



**HKUSPACE**  
香港大學專業進修學院  
HKU School of Professional and Continuing Education



# PROFESSIONAL PROGRAMMES IN FINANCIAL PLANNING

## 財務策劃專業課程

HKU SPACE is a registered provider of the  
Institute of Financial Planners of Hong Kong's education programme

The University of Hong Kong  
School of Professional and Continuing Education  
College of Business and Finance

<http://hkuspace.hku.hk/cbf> Enquiry: 2867 8467 / 2867 8483 Fax: 2861 2404

CFP<sup>CM</sup>, CERTIFIED FINANCIAL PLANNER<sup>CM</sup> and  CFP<sup>CM</sup>, AFPTM, ASSOCIATE FINANCIAL PLANNER<sup>TM</sup> and  AFP are certification marks and / or trademarks owned outside the U.S. by Financial Planning Standards Board Ltd. The Institute of Financial Planners of Hong Kong is the marks licensing authority for the CFP marks and AFP marks in Hong Kong and Macau, through agreement with FPSB.

# PROFESSIONAL PROGRAMMES IN FINANCIAL PLANNING

## RECOGNITION OF HKU SPACE'S IFPHK REGISTERED PROGRAMMES IN FINANCIAL PLANNING

HKU SPACE is fully registered and approved by the Institute of Financial Planners of Hong Kong (IFPHK) to offer programmes in Financial Planning. The Professional Diploma in Financial Planning meets the education requirement of IFPHK to sit for the ASSOCIATE FINANCIAL PLANNER™ and CERTIFIED FINANCIAL PLANNER<sup>CM</sup> certification examinations. In addition, the Advanced Professional Diploma in Financial Planning allows students to apply for entry into Year 4 of Edinburgh Napier University's BA(Hons) Financial Services programme.

The Institute of Financial Planners of Hong Kong Limited (IFPHK) was established in June 2000 as a professional self-regulatory body to benefit the public by fostering the highest professional standards in personal financial planning. IFPHK has been authorized by the Financial Planning Standards Board Limited to be the sole licensing body for issuing the AFP and CFP marks in Hong Kong and Macau.

## PROFESSIONAL DIPLOMA IN FINANCIAL PLANNING

The Professional Diploma in Financial Planning consists of modules that allow students to qualify for the AFP and CFP certification examinations. The 5 modules are divided into the 3 levels below corresponding to the level of the professional examination aimed at:

### *AFP Certification Education Programme:*

1. Fundamentals of Financial Planning for AFP

### *CFP Certification Education Program (Level 1):*

2. Investments
3. Insurance
4. Tax Planning and Estate Planning

### *CFP Certification Education Program (Level 2)*

5. Advanced Financial Planning

## ADVANCED PROFESSIONAL DIPLOMA IN FINANCIAL PLANNING

The Advanced Professional Diploma in Financial Planning requires students to complete an additional 7 business modules on top of the 5 modules in the Professional Diploma in Financial Planning (12 modules in total). The additional 7 business modules are as follows:

6. Principles of Accounting
7. Economics
8. Law
9. Basic Finance
10. Management Information System
11. Organization and Management
12. Marketing of Financial Services

## BECOMING AN AFP CERTIFICANT

The AFP Certification is an intermediate level financial planning qualification issued by IFPHK that will provide practitioners with fundamental knowledge and skills needed to develop a career in the financial planning industry. Obtaining the AFP Certification qualification requires satisfying the 4E's:

- Education:** Complete the AFP Certification Education Programme
- Examination:** Pass the AFP Certification Examination offered by IFPHK.
- Experience:** Accumulate at least 1 year of qualified full-time working experience.
- Ethics:** Abide by IFPHK's Code of Ethics and Professional Responsibility

Students should check IFPHK's website at [www.ifphk.org](http://www.ifphk.org) for more details on the AFP Certification requirements as well as possible exemptions from the AFP Certification Education Programme and AFP Certification Examination.



