



# APPLICATION FORM (REFUND OF EXAMINATION FEES) 考試費用退款申請表

FOR OFFICE USE ONLY		Date Received: _____
A <input type="checkbox"/>	M <input type="checkbox"/>	Candidate No.: _____

**Please read the "Instructions to Applicants – Refund of Examination Fees" carefully before completing all parts of this form. Please write legibly in BLOCK LETTERS and in BLACK or BLUE INK.**

**在填寫此表格前請先閱讀“考試費用退款申請須知”。請用正楷及黑色或藍色原子筆清楚填寫表格。**

## PART 1: Examination Information 第一部份：考試資料 (Please put a "✓" in the appropriate "□" 請於適當“□”內填上“✓”號)

Licensing Examination for Securities and Futures Intermediaries (LE) (Paper-based Examination (PBE) and Computer-based Examination (CBE))  
證券及期貨從業員資格考試(資格考試)(筆試模式及電腦應考模式)

Paper 卷 \_\_\_\_\_ (Examination Code 考試編號 L \_\_\_\_\_ )  
 Paper 卷 \_\_\_\_\_ (Examination Code 考試編號 L \_\_\_\_\_ )  
 Paper 卷 \_\_\_\_\_ (Examination Code 考試編號 L \_\_\_\_\_ )  
 Paper 卷 \_\_\_\_\_ (Examination Code 考試編號 L \_\_\_\_\_ )  
 Paper 卷 \_\_\_\_\_ (Examination Code 考試編號 L \_\_\_\_\_ )  
 Paper 卷 \_\_\_\_\_ (Examination Code 考試編號 L \_\_\_\_\_ )

HKSI Professional Diploma in Financial Markets 金融市場專業文憑 (PDFM)

<input type="checkbox"/> Module 1 (Module Code 單元編號 H _____ )	<input type="checkbox"/> Module 5 (Module Code 單元編號 H _____ )
<input type="checkbox"/> Module 2 (Module Code 單元編號 H _____ )	<input type="checkbox"/> Module 6 (Module Code 單元編號 H _____ )
<input type="checkbox"/> Module 3 (Module Code 單元編號 H _____ )	<input type="checkbox"/> Module 7 (Module Code 單元編號 H _____ )
<input type="checkbox"/> Module 4 (Module Code 單元編號 H _____ )	

Total Number of Examination Paper(s)/Module(s) 合共試卷/單元數目: \_\_\_\_\_

## PART 2: Candidate Information 第二部份：考生資料

Name in English: \_\_\_\_\_  
 英文姓名 Surname 姓氏 First Names 名字

Name in Chinese \_\_\_\_\_ Day-time Contact Telephone No. \_\_\_\_\_  
 中文姓名: \_\_\_\_\_ 日間聯絡電話號碼: \_\_\_\_\_

HKID Card No. \_\_\_\_\_ Or Passport No. \_\_\_\_\_  
 香港身份證號碼: \_\_\_\_\_ 或 護照號碼: \_\_\_\_\_

## PART 3: Applicant's Declaration 第三部份：申請人聲明

I declare that I have read and fully understood the "Instructions to Applicants – Refund of Examination Fees". I understand that only the examination fee(s) for the examination paper(s) / module(s) specified in Part 1 of this form will be refunded and an administration fee per examination per examination paper/module per examination mode per examination session will be deducted from the examination fee(s). I hereby apply for a refund of the examination fee(s) for the examination paper(s) / module(s) specified in Part 1 of this form and I understand that once the Hong Kong Securities Institute has received my application form, I cannot withdraw my application for a refund. I understand that the refund will be payable to me in Hong Kong dollars by cheque only.

本人謹此聲明已閱讀並清楚明白“考試費用退款申請須知”。本人明白香港證券專業學會只會退回本表格第一部份所填寫之試卷/單元的考試費用，並會於退回考試費用時，就每個考試每份試卷/單元每個考試模式每個考試試期扣除相關的行政費用。本人現申請退回本表格第一部份所填寫之試卷/單元的考試費用，並明白香港證券專業學會於收到本人的申請表後，本人之退款申請將不能取消。本人明白退款只會以港幣支票形式支付予本人。

Signature of Candidate 考生簽署: \_\_\_\_\_ Date 日期: \_\_\_\_\_  
(should match with the HKSI's records 必須與學會記錄相符)

### For Office Use Only

Handled by (Date): \_\_\_\_\_ ( \_\_\_\_\_ ) Cheque number: \_\_\_\_\_ Completion Date: \_\_\_\_\_

