

LICENSING EXAMINATION FOR SECURITIES AND FUTURES INTERMEDIARIES
ENROLMENT FORM
(for the Paper-based Examination (PBE))
證券及期貨從業員資格考試報名表格
(適用於筆試模式)

For Office Use Only

Receipt No.: _____

Batch No.: L _____

Candidate No.: ST _____

Please read the Licensing Examination for Securities and Futures Intermediaries (LE) Examination Handbook for the PBE carefully before completing this form.
Please complete legibly all parts in BLOCK LETTERS and in BLACK or BLUE INK.
在填寫此表格前請先閱讀證券及期貨從業員資格考試考試手冊(適用於筆試模式)。請用正楷及黑色或藍色原子筆清楚填寫表格。

(Please put a "✓" in the appropriate "□" 請在適當空格內填上"✓"號)

PART 1: Examination Information 第一部份：考試資料

Please select the paper(s) by putting a "✓" in the appropriate "□" and specifying the LE (PBE) examination code below.
請在下列欲報考試卷的"□"內填上"✓"，並填寫所選擇的資格考試(筆試模式)考試編號。

Examination Paper 選考試卷	1 st Choice Examination Code 第一選擇考試編號	2 nd Choice Examination Code 第二選擇考試編號	Examination Fee 考試費用	
Regulatory Papers 規例試卷			No. of Regulatory Paper Selected 選考規例試卷數目	
<input type="checkbox"/> Paper 1 卷一			X HK\$750	Sub-Total 共 HK\$ _____
<input type="checkbox"/> Paper 2 卷二				
<input type="checkbox"/> Paper 3 卷三				
<input type="checkbox"/> Paper 5 卷五				
<input type="checkbox"/> Paper 6 卷六				
Practical Papers 應用試卷			No. of Practical Paper Selected 選考應用試卷數目	
<input type="checkbox"/> Paper 7 卷七			X HK\$480	Sub-Total 共 HK\$ _____
<input type="checkbox"/> Paper 8 卷八				
<input type="checkbox"/> Paper 9 卷九				
<input type="checkbox"/> Paper 11 卷十一				
<input type="checkbox"/> Paper 12 卷十二				
			Total Examination Fee 總考試費	HK\$ _____

PART 2: HKSI Student Membership 第二部份：學會學生會員

Included in the examination fee is a one-year complimentary student membership package which gives Student Members access to regular information regarding HKSI training and events.
報考上述考試附送一年的學生會員專享服務，學生會員可定期獲取學會培訓及活動的消息。

I agree to be a Student Member of the Hong Kong Securities Institute (HKSI) for one year and to be bound by the HKSI's Memorandum and Articles of Association and Membership Rules and Regulations (downloadable from the HKSI website www.hksi.org) and such other rules and regulations as may, from time to time, be approved and published by the Board of the Institute.
本人同意成為香港證券專業學會學生會員一年及遵守學會的組織章程及會規(可於學會網址 www.hksi.org 下載)，以及學會董事局不時批准及公佈的規則。

If you are not a Student Member of the HKSI and do not agree to be a Student Member of the HKSI, please tick the following box:

閣下如未成為並且不願意成為香港證券專業學會學生會員，請在下列方格內填上"✓"號：
 I do not agree to be a Student Member of the HKSI. 本人不願意成為香港證券專業學會學生會員。

For enquiries regarding Student Membership, please contact the Membership Hotline on (852) 3120 6170. 如對會籍方面有任何疑問，請致電學會會籍部熱線 (852) 3120 6170。

PART 3: Payment Method 第三部份：付款方式

<input type="checkbox"/> CASH 現金 / EPS 易辦事	Please submit this form and pay the fee at the HKSI counter. Please do not send cash by post. 請親臨學會接待處繳交此表格及有關費用。請不要郵寄現金。	
<input type="checkbox"/> BANK DEPOSIT 銀行存款 Bank Deposit Form No. 銀行存款單號碼：	Required examination fee(s) in cash (Hong Kong Dollars only) should be deposited into our Hang Seng Bank account (Account No.: 207-002288-668 / Account Name: Hong Kong Securities Institute). Please write your English full name, the examination code(s) of the examination(s) for which you are enrolling and your daytime contact telephone number on the back of the bank deposit form. 請將所需考試費用以現金(港幣)直接存入恒生銀行賬戶(賬戶號碼：207-002288-668 / 賬戶名稱：香港證券專業學會)，並於銀行存款單背後寫上閣下之英文姓名、報考考試的考試編號及日間聯絡電話。	
<input type="checkbox"/> CREDIT CARD 信用卡	<input type="checkbox"/> VISA Card VISA 卡 <input type="checkbox"/> Master Card 萬事達卡 <input type="checkbox"/> American Express Card 美國運通信用卡	Name of Card Holder 持咭人姓名： (Card holder must be the applicant 持咭人必須為報考人士) Expiry Date 有效期至： mm 月 / yy 年
Please charge payment to credit card 從右列信用卡繳付以上款項	Credit Card No. 信用卡號碼：	
Signature of Card Holder 持咭人簽署： (The signature must match with the one on your credit card 簽名必須與信用卡上相同)		Date 日期：