## BECOMING A CFP CERTIFICANT

Obtaining the CFP Certification qualification also involves satisfying the 4E's:

**Education and Examination (Level 1):** Complete the CFP Certification Education Program (Level 1) and CFP Certification Examination (Level 1)

**Education and Examination (Level 2):** Complete the CFP Certification Education Program (Level 2) and CFP Certification Examination (Level 2)

**Experience:** Accumulate at least 3 years of qualified full-time working experience.

**Ethics:** Abide by IFPHK's Code of Ethics and Professional Responsibility

Students should check IFPHK's website at [www.ifphk.org](http://www.ifphk.org) for more details on the CFP Certification as well as possible exemptions from the CFP Certification Education Programme and CFP Certification Examination.

## ENTRY REQUIREMENTS

The minimum entry requirement is 21 years of age with 3 years working experience or 5 passes in the Hong Kong School Certificate Examination (HKCEE) or equivalent.

## ASSESSMENT

The assessment comprises 30% course work and 70% final examination except for Advanced Financial Planning, which comprises 10% class participation, 30% group assignments and 60% comprehensive written financial plan.

## EXEMPTIONS

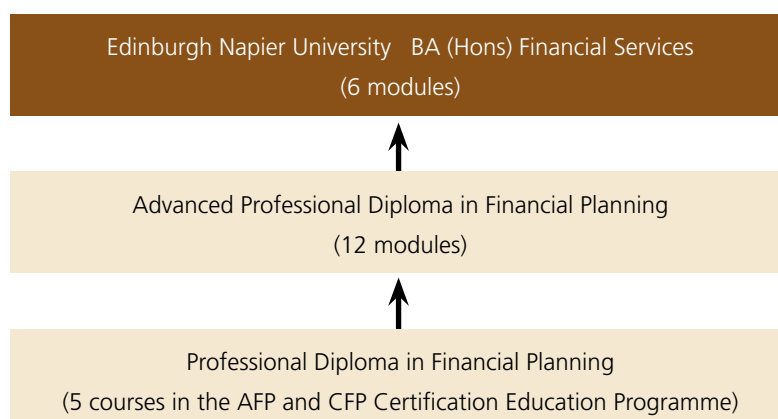
Exemptions for all modules in the AFP Certification Education Programme and CFP Certification Education Programme will be considered by IFPHK. Please apply directly to IFPHK for these exemptions. Exemptions for the 7 business modules will be considered by HKU SPACE. Please attach all relevant transcripts with your application. The maximum number of exemptions for the Advanced Professional Diploma in Financial Planning is 7.

## ARTICULATION TO EDINBURGH NAPIER UNIVERSITY'S BA(HONS) FINANCIAL SERVICES DEGREE

Edinburgh Napier University, Scotland, currently offers a part-time top-up programme leading to the award of BA(Hons) Financial Services through HKU SPACE. Graduates of the Advanced Professional Diploma in Financial Planning (12 modules) can gain entry to Year 4 of this four-year degree programme. Students must complete the following 6 modules in year 4 to be awarded the Bachelor degree by Edinburgh Napier University:

1. Investment Analysis and Funds Management
2. Regulatory Risk Management
3. Management of Financial Institutions
4. Global Financial Markets
5. Economics of Business Strategy
6. Monetary Theory and Policy

The following diagram illustrates the progression from HKU SPACE Financial Planning programmes to Edinburgh Napier University's BA(Hons) Financial Services:



## APPLICATION

IFPHK candidacy is a pre-requisite for the programme.

Applicants should fill in the enclosed application form and take it in person to one of the locations below. Applicants should include a non-refundable application fee of HK\$150 to cover the cost of processing (Cheques should be crossed and make payable to "HKU SPACE"). Please also bring the original and photostat copies of your ID card and relevant certificates and transcripts.

Please also note the closing dates for receiving applications:

- April 15 for the May semester
- August 15 for the September semester
- December 15 for the January semester

Applicants are required to complete the enclosed application form and submit together with relevant payment to any of the following offices:

