



# 提升資產財富管理業人才培訓先導計劃

## Pilot Programme to Enhance Talent Training for the Asset and Wealth Management Sector

主辦單位：香港特別行政區政府財經事務及庫務局

Organiser: Financial Services and the Treasury Bureau of the HKSAR Government

執行伙伴：

香港證券及投資學會

Implementation agent: Hong Kong Securities and Investment Institute

## Financial Incentive Scheme for Professional Training

### Notes for Applicants

### General Information

1. The Financial Services and the Treasury Bureau has engaged the Hong Kong Securities and Investment Institute (the “HKSI Institute”) to implement the Financial Incentive Scheme for Professional Training (“Scheme”) under the Pilot Programme to Enhance Talent Training for the Asset and Wealth Management Sector (the “Programme”) since 1 October 2016. The Scheme aims to enhance the competency and professionalism of in-service practitioners within the asset and wealth management (“WAM”) sector and to assist other practitioners within the financial services industry in acquiring the knowledge and skills required for entering the WAM field. Eligible applicants will be reimbursed 80% of the course fees upon satisfactory completion of a course, subject to a maximum of \$15,000 (Note: The cap was \$10,000 prior to 1 April 2023) per person on all eligible courses throughout the Scheme. To benefit more industry practitioners, the applicable terms and period for in-between jobs licensees have been updated. They can apply for subsidies under the Scheme provided that they have been employed in the manner as listed in 3.1(9) below.
2. For information about the eligible programmes / seminars, please refer to the Programme’s website at [https://www.wamtalent.org.hk/eng/financial\\_incentive/Eligible\\_training\\_programmes.html](https://www.wamtalent.org.hk/eng/financial_incentive/Eligible_training_programmes.html).

### Eligibility

3. Applications should only be made by individuals. Applications from companies or organizations will not be accepted.
  - 3.1 The applicant must be a Hong Kong resident lawfully employable in Hong Kong and fulfil the following eligibility criteria:
    - (1) an individual in full-time employment with a Financial Institution licensed by or registered with the Securities and Futures Commission (“SFC”) or Hong Kong Monetary Authority (“HKMA”);
    - (2) an individual in employment with or engaged by an insurer, an insurance broker company or an insurance agency;
    - (3) an individual in full-time employment with a trust company registered under Part 8 of the Trustee Ordinance (Cap. 29);



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- (4) an individual in full-time employment with a firm or corporate practice registered with the Hong Kong Institute of Certified Public Accountants (“HKICPA”);
- (5) an individual in full-time employment with a trustee approved by the Mandatory Provident Fund Schemes Authority (“MPFA”) under the Mandatory Provident Fund Schemes Ordinance (Cap. 485);
- (6) an individual in full-time employment with a trust or company service provider licensed by the Companies Registry under the Anti-Money Laundering and Counter-Terrorist Financing Ordinance (Cap. 615);
- (7) an individual in full-time employment with any agency engaged by any of the employers or engagers mentioned in (1) – (6) above to provide personnel;
- (8) an individual in full-time employment with a member company of a group which has a subsidiary which is any of the employers mentioned in (1) – (6) above; or
- (9) an individual who is not under full-time employment at the time of attending the courses but previously has been licensed and employed in the manner as below at any time during the period from 1 January 2023 to 31 December 2025:
  - (i) a licensed individual in full-time employment with a Financial Institution licensed by the Securities and Futures Commission;
  - (ii) a licensed securities staff in full-time employment with an authorised institution registered with the Hong Kong Monetary Authority;
  - (iii) a licensed individual insurance agent, a licensed technical representative (agent) or a licensed technical representative (broker); or
  - (iv) a certified public accountant registered with the Hong Kong Institute of Certified Public Accountants and in full-time employment with a firm or corporate practice registered with the Hong Kong Institute of Certified Public Accountants.

3.2 The applicant must not have received any other form of subsidy or financial assistance for 80% of the course fees to be reimbursed under the Scheme from any publicly-funded schemes and / or the applicant’s employer.

