

ICS 03.060
CCS A 11



**NATIONAL STANDARD OF THE
PEOPLE'S REPUBLIC OF CHINA**

GB/T 23697-2009

**Personal financial requirements of financial planners
(English Translation)**

Issued on: May 6, 2009

Implemented on: October 1, 2009

Issued by: Standardization Administration of China

Table of Contents

Preface	
Introduction	
1 Scope	
2 Normative references	
3 Terms and definitions	
4 Process	
4.1 Financial Planning Process	
4.2 To establish and define contract customers and financial planners relationship	
4.3 Collect customer information and determine the contract objectives and expected	
4.4 Analysis of financial condition assessment contract customers	
4.5 Formulate financial planning book	
4.6 Implementation of the Financial Planning	
4.7 Financial Planning trace execution	
5 Ethics	
5.1 Professional Conduct	
5.2 Code of Ethics	
6 Professional capabilities	
6.1 General practitioners the ability to claim	
6.2 Special practitioner competencies	
6.3 Initial verification capability practitioners	
6.4 Practitioners continued proficiency testing	
7 13 years of experience	
7.1 Overview	
14 Years experience in constituting 7.2	
7.3 Requires 14 years of experience	
8 Declaration of Conformity	
14 8.1 Statement of expression	
14 8.2 Statement of scope	

Foreword

This revised standard adopts ISO 22222:2005 "Personal Finance Financial Planner Requirements" (in English).

This standard is based on ISO 22222:2005 redrafted, and ISO 22222:2005 is a technical difference.

Remove ISO 22222:2005 Annex A (informative). Scottish credit and qualifications framework (SCQF) description. Since the country International standards in the appendix is \u200b\u200ban informative annex, and the Scottish credit and qualifications framework (SCQF) in the domestic application of rare, limited applicability, so I to delete.

For ease of use, this standard also made the following editorial changes.

--- Use the "standard" instead of "this International Standard";

--- Remove ISO 22222:2005 Foreword by modifying the ISO 22222:2005 Introduction.

The standard proposed by the People's Bank of China.

This standard by the National Standardization Technical Committee on Finance.

Introduction

The purpose of this standard is to develop in the personal finance field engaged in professional services provide a globally accepted benchmark. Personal Financial Regulation Plan is to help customers achieve their financial goals in the process. Financial planners offer financial planning services to clients.

This standard provides for professional financial planners in ethical behavior, professional capabilities and work experience requirements.

This standard describes the various methods detailed requirements for financial planners and conformity assessment of each method. Financial Planner is a conformity assessment A complex task, requiring knowledge, skills and professional experience can take place. Technical committee of the standard (represented by practitioners, on behalf of the industry Tables and customer representatives) felt strongly that a credible independent third-party certification provides the most reliable method of conformity assessment, it is possible to achieve Protect the customer's purpose.

Therefore, the technical committee recommends that customers find that they are able to prove through independent third party certification bodies for conformity assessment of financial planners to provide services. The certification body shall comply with GB/T 27024 requirements.

Personal Finance Financial Planner Requirements

1 Scope

This standard defines the personal financial planning process and provides for a financial planner professional ethics, professional capabilities and other aspects of the work experience Claim.

This standard applies to all financial planners, irrespective of their professional status.

This standard describes and explains the various methods of conformity assessment of financial planners, and provides the application requirements of each method.

2 Normative references

The following documents contain provisions which, through reference in this standard and become the standard terms. For dated references, subsequent Amendments (not including errata content) or revisions do not apply to this standard, however, encourage the parties to the agreement are based on research Whether the latest versions of these documents. For undated reference documents, the latest versions apply to this standard.

GB/T 27024 Personnel Certification of conformity assessment bodies General requirements (GB/T 27024-2004, ISO/IEC 17024:2003, IDT) ISO/IEC 17000 Conformity assessment - Vocabulary and general principles ISO/IEC 17050 (all parts) conformity assessment supplier's declaration of conformity

3 Terms and Definitions

ISO/IEC 17000, GB/T 27024 and established in the following terms and definitions apply to this standard.

Broadly aware of and understand the basic thematic content, but experts do not expect to reach the depth of subject areas.

Documented by an independent third party certification body.

4.2.3 to accept the terms described customers.

Level of thinking and understanding can be achieved.

NOTE: Refer to 6.2 level thinking.

Execution of products, processes, systems, people, institutions specialized requirements verification. [ISO/IEC 17000] Note. Conformity assessment includes testing, inspection and certification activities, and assessment mechanism that qualified.

Shared financial interests of individuals or a group of individuals.

Note: The family can be seen as a group of individuals.