- |   |  |   |
|---|--|---|
| (i) HKU SPACE Admiralty Learning Centre<br>3/F, Admiralty Centre, 18 Harcourt Road, Hong Kong<br>(Exit A, Admiralty MTR Station)<br>Weekdays: 8:30 am to 7:30 pm<br>Saturdays: 8:30 am to 5:30 pm<br>Telephone: 3761 1111 Fax: 2559 4666          | (iv) HKU SPACE Island East Campus<br>2/F, 494 King's Road, North Point Hong Kong<br>(Exit B3, North Point MTR Station)<br>Weekdays: 8:30 am to 7:30 pm<br>Saturdays: 8:30 am to 5:30 pm<br>Telephone: 37620000 Fax: 2214 9493            | (vii) HKU SPACE Po Leung Kuk Community College<br>(HPCC) Campus<br>1/F, HPCC Campus, 66 Leighton Road, Causeway Bay,<br>Hong Kong<br>Weekdays: 9:00 am to 5:30 pm<br>Saturdays: closed<br>Telephone: 3923 7171 Fax: 3923 7188 |
| (ii) HKU SPACE HKU Campus<br>3/F, T.T. Tsui Bldg, The University of Hong Kong<br>Pokfulam Road, Hong Kong<br>Weekdays: 8:30 am to 6:00 p.m<br>Saturdays: closed<br>Telephone: 2975 5680 Fax: 2546 3538  | (v) HKU SPACE Kowloon West Campus<br>38-46, Nassau Street, Mei Foo Sun Chuen (Phase 6),<br>Kowloon (Exit B, Mei Foo MTR Station)<br>Weekdays: 8:30 am to 7:30 pm<br>Saturdays: 8:30 am to 5:30 pm<br>Telephone: 3762 4000 Fax: 2302 1609 |   |
| (iii) HKU SPACE Fortress Tower Learning Centre<br>14/F, Fortress Tower, 250 King's Road, North Point<br>Hong Kong (Exit B, Fortress Hill MTR Station)<br>Weekdays: 8:30 am to 7:30 pm<br>Saturdays: closed<br>Telephone: 3762 0888 Fax: 2508 9349 | (vi) HKU SPACE Kowloon East Campus<br>1/F, 28 Wang Hoi Road, Kowloon Bay, Kowloon<br>(Exit B, Kowloon Bay MTR Station)<br>Weekdays: 8:30 am to 7:30 pm<br>Saturdays: 8:30 am to 5:30 pm<br>Telephone: 3762 2222 Fax: 2205 5070           |   |

\* Our Learning Centre staff are able to certify photocopies of the supporting documents.

## PROGRAMME ENQUIRIES

HKU SPACE College of Business and Finance, HKU SPACE  
34/F, United Centre, 95 Queensway, Hong Kong

Tel : 2836 8467 / 8483 Fax : 2861 2404 E-mail : [cfp@hkuspace.hku.hk](mailto:cfp@hkuspace.hku.hk)



**PROFESSIONAL PROGRAMMES IN FINANCIAL PLANNING**

FN 60-104-00

For office use only

Admitted  
 Waiting List  
 Rejected

IFPHK Candidate No. (if applicable)

**PERSONAL PARTICULARS**

Name in Chinese

Name in English

Title \* Mr. / Mrs. / Ms. / Miss    Sex \* Male / Female

Date of Birth

HKID Card / Passport No.

Permanent HK Resident    Yes     No

Correspondence Address

Home Telephone

Mobile Phone

Office Telephone

Email Address

Fax Number

Current Occupation

Position

\* Please delete the inappropriate

**ACADEMIC QUALIFICATION (in reverse chronological order)**

Institution	Award Received	Dates of attendance (From / To)	Part-time or Full-time

Name

Full Postal Address

← Please also complete this part  
請填寫此部分

**Note :** This application acknowledgment is not complete without validation by official printing machine entry of the details above at the University or Town Centre office of the School of Professional and Continuing Education, The University of Hong Kong.

## EMPLOYMENT HISTORY (in reverse chronological order)

Please state qualifications relevant to the programme/course entry requirements you are applying for and attach the relevant proof of qualifications.

Name of Employer	Job Title	Date (From / To)

### Equal Opportunities for Learning at HKU SPACE

It is the School policy to offer equal opportunities to all applicants with or without disabilities. To enable us to meet the needs of all students, you are invited to indicate on this form whether you require any special assistance. If you do need such assistance, the School may approach you subsequently to obtain further details so as to facilitate our planning and assess how best we can help you.

Special assistance required  Yes  No

Please be assured that any personal information you supply will be kept strictly confidential.

