

SPECIMEN CPD RECORD FORM

The purpose of the specimen CPD Record form below is to help members maintain their own CPD details. It must be stressed that this record is for guidance only and the examples included are by *no means exhaustive*.

Notes:

For the rolling three-year period from 1 December 2016 to 30 November 2019, selected members are required to provide details of CPD for **three years** from 1 December 2016 to 30 November 2019.



By Post:

Attn: Admission Department
 Hong Kong Institute of CPAs,
 27/F, Wu Chung House,
 213 Queen's Road East,
 Wanchai, Hong Kong
By Fax: 2575 6852
By email: cpdcompliance@hki CPA.org.hk

Continuing Professional Development (CPD) Record Form

PART I :

Summary of CPD Activities for a rolling three-year period from 1 December 2016 to 30 November 2019
 (This section is not required for members who declared CPD compliance by using State Board or GAA facility.)

	1 st CPD Year * (1 December <u>2016</u> to 30 November <u>2017</u>)	2 nd CPD Year * (1 December <u>2017</u> to 30 November <u>2018</u>)	3 rd CPD Year * (1 December <u>2018</u> to 30 November <u>2019</u>)	Total
No. of verifiable CPD hours	24	46	26	96
No. of non-verifiable CPD hours	5	17	14	36
TOTAL CPD HOURS	29	63	40	132

* A detailed record of the CPD activities for each CPD year is listed in the subsequent pages.

Name : CHAN CAP PAC

Membership No. : A99999 Insolvency SD No. : _____
 (if applicable)

Email Address : chancpa@hki CPA.org.hk

Contact No. : (Mobile) (852) 9876 5432 (Office / Residence) (852) 2345 6789

Signature : CHAN CAP PAC Date : 2 May 2020

Summary of job details during the rolling three-year period from 1 December 2016 to 30 November 2019
 (This section helps the Institute to assess the relevance of CPD activities to member's professional responsibilities.)

Employment period (from <u>MM/YY</u> to <u>MM/YY</u>):	Employer	Position
12/16 to 08/17	ABCD (CPA) Limited	Senior Manager
09/17 to 11/19	The Success Ingredient Co. Ltd.	Audit Partner

Notes:

- (1) A soft copy of this form can be downloaded from the Institute's homepage at http://www.hki CPA.org.hk/file/media/section4_cpd/Continuing Professional Development/record-form.doc
- (2) The CPD activities as listed on this record form must be relevant to professional development. Please refer paras. A7-A8 of Statement 1.500 (Revised July 2014) for guidance on CPD activities.

PART II :

For members of HKICPA who are holders of an active license issued by a State Board of Accountancy ("State Board") of the United States of America or members of an institute that is a member body of the Global Accounting Alliance ("GAA")

Members of HKICPA (except for PC holders) who are also holders of an active license issued by a State Board or members of one or more GAA institutes need only fulfill the CPD requirements of that State Board or of one of those GAA institutes (of which the HKICPA member is also a member) in order to meet HKICPA's CPD requirements. If you are using this facility, you are NOT required to fill in PART I above. Instead, please (i) send to HKICPA your CPD records and (ii) complete the following:

(a) Name of GAA institute / State Board : _____

(b) Year joined : _____ (c) GAA institute's membership no. / State Board's license no. : _____

Name : _____

Membership No. : _____ Contact No. : _____

Email Address : _____

Signature : _____ Date : _____

<https://www.hkicpa.org.hk/en/Professional-development/Continuing-professional-development/Continuing-professional-development-requirements/CPD-FAQ> (question 29).

IMPORTANT

Personal Data (Privacy) Ordinance: personal data collected from CPD Audit will be used for purposes relating to the administration of the CPD compliance matters including CPD Audit. In addition, the Hong Kong Institute of Certified Public Accountants (the "Institute") may use the collected data for statistical research and analysis. When a GAA institute requests information about a member's CPD compliance status with the Institute, the Institute will disclose the relevant information to the GAA institute concerned unless the member has stated in writing during information submission that they do not want the information to be disclosed to that GAA institute. If a government department or authority which is empowered to require information about a member's CPD compliance status with the Institute and requires such information, the Institute will disclose the relevant information to the government department or authority concerned.

Unless otherwise agreed, hard copies of any documents containing your personal data that you provide to the Institute will become the property of the Institute and will not be returned to you. The Institute will destroy any documents it holds in accordance with its internal policy and applicable laws. For details, please refer to the Institute's Privacy policy at www.hkicpa.org.hk/en/service-tools/privacy-policy/.