3.3 The applicants are required to switch the camera on throughout the class for live webinars.

### Reimbursement of course fees

- 4. Each successful applicant will be reimbursed 80% of their course fees, subject to a maximum of \$15,000 per person since the launch of the Scheme from 1 October 2016 onwards. Each applicant can apply for reimbursement for more than one courses. Duplicated applications for the same course will not be accepted. Only the fees incurred for enrolling in eligible course(s) can be reimbursed. Other charges, such as registration fees, administration fees, examination fees, late charges or any other miscellaneous charges are not eligible for reimbursement.



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5. All applications for reimbursement will be processed on a first-come-first-served basis until funding for the Scheme has been fully committed. The date of receipt of the completed application form and all required supporting documents (as stated at paragraph 7 below) by the HKSI Institute will be regarded as the date of application.

### Payment method

6. Payment will be made to the successful applicant by direct credit to the local bank account (savings account or current account denominated in Hong Kong Dollar or accepting Hong Kong Dollar transactions) nominated by the applicant. The name of the account holder must be identical to the name shown on the applicant's Hong Kong Identity Card.

### Procedures for application

7. Online application

After completing the application form via the online application portal, the applicant will receive a unique system-generated application number for reference. The applicant shall print out the form and sign on Section C & Annex A of the form, and submit the complete set of application form together with the **FIVE supporting documents** listed below by mail or in person to the HKSI Institute's office. All documents must be submitted **within FOUR months** from the last day of the course attended. Late or incomplete applications will not be accepted.

- 7.1 a copy of the applicant's Hong Kong Identity Card;
- 7.2 a copy of the certificate issued by the course provider certifying that the applicant has completed the course to the satisfaction of the provider;
- 7.3 the original receipt of the course fee payment issued by the course provider (with name of applicant, name of the course attended and course date);
- 7.4 a documentation of the personal bank account for direct credit of reimbursement in the form of
  - a copy of the front page of bank passbook; or
  - a copy of the bank account statement; or
  - a copy of a bank debit card; or
  - a copy of blank personal cheque.

(Note: The copy must clearly show the name of the bank, the account number, of which the reimbursement will be credited to and the name of the account holder, which must be identical to the name shown on the applicant's Hong Kong Identity Card); and



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### 7.5. Supporting documents of the employment status as below:

- 7.5.1 for in-service practitioners currently under employment, an original company letter issued by **or** an employment certification form (“Form”) endorsed by the applicant’s employer **with an authorised signature and the employer’s company chop stamped**, certifying that on the commencement date of the course attended, the applicant is in full-time employment with an entity specified in paragraph 3.1 (1) – (8) above and that the applicant has not received any form of subsidy or financial assistance for 80% of the course fees to be reimbursed under the Scheme from the employer.
- 7.5.2 for financial service licensees who are in-between jobs as mentioned in 3.1 (9) above, both (1) the employment certificates or reference letters from the last employer to prove the employment; **and** (2) the applicant’s licence/registration number given by the relevant authority (i.e. SFC, HKMA, Insurance Authority, MPFA or HKICPA) to facilitate our checking against the public registers.

### 8. Paper application form

The Paper application form can be downloaded via the link below:

[https://www.wamtalent.org.hk/eng/professional\\_training/downloads.html](https://www.wamtalent.org.hk/eng/professional_training/downloads.html)

Applicants using the paper application form must come in person to the HKSI Institute’s office to submit the application. Submission by post or by courier will **NOT** be accepted. For details of the application procedure with respect to paper application form, please refer to the ‘Application Procedures’ section of the form.

- 9. Applicants may be required to verify the information submitted and / or to provide additional information where necessary for further processing.
- 10. All documents submitted are not returnable. Applicants are advised to retain copies for their own reference.

### Fraud Prevention Measures

- 11. The HKSI Institute will sample check the employment status, course attendance, etc., to verify the information submitted. Please ensure that the information provided is complete and accurate. Any person who to his / her knowledge supplies false or misleading information or is subsequently found to have failed to meet the relevant requirements as stipulated in paragraph 3 above, without prejudice to any powers, rights, remedies and claims that the Government may have hereunder or in law, the Government shall be entitled to reject or disqualify this application immediately, or as the case may be, terminate immediately the provision of course fee reimbursement under the Programme to the applicant and require the applicant to repay to the HKSI Institute forthwith upon demand all moneys provided to the applicant and any associated administration fee incurred by the HKSI Institute.



