities of a practitioner’s actions to customers, the institution and other stakeholders ■ Remuneration System <ul style="list-style-type: none"> □ Setting and monitoring of remuneration system that align with risk management objectives of the institute □ Risk management & compliance □ Ensure personal and team compliance □ Best practices & case studies



Certified Private Wealth Professional (CPWP) Module 2 Ethics and Compliance Refresher Programme

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Programme Objectives

By the end of programme, the participant will be able to:

- Demonstrate an adequate understanding and practical application of legal and regulatory requirements, and ethics relevant for practitioners
- Demonstrate a broad-based view of risk governance, risk culture and risk management, and an understanding of the wider implications and long-term impact of own actions on various stakeholders.

Target Audience

- PWM industry practitioners engaged by PWM institutions who are involved in customer-facing roles making personalized or customized solicitations or recommendations to customers in the provision of securities dealing and advisory service and/or portfolio management service.
- PWM industry practitioners who require OPT hours
- Insurance intermediaries and brokers, SFC licensees and HKIB qualification holders who require CPD, CPT hours

Programme Details

Language : English

Date : 24 June – 14 July 2020

Enquiry : programme@hkib.org

Enquiry Hotline : (852) 2153 7800

Enrollment : By email application.form@hkib.org / In person to our Institute

Delivery Mode : **Virtual Classroom** via Zoom / Webex

Special Offer : Enrol 2 or more modules in one time, enjoy a 10% discount

Registration Form

Certified Private Wealth Professional (CPWP) Module 2 Ethics and Compliance Refresher Programme Series

Programme & Module		Time	Course Fees
Certified Private Wealth Professionals (CPWP) Module 2 – Ethics and Compliance (Ref. 80/74/29) 	<input type="checkbox"/> Regulatory Regime in Hong Kong and Requirements on Sale of Investment Products (HD000000P200651) 3 Core Hours	24 June 2020 (Wed) 19:00 – 22:00	HK\$780
	<input type="checkbox"/> Relevant Laws and Regulations relating to Client Engagement and Relationship Building (HD000000P200652) 3 Core Hours	29 June 2020 (Mon) 19:00 – 22:00	HK\$780
	<input type="checkbox"/> Ethics and Practical Application of Legal and Regulatory Requirements for Private Banking (HD000000P200753) 3 Core Hours	8 July 2020 (Wed) 19:00 – 22:00	HK\$780
	<input type="checkbox"/> Risk Management, Risk Governance and Risk Culture of Private Wealth Management Institutions (HD000000P200754) 3 Core Hours	14 July 2020 (Tue) 19:00 – 22:00	HK\$780

*Turning on the video function and showing your face during the training is needed for attendance requirement in order to obtain attendance or CPD/CPT certificate.

Have you applied grandfathering assessment to PWMA? Yes No

Full Name : Mr / Ms _____ (In English as on ID Card)

Full Name : _____ (In Chinese)

HKID No : _____

Membership No : _____

Organisation : _____

Position : _____

Department : _____

Mobile No : _____

Mailing Address : _____

E-mail : _____

Payment Method : A cheque / e-Cheque made payable to “The Hong Kong Institute of Bankers” (cheque no. _____).

** For e-Cheque, please state the programme code under ‘remarks’ and email together with the completed enrolment form to programme@hkib.org

Credit Card : VISA Master

Amount : HK\$ _____

Cardholder’s Name : _____

Signature : _____

Card No. : _____

Expiry Date : _____ (mm/yy)

How did you know about this programme?

- Website HR Department E-News Others (Please specify) _____
 Friends / Colleagues Banking Today HKIB Counter

Terms and Conditions

- All fees paid are non-refundable and non-transferrable.
- Participants who have settled payments will receive course confirmation by e-mail at least 5 working days prior to the programme date.
- All payments must be settled before programme commencement.
- Priority of enrolment will be given on a ‘first-come-first-serve’ basis. HKIB Member will have priority to register if there is limited seat remained for the programme.
- HKIB would issue the ‘Certificate of Attendance to participants who have complied with the ‘[HKIB Attendance Policy](#)’.
- The Certificate will be mailed to the corresponding address within 15 working days after completion of the programme.
- We reserve the right to reject an enrolment at any time.
- We reserve the right to cancel, modify and/or postpone the programme due to unforeseen circumstances.
- The information given and personal data collected will be used for the purpose of administration and communication by the Institute.
- For the Typhoon or Rainstorm arrangement, please refer to the confirmation e-mail or HKIB’s website (www.hkib.org).



Please visit HKIB website for more public programmes

* This address is only used for sending the programme certificate

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Name : _____

Address : _____

Name : _____

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