CPD Record Form for CPD Year 1 : 1 December 2016 to 30 November 2017

Name: CHAN CAP PAC

Membership No.: A99999

CPD Activities		Organizer & Title	Dates / Period	CPD Hours	
				Verifiable	Non-verifiable
(1)	Participation in and work on technical committees of professional bodies	HKICPA - Financial Reporting Standards Committee	Jan – Nov 2017	8	
(2)	Professional examinations or formal tests	HKICPA - PC Law examination Self-study preparation	3 Jun 2017	3 8	
(3)	Providing professional development support as a mentor or coach	Authorized supervisor of HKICPA 1 student x 5 hours	Dec 2016 - Nov 2017	5	
(4)					
(5)					
(6)					
(7)					
(8)					
(9)	Reading technical, professional, financial or business literature or financial press ⁽¹⁾	SCMP – Financial news	Dec 2016 - Nov 2017, Daily		5
(10)					
(11)					
(12)					
Total CPD Hours				24	5

Note ⁽¹⁾ : Reading financial newspapers can claim maximum 5 non-verifiable CPD hours per year.



CPD Record Form for CPD Year 2 : 1 December 2017 to 30 November 2018

Name: CHAN CAP PAC

Membership No.: A99999

CPD Activities	Organizer & Title	Dates / Period	CPD Hours	
			Verifiable	Non-verifiable
(1) Formal study related to professional responsibilities	Executive Certificate in Accounting for Business Managers – HKU SPACE (1) Attend lectures (2) Working on Assignments (3) Examination	Feb - Jul 2018 Feb - Jul 2018 Feb - Jul 2018	30 10 3	
(2) Participation in e-learning courses, conferences, seminars	HKICPA - Anti Money Laundering and Countering-Terrorist Financing: From Practical Perspectives	4 July 2018	1.5	
	HKICPA e-seminar: Updates on Hong Kong Financial Reporting Standard – HKFRS 15 Revenue from Contracts with Customers (audio)	15 Aug 2018	1.5	
(3) Research for application in a professional role, including reading professional literature or journals	ERP II system and application (non-verifiable) - Reading books & journals	Sep – Nov 2018		12
(4) Writing articles, papers or books of a technical, professional, or academic nature <u>for publishing</u> ⁽¹⁾	N/A	N/A		
(5)				
(6)				
(7)				
(8)				
(9)				
(10) Reading technical, professional, financial or business literature or financial press ⁽²⁾	SCMP – Financial news	Dec 2017 - Nov 2018, Daily		5
(11)				
(12)				
Total CPD Hours			46	17

Note ⁽¹⁾ : The publication would be by a third party publishing organization which would have reviewed the article or results as suitable for publication. The actual hours spent on this activity can be regarded as verifiable CPD hours.

⁽²⁾ : Reading financial newspapers can claim maximum 5 non-verifiable CPD hours per year.



CPD Record Form for CPD Year 3 : 1 December 2018 to 30 November 2019

Name: CHAN CAP PAC

Membership No.: A99999

CPD Activities		Organizer & Title	Dates / Period	CPD Hours	
				Verifiable	Non-verifiable
(1)	Participation in face-to-face courses, conferences, seminars	1. HKICPA - Overview of ESG Reporting and Greenhouse Gas Accounting/ Carbon Trading 2. HKICPA workshop: Anti-Money Laundering Workshop 3. HKICPA - China Tax Conference 2019	8 January 2019 13 April 2019 11 May 2019	1.5 3 4	
(2)	"Networking" and "observation, feedback and reflection" together in addition to any networking time included in verifiable CPD events such as conference, seminars	Networking and feedback time (non-verifiable) during the above HKICPA CPD events	Jan – May 2019		5
(3)	Attended organized on-the-job training offered by the employer	Company's in-house training programme: Negotiation Skills for Assurance	9 Apr 2019	2	
(4)	Developed or delivered a course or CPD session in an area related to professional responsibilities	Speaker for company's training course : How to apply hedge accounting Presentation Preparation	21 June 2019	3 8	
(5)	Participation as a speaker in conferences, briefing sessions or discussion groups	XYZ association Speaker for Seminar - Cyber Security Presentation Preparation	30 July 2019	1.5 3	
(6)					
(7)					
(8)					
(9)					
(10)					
(11)	Reading technical, professional, financial or business literature or financial press ⁽¹⁾	1. A-Plus by HKICPA Apr to Nov 2019 issues, 30 mins each 2. SCMP – Financial news	Apr 2019 - Nov 2019 Dec 2018 - Nov 2019, Daily		4 5
(12)					
Total CPD Hours				26	14

Note ⁽¹⁾ : Reading financial newspapers can claim maximum 5 non-verifiable CPD hours per year.