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Obtaining benefits for oneself or another by furnishing false or misleading information may constitute a criminal offence and the offender may be liable to criminal prosecution.

12. The HKSI Institute reserves the right to contact the course providers, employers, other government departments and organisations at any time to verify the information provided in the application with those held by them for the purposes mentioned in paragraph 11 above.

### Privacy

13. Applicants are obliged to supply information pertaining to their personal data, as required in the application. In accordance with section 3.2.1.2 of the Code of Practice on the Identity Card Number and Other Personal Identifiers issued by the Office of the Privacy Commissioner for Personal Data, applicants are requested to furnish a copy of their Hong Kong Identity Card. If an applicant fails to comply with these requirements, the HKSI Institute may not be able to process his / her application.
14. The personal data in the application are collected and kept for the purposes of: (i) activities relating to the processing, vetting and reviewing of the application, reimbursement of course fees, follow-up on employment status; (ii) activities relating to the recovery of payments, if any; and (iii) opinion surveys, statistics, research, reporting and promotions.
15. The personal data and other supplementary information that are provided in the application may be disclosed to the applicant's employer, government bureaux / departments, course providers and / or their commissioned research consultants and agencies for the purposes set out in paragraph 14 above or any other legitimate purposes as may be required, authorised or permitted by law.
16. In accordance with sections 18 and 22 and Principle 6 of Schedule 1 of the Personal Data (Privacy) Ordinance (Chapter 486 of the Laws of Hong Kong), applicants have the right to request access to and correction of the personal data supplied in their applications. The HKSI Institute may collect a fee from applicants who wish to obtain a copy of their personal data.
17. Enquiries concerning the personal data supplied in the applications and requests for the correction of such data may be made in writing to the HKSI Institute.



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### Enquiries

18. Enrolment and all relevant administration of the eligible courses are fully responsible by the respective course providers. For any queries about the course arrangements, such as venue or class schedule for instance, please contact the course providers concerned directly.
19. For enquiries, comments or complaints related to the Scheme, please email to [training@wamtalent.org.hk](mailto:training@wamtalent.org.hk) or call the HKSI Institute office at 3120 6100 or visit the office at 17/F, Cambridge House, Taikoo Place, 979 King's Road, Quarry Bay, Hong Kong. Please refer to website [www.wamtalent.org.hk](http://www.wamtalent.org.hk) for details.

### Government Disclaimers

20. Whilst the information provided by the Government in these Notes for Applicants and the Application Form (collectively, the “Application Documents”) has been prepared in good faith, none of them claims to be comprehensive or to have been independently verified. Neither the Government, nor any of its officers, agents or advisors, accepts any liability or responsibility as to, or in relation to, the adequacy, accuracy or completeness of the information contained in the Application Documents or any other written or oral information which is, has been or will be provided or made available to any Applicant; nor do they make any representation, statement or warranty, express or implied, with respect to such information or to the information on which the Application Documents is based. Any liability in respect of any such information or any inaccuracy in the Application Form or omission from the Application Form and other Application Documents is expressly disclaimed. Nothing in the Application Form and other Application Documents nor in any other written or oral information which is, has been or will be provided or made available to any Applicant should be relied on as a representation, statement or warranty as to the intentions, policy or action in future of the Government, its officers or agents.
21. Neither the Application Form nor any invitation for submission of applications under the Programme constitutes an offer.
22. The submission of an application for reimbursement of course fees by an Applicant shall be taken to be an acceptance of the terms of these disclaimers by the Applicant.



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### Others

23. In the event of any conflict or discrepancy arising from the Chinese and English versions of this “Notes for Applicants” and the application form, the English Version shall prevail.
24. The parties hereby declare that nothing in this Notes for Applicants confers or purports to confer on any third party any benefit or any right to enforce any term of this Contract pursuant to the Contracts (Rights of Third Parties) Ordinance (Cap. 623).

~ End ~