



# HKSI PROFESSIONAL DIPLOMA IN FINANCIAL MARKETS (PDFM)

## Application Form for PDFM Registration and Enrolment

### (for PDFM Registered Students only)

FOR OFFICE USE ONLY Receipt No.: _____	
Batch No:	H
Student No.:	ST

**Please read the PDFM Programme Handbook carefully before completing this form.**  
**Please write legibly in BLOCK LETTERS and in BLACK or BLUE INK.**

#### PART 1 : PDFM Module Enrolment

**Only PDFM Registered Students are eligible to enrol for a PDFM Module.**

Have you enrolled in / planned to enrol in any relevant HKU SPACE training course(s) in the **same PDFM Examination Session** (training courses from January to June for examination session in July and October, training courses from July to December for examination session in January and April of the following year) of the corresponding PDFM Module Examination which you wish to enrol for? *(Please put a "✓" in the appropriate "☐")*

- Yes, I am attending / plan to attend HKU SPACE training course(s) of Module(s) \_\_\_\_\_ in \_\_\_\_\_ (month) \_\_\_\_\_ (year).  
*(Please select the Training and Examination Mode (TE Mode) of the relevant Module(s) by putting a "✓" in the appropriate "☐" and specifying the Module code(s) and course code(s) (available from the HKU SPACE website : <http://hkuspace.hku.hk/prog/hksi-prof-dip-financial-markets-training-exam>) below)*
- No. *(Please select the Examination-only Mode (EO Mode) of the relevant Module(s) by putting a "✓" in the appropriate "☐" below)*

PDFM Module	Module Code	Study Mode		PDFM Examination Fee (HK\$)
<input type="checkbox"/> Module 1		<input type="checkbox"/> EO Mode	<input type="checkbox"/> TE Mode (Course)	HK\$500
<input type="checkbox"/> Module 2		<input type="checkbox"/> EO Mode	<input type="checkbox"/> TE Mode (Course)	HK\$500
<input type="checkbox"/> Module 3		<input type="checkbox"/> EO Mode	<input type="checkbox"/> TE Mode (Course)	HK\$500
<input type="checkbox"/> Module 4		<input type="checkbox"/> EO Mode	<input type="checkbox"/> TE Mode (Course)	HK\$750
<input type="checkbox"/> Module 5		<input type="checkbox"/> EO Mode	<input type="checkbox"/> TE Mode (Course)	HK\$750
<input type="checkbox"/> Module 6		<input type="checkbox"/> EO Mode	<input type="checkbox"/> TE Mode (Course)	HK\$750
<input type="checkbox"/> Module 7		<input type="checkbox"/> EO Mode	<input type="checkbox"/> TE Mode (Course)	HK\$750
<b>Total no. of Module(s) selected:</b>		<b>Total PDFM Examination Fee(s):</b>		HK\$

Included in the PDFM Examination Fee is a one-year complimentary student membership package which gives Student Members access to regular information regarding HKSI training and events. 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](http://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.

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:

- I do not agree to be a Student Member of the HKSI.

*For enquiries regarding Student Membership, please contact the Membership Hotline on (852) 31206170.*

#### PART 2 : Payment Method *(Please put a "✓" in the appropriate "☐" and delete where inappropriate for the items with \*)*

<input type="checkbox"/> CASH / EPS *	Please submit this form and pay the fee(s) at the HKSI counter. <b>Please do not send cash by post.</b>		
<input type="checkbox"/> BANK DEPOSIT Bank Deposit Form No.: _____	Required 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 Module code(s) of the PDFM Module(s) for which you are enrolling and your daytime contact telephone number on the back of the bank deposit form.		
<input type="checkbox"/> CREDIT CARD	<input type="checkbox"/> VISA Card	Name of Card Holder: _____ <i>(Card holder must be the applicant)</i>	Expiry Date: _____ mm / yy
	<input type="checkbox"/> MasterCard		
	<input type="checkbox"/> American Express Card		
Please charge payment to credit card	Credit Card No.:		
Signature of Card Holder: _____ <i>(The signature must match with that on your credit card)</i>		Date: _____	

**PART 3 : Personal Particulars** (\*Please delete where inappropriate)

**Part 3A (COMPULSORY)**

PDFM Registered Student No.: 

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Identification Document No.: (You are required to present the original copy of the identification document(s) specified below during the examination)

H.K. ID Card No.: 

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 Or Passport No.: \_\_\_\_\_

Name: (The name should be identical to that on your HKID Card/Passport)

English: 

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Surname First Names

Chinese: 

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Surname First Names

**Part 3B (Only applicable to EXISTING PDFM Registered Students who have an update for their personal information)**

Correspondence Address:  Home address  Office address

\_\_\_\_\_

\_\_\_\_\_ Postal Code: 

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 Region\*: HK / Kln / NT / Overseas

Name of Company: \_\_\_\_\_ Position Held: \_\_\_\_\_

Telephone No.: \_\_\_\_\_

Office: \_\_\_\_\_ Mobile: \_\_\_\_\_ Home: \_\_\_\_\_ Fax No.: \_\_\_\_\_

E-Mail : \_\_\_\_\_ COMPULSORY FOR HKSI ONLINE SERVICE HKSI Membership No. (if applicable): 

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**PART 4 : Other Information (For statistical analysis)**

Education:  
1 Secondary or below 2 Post-secondary (Certificate/Diploma/Associate Degree) 3 Degree Graduate  
4 Master or above 5 Others (Please specify \_\_\_\_\_)

Working Field:  
1 Securities dealing and advising 2 Derivatives dealing and advising 3 Asset Management  
4 Leveraged Foreign Exchange Trading 5 Corporate Finance 6 Banking  
7 Accounting 8 Legal 9 Insurance 10 Student  
11 Others (Please specify \_\_\_\_\_) 15 Unemployed

Work Experience:  
1 ≤ 1 year 2 > 1 and ≤ 3 years 3 > 3 and ≤ 5 years 4 > 5 and ≤ 10 years 5 > 10 years

Firm Size:  
1 < 50 employees 2 50 – 100 employees 3 > 100 employees

Mode of Study:  
1 Self-study 4 Others (Please specify \_\_\_\_\_)  
2 Preparatory Courses (Please specify the name of institution and course name \_\_\_\_\_)  
3 Revision Workshops (Please specify the name of institution and course name \_\_\_\_\_)

I know about this programme from:  
1 HKSI Website 7 HKU SPACE Website 2 Newspaper (Please specify \_\_\_\_\_)  
3 Employer 4 Friends 5 Others (Please specify \_\_\_\_\_)

**PART 5 : Applicant's Declaration**

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 HKSI Professional Diploma in Financial Markets (PDFM) Programme Handbook, including the Examination Regulations of the HKSI PDFM.

I hereby apply to enrol in the HKSI PDFM and undertake that I shall observe and abide by the rules and regulations of the HKSI PDFM.

I do not wish to receive marketing materials from the HKSI.

Signature of Applicant: \_\_\_\_\_ Date: \_\_\_\_\_

**For Office Use Only**

Handled by: \_\_\_\_\_ Data Input by (Date): \_\_\_\_\_ (\_\_\_\_\_)