PART 4 : Personal Particulars 第四部份：個人資料

Name 姓名：(The name should be identical to that on your HKID Card/Passport 姓名必須與閣下身份證/護照上的相同)

English 英文：
Surname 姓氏
First Names 名字

姓名必須與閣下身份證/護照上的相同

First Names 名字

Chinese 中文：
Surname 姓氏
First Names 名字

Sex 性別*： M 男 / F 女 Title 稱謂*： Mr 先生 / Mrs 太太 / Ms 女士 / Dr 博士

Identity Document No. 身份證明文件號碼：

(You are required to present the original copy of the identity document(s) specified below during the examination 閣下於考試時須出示下列所填寫之身份證明文件正本)

H.K. ID Card No. 香港身份證號碼：

Or Passport No. 或護照號碼：

Date of Birth 出生日期：
DD 日 MM 月 YY 年

Correspondence Address 聯絡地址： Home address 住址 Office address 辦公室地址

Postal Code 郵政編號：
Region* 地區： HK Island / Kln / NT / Overseas 香港島 / 九龍 / 新界 / 海外

Name of Company 工作機構名稱：
Position Held 職位名稱：

Telephone No. 電話號碼：(Please fill in at least one phone number 請填寫最少一個電話號碼)

Office 辦事處：
Ext. 內線：
Mobile 手提：

Home 住宅：
Fax No. 傳真號碼：

E-Mail 電子郵箱：
COMPULSORY 必須填寫

* Please delete where inappropriate 請刪/去不適用者

PART 5 : Other Information (For statistical analysis) 第五部份：其他資料 (以供統計分析之用)

Education 教育程度：

- 1 Secondary or below 中學或以下程度
- 2 Post-secondary (Certificate/Diploma/Associate Degree) 大專 (證書/文憑/副學士)
- 3 Degree Graduate 大學畢業
- 4 Master or above 碩士或以上
- 5 Others 其他 (Please specify 請註明 _____)

Working Field 從事行業：

- 1 Securities dealing & advising 證券交易及意見提供
- 2 Derivatives dealing & advising 衍生工具交易及意見提供
- 3 Asset Management 資產管理
- 4 Leveraged Foreign Exchange Trading 槓桿式外匯買賣
- 5 Corporate Finance 機構融資
- 6 Banking 銀行
- 7 Accounting 會計
- 8 Legal 法律
- 9 Insurance 保險
- 10 Student 學生
- 11 Others 其他 (Please specify 請註明 _____)
- 15 Unemployed 待業

Work Experience 工作經驗：

- 1 ≤ 1 year 年
- 2 > 1 and ≤ 3 years 年
- 3 > 3 and ≤ 5 years 年
- 4 > 5 and ≤ 10 years 年
- 5 > 10 years 年

Firm Size 機構規模：

- 1 < 50 employees 員工
- 2 50 - 100 employees 員工
- 3 > 100 employees 員工

Mode of Study 學習形式：

- 1 Self-study 自修
- 2 Preparatory Courses 備試課程 (Please specify the name of institution and course name 請註明舉辦機構及課程名稱 _____)
- 3 Revision Workshops 短期溫習精研班 (Please specify the name of institution and course name 請註明舉辦機構及課程名稱 _____)
- 4 Others 其他 (Please specify 請註明 _____)

I know about this examination from 本人從下列途徑得悉考試資料：

- 1 HKSI Website 香港證券專業學會網頁
- 2 Newspaper 報紙 (Please specify 請註明 _____)
- 3 Employer 僱主
- 4 Friends 朋友
- 5 Others 其他 (Please specify 請註明 _____)

PART 6 : Applicant's Declaration 第六部份：申請人聲明

I confirm that I understand that if the details I have submitted in this form are inaccurate or incomplete, my enrolment may not be accepted by the Hong Kong Securities Institute (HKSI) even though payment of the examination fee(s) has been made; and that I have read, and I accept and understand the Licensing Examination for Securities and Futures Intermediaries (LE) Examination Handbook (for the Paper-based Examination (PBE)), including the Examination Regulations of the LE (for the PBE).

I hereby apply to enrol in the LE (PBE) and undertake that I shall observe and abide by the rules and regulations of the LE (for the PBE).

本人確實明白倘若本人在此表格上所填報的資料不正確或不完整，本人在繳妥考試費後仍有可能被香港證券專業學會拒絕本人的報考申請；及本人確實已閱讀並同意接納及清楚明白證券及期貨從業員資格考試(資格考試)考試手冊(適用於筆試模式)，包括資格考試考試規則(適用於筆試模式)的內容。

本人現申請報考資格考試(筆試模式)，並完全同意及遵守資格考試(適用於筆試模式)的規則。

I do not wish to receive marketing materials from the HKSI. 本人不希望收到任何學會的推廣資料。

Signature of Applicant 申請人簽署：

Date 日期：

For Office Use Only

Handled by : _____ Data Input by (Date): _____ () Data Checked by (Date): _____ ()