



VERIFICATION OF HKSI CERTIFICATES / EXAMINATION RESULTS INSTRUCTIONS TO AUTHORIZED PARTIES

The Hong Kong Securities Institute (HKSI) provides verification service to third parties authorized by HKSI candidates ("authorized parties") on information printed on the HKSI Certificates, Notification of Results and/or Statement of Results^{Note 1}. Below are the application procedures:

Submission of Documents

- ◆ The authorized parties should submit the following documents **by mail or in person** to the HKSI office (Address: Room 2403-08, 24/F Wing On Centre, 111 Connaught Road Central, Hong Kong) during counter service hours (Mondays to Fridays: 9:00 a.m. – 5:30 p.m.; Saturdays, Sundays and Public Holidays: Closed):
 - i. written verification requests with the authorized parties' contact details, such as names, posts, addresses, daytime telephone numbers, fax numbers, e-mail addresses and the selected delivery method of verification results (see section headed "Delivery of Verification Results" below);
 - ii. written consent from each of the relevant HKSI candidate with the following information:
 - Candidate's full name;
 - Candidate's HKID card/passport number which matches with the HKSI's record;
 - Candidate's date of birth;
 - Name of the authorized parties;
 - Candidate's signature; and
 - iii. photocopies of the relevant HKSI Certificates, Notification of Results and/or Statement of Results; and
 - iv. the **original** bank deposit form, if any (see section headed "Payment" below).
- ◆ **NO** fax or email applications will be accepted.

Payment

- ◆ An administration fee of HK\$500 (verification results to be sent by **e-mail**) or HK\$1,000 (verification results in **HKSI letterhead format** to be sent by **mail**) to verify each photocopy of the HKSI Certificates / Notification of Results / Statement of Results will be charged to the authorized parties.
- ◆ The authorized parties should pay their administration fees by any one of the following means:

1. Cash or EPS

The authorized parties can pay the required administration fees using cash (Hong Kong dollars only) or EPS at the HKSI counter during counter service hours.

2. Bank Deposit

- ◆ The authorized parties can also deposit the required administration fees in cash (Hong Kong dollars only) into the following bank account (not via automated teller machines or e-banking) before they submit their applications to the HKSI:

Local request

Bank Name : Hang Seng Bank
Account Number : 207-002288-668
Account Name : Hong Kong Securities Institute

Overseas request

Beneficiary's Banker : The Bank of East Asia, Limited
Bank Address : 10 Des Voeux Road Central, Hong Kong
Swift Code : BEASHKHH
Beneficiary Name : Hong Kong Securities Institute
Account Number : 015-514-10-96373-8 (HKD Saving)
Address : Room 2403-08, 24/F, Wing On Centre, 111 Connaught Road Central, Hong Kong

The authorized parties must write the following information on the back of each bank deposit form:

- (i) their full name;
- (ii) their daytime contact telephone number; and
- (iii) the candidates' name(s).

The original bank deposit form must be submitted to the HKSI with the written verification request, written consent from each of the relevant HKSI candidate and other supporting documents (see section headed "Submission of Documents" above).

- ♦ The HKSI will **NOT** be responsible for any errors made on the deposit by the authorized parties or the bank. Applications without any proof of payment will be rejected.
- ♦ All payments are **non-transferable** and **non-refundable**.

Note:

- (1) Under **NO** circumstances shall the HKSI be responsible for any loss of the applications and/or bank deposit forms sent by the authorized parties.
- (2) Incomplete applications or inappropriate administration fees will **NOT** be processed.

Receipt

- ♦ Official receipts will be issued to the authorized parties immediately upon submitting the applications to the HKSI in person. If the authorized parties send in the applications by mail, the receipts will normally be sent to the authorized parties by mail after the receipt of the applications by the HKSI.

Delivery of Verification Results

- ♦ The verification results will normally be sent to the authorized parties **by e-mail or mail** (depends on the selected method of delivery of verification results indicated by the authorised parties in their written request) **within 14 full working days** after the HKSI has received the applications. For examinations that are no longer offered by the HKSI, a longer processing time may be required.

Disclaimer

- ♦ The HKSI undertakes no legal liability and makes no warranty or representation as to the accuracy or completeness of any verification services provided. Under no circumstances shall the HKSI be liable for any direct, indirect, incidental, special or consequential loss, damage, liability or expense incurred or suffered which is claimed to have resulted from the use of or reliance on the verification services provided by the HKSI, including without limitation, liability arising from fault, error, omission or delay by staff of HKSI during the verification process.

Examination Services Team
Finance and Operations Department
Hong Kong Securities Institute
1 June 2010

Note 1: HKSI has issued Certificates, Notifications of Results and Statements of Results to candidates for the following examinations:

- *Broker's Representatives Examination (BRE)*
- *Certified International Investment Analysts Final Examination (CIIA)*
- *Futures and Options Member Representative Examination / Futures and Options Exchange Participant Examination (FOE)*
- *HKSI Diploma Programme Examination (DPE)*
- *HKSI Financial Market Principal Programme Examination (PPE)*
- *HKSI Foundation Programme Examination (FPE)*
- *HKSI Professional Diploma in Financial Markets (PDFM)*
- *Licensing Examination for Securities and Futures Intermediaries (LE)*
- *MPF Intermediaries Examination (MPF)*
- *Options Clearing Officer Examination (OCOE)*
- *Options Officer and Representative Examination (OORE)*
- *Securities Brokers Examination (SBE)*

**To verify HKSI membership or training certification, please contact our
Membership Hotline at (852) 3120-6170 or Training Hotline at (852) 3120-6200.**