### Notes

1. Personal Data provided in this form will be used for processing your application for admission, and for registration, academic, administrative, alumni management, research, statistical and marketing purposes. The data will be solely handled by HKU SPACE staff but may be transferred to an authorized third party providing services to the School in relation to the above purposes and prescribed purposes as allowed by HKU SPACE and the law from time to time. In all such circumstances data will be treated in strict confidence.
2. Applicants are advised to provide all the information requested in the application documents, where applicable, as otherwise the School may be unable to process and consider their applications. Upon enrolment, applicants will be required to submit a recent passport colour photo for student identification purpose.
3. Please refer to the HKU SPACE Prospectus and the official website for full details of enrolment procedures for HKU SPACE Programmes.
4. When the processing and consideration of all the applications for a particular programme have been completed:
  - (a) the application papers of unsuccessful candidates will be destroyed; and
  - (b) the application papers of successful candidates will be handled by HKU SPACE staff only or by staff of an authorized third party providing services to the School.
5. Under the provisions of the Personal Data (Privacy) Ordinance, applicants have rights to request access to, and to request the correction of, their personal data. Applicants wishing to access or make corrections to their data, should submit written requests to HKU SPACE.
6. All new enrolled students to the School will automatically become a member of the HKU SPACE ALUMNI. You may, however, contact the Alumni Affairs Office if you would like to de-register your membership.
7. Note to Non-resident applicants:
  - i) All non-resident applicants are required to obtain a visa to study in HKSAR.
  - ii) It is the responsibility of all applicants to arrange their own visas before entering the HKSAR.

### Declaration

1. I declare that all information given in this application form and the attached documents are, to the best of my knowledge, accurate and complete.
2. I consent that if registered, I will conform to the Statutes and Regulations of the University and the rules of the School.
3. I have noted, understood and agreed the contents of these NOTES and HKU SPACE policy on personal data privacy.

*Signature*

*Date*

## HKU School of Professional and Continuing Education

1. The completed form together with the application fee, course fees and certified true copies of supporting documents should be addressed to "The Programme Director, Professional Programmes in Financial Planning, College of Business & Finance, HKU SPACE" 34/F, United Centre, 95 Queensway, Hong Kong.
2. Please see "Application Procedures" in brochure before submitting your application. Receipt of course fee is not an acceptance of admission onto the programme.
3. Bank drafts and crossed cheques should be made payable to HKU SPACE.
4. If admission is on a first-come, first-served basis and if you do not hear from us before the course starts, you may assume that your application has been accepted, and should attend the course as scheduled.
5. If admission is by selection, then this receipt is not a guarantee that your application has been accepted. We will inform you of the result as soon as possible after the closing date for application. Unsuccessful applicants will be given a refund of course fee if already paid.
6. If you do not know the teaching venue within 3 days of the starting date of the course, please check with the relevant subject area.
7. Fees paid are not refundable except as statutorily provided or under very exceptional circumstances.
8. The \$150 application fee is non-refundable.
9. Mounting of each programme intake is subject to sufficient enrolment and solely at the discretion of the School.
10. HKU SPACE reserves the right to make changes in the programme at anytime, before or after students' admission.

## Letter of Authorization

### 授權書

(Special Arrangements for Persons Enrolling on  
FN 60-104-09(12) / FN 60-104-10(12) / FN 60-104-14(12))  
( 予報讀 FN 60-104-09(12) / FN 60-104-10(12) / FN 60-104-14(12) 人士的特別安排 )

I, the undersigned, hereby authorize HKU School of Professional and Continuing Education (SPACE) to submit the attached candidacy application on my behalf and to check with Institute of Financial Planners of Hong Kong (IFPHK) the progress of this candidacy application. I also authorize IFPHK to disclose this candidacy application result to SPACE.

本人為下方簽署人，現授權香港大學專業進修學院（SPACE）代表本人遞交候證人資格申請表格，及向香港財務策劃師學會（IPFHK）查詢是次候證人資格申請的情況；本人亦授權IPFHK向SPACE披露是次申請的結果。

Signature  
簽名 : \_\_\_\_\_

Name  
姓名 : \_\_\_\_\_

HKID/Passport No.  
身分證 / 護照號碼 : \_\_\_\_\_

Date  
日期 : \_\_\_\_\_