



TRAINING COURSES REGULATIONS

Welcome to this training course. To facilitate the progress of the course, there are a few regulations that participants should observe:

1. To help keep the attendance records, participants **must bring along the course attendance record to each class**. Before entering the classroom, **drop the attendance record and collect a copy of handout at the registration desk**. Participants who are required to sign-in and sign-out must do so. Otherwise, no CPT hours / CPD hours / CPD credits / attended hours will be granted under any circumstances.
2. Participants who arrive **30 minutes after the start of the class** or **leave early before the end of the class** will not be qualified to attain the assigned CPT hours / CPD hours / CPD credits / attended hours for that class.
3. At the end of the class, **participants must collect the "Attendance Record" with an official stamp from HKSI staff**. Otherwise, no CPT hours / CPD hours / CPD credits / attended hours will be granted for the class.
4. Participants who have lost or damaged their attendance record/receipt/certificate may apply in writing for a certification letter at an expense of \$100.
5. Upon completion of the course, participants are required to fill out the evaluation forms and return to the instructor before they leave.
6. No classes will be held when typhoon signal No.8 or above/Black Rainstorm Warning is in force.
 - (a) Full day or Morning classes will resume if the signal is lowered at/before 7:00am.
 - (b) Afternoon classes will resume if the signal is lowered at/before 12:00noon.
 - (c) Evening classes will resume if the signal is lowered at/before 3:00pm.
7. Refund/Substitutions :
 - (a) Refund is not considered.
 - (b) Once accepted to the enrolled course, participant cannot transfer to another course.
 - (c) Participant can **request a substitute to replace his/her enrolment in writing once at least 5 business days** prior to the commencement of the enrolled course. Any course fee discrepancies will be borne by the participant.
 - (d) The HKSI reserves the right to make any necessary arrangements with regard to the substitution.
8. HKSI reserves the right to inspect personal identity of attendees.
9. The course instructor may exclude a participant from class if his/her behavior disturbs the class or if he/she does not follow instructions in class or as laid down by HKSI.
10. No video taping and recording are allowed during the lecture time.
11. No smoking, eating and drinking are allowed in the training venue.
12. During the training session, mobile phones, pagers and other electronic communications are required to be switched off.
13. Participants are required to keep the training venue clean and tidy.

Participants are welcome to direct any queries regarding the HKSI training courses to the Institute by calling the Training Hotline at 3120 6200.

HONG KONG SECURITIES INSTITUTE