## INSTRUCTIONS TO APPLICANTS – REFUND OF EXAMINATION FEES

1. Only the examination fees less an administration fee for the following examinations are refundable:
  - i. Licensing Examination for Securities and Futures Intermediaries (Paper-based Examination) (LE (PBE));
  - ii. Licensing Examination for Securities and Futures Intermediaries (Computer-based Examination) (LE (CBE)); and
  - iii. HKSI Professional Diploma in Financial Markets (PDFM).
2. Requests for refunds of registration fees and/or any other fees will **NOT** be entertained under any circumstances.
3. Candidates should submit a completed Application Form (Refund of Examination Fees) ("Application Form") to the Hong Kong Securities Institute ("HKSI") counter in person or by mail on or before the corresponding application deadlines (date of receipt of Application Form by the HKSI) shown in the table below. Candidates applying by mail are reminded to allow sufficient time for mailing. **NO fax or email applications will be accepted. Applications received after the prescribed deadlines will NOT be processed.**
4. The HKSI will **ONLY** process Application Forms that it has actually received, and under **NO** circumstances shall the HKSI be responsible for any loss of Application Forms sent by mail.
5. Once the HKSI has received an Application Form, the candidate concerned cannot withdraw his/her application for a refund.
6. A Confirmation Slip, confirming the HKSI's receipt of the Application Form, will be issued immediately to candidate concerned who submits his/her application to the HKSI counter in person. If candidate has sent his/her application by mail, a Confirmation Slip will normally be sent to him/her by mail after the receipt of the Application Form by the HKSI. The candidate's enrolment for the corresponding examination, examination paper/module, examination mode and/or examination session will be **CANCELLED**.
7. Requests by candidates for transferrals of enrolled examination(s), examination paper(s)/module(s), examination mode(s) and/or examination session(s) will **NOT** be accepted under **ANY** circumstances including sickness, business-related matters or any other reasons.
8. The HKSI will charge a **refund administration fee** (see table below) per examination per examination paper/module per examination mode per examination session.
9. The refund (examination fee less the relevant administration fee) will be payable to the candidate concerned in Hong Kong dollars by cheque **ONLY** and will be sent by **Registered Mail** within **28 FULL WORKING DAYS** after the receipt of the Application Form by the HKSI.
10. The HKSI reserves the right to amend the refund policy of any of the examinations mentioned above (including adjustments to the administration fees and/or the application deadlines for refunds) at any time without prior notice and to reject applications for refunds from candidates when circumstances warrant. In the event of any adjustments and/or amendments to the refund policy of any of the examinations mentioned above, a public announcement will be displayed at the HKSI counter and/or posted on its website.

	LE (PBE)	LE (CBE)	PDFM
<b>Application Deadline</b>	within 2 full working days <b>AFTER</b> the enrolment deadline of the respective examination (Please refer to the LE Examination Timetable obtainable from the HKSI website for details of respective Application Deadline)	within 2 full working days <b>BEFORE</b> the enrolment deadline of the respective examination (Please refer to the LE Examination Timetable obtainable from the HKSI website for details of respective Application Deadline)	within 5 full working days <b>AFTER</b> the enrolment deadline of the respective PDFM Examination (Please refer to the PDFM Examination Timetable obtainable from the HKSI website for details of respective Application Deadline)
<b>Administration Fee</b> (per examination per examination paper/module per examination mode per examination session)	HK\$400	HK\$400	HK\$400

### 考試費用退款申請須知

1. 考生只可就下列考試申請退回已繳付的考試費用(已扣除行政費用):
  - i. 證券及期貨從業員資格考試(筆試模式)(LE(PBE));
  - ii. 證券及期貨從業員資格考試(電腦應考模式)(LE(CBE)); 及
  - iii. 金融市場專業文憑(PDFM)考試。
2. 香港證券專業學會("學會")在任何情況下**概不接納**考生有關退回學生註冊費及/或其他費用的申請。
3. 考生須於下表所示的相關截止申請日期及時間前,親臨學會接待處遞交已填妥的《考試費用退款申請表》("申請表")或將申請表寄抵學會。以郵寄方式遞交申請表的人士須預留足夠的郵遞時間。**傳真或電郵申請及/或於截止申請日期及時間後始被學會收到的申請恕不受理。**
4. 學會**只會**處理已收到之申請表。如申請表在郵寄過程中遺失,學會**在任何情況下概不負責**。
5. 學會於收到考生的申請表後,其退款申請將不能取消。
6. 學會會即時印發確認收條予親臨學會接待處遞交申請表的考生以確認收妥其申請表。如考生以郵寄方式遞交申請表,學會將會在收到申請表後寄發確認收條予該考生。而其相關考試、試卷/單元、考試模式及/或考試試期的報名申請亦會被取消。
7. 在**任何**情況下(包括:疾病、工作相關事宜或任何其他原因),學會**概不接納**考生對更改已報考的考試、試卷/單元、考試模式及/或考試試期的申請。
8. 學會會就每個考試每份試卷/單元每個考試模式每個考試試期向申請人收取**行政費用**(見下表)。
9. 學會**只會**以港幣支票形式支付退款(考試費用扣除行政費用)予相關的考生。學會會於收到申請表後**28個完整工作天**內以**掛號郵件**方式郵寄支票予相關的考生。
10. 學會保留在任何時間修改上述的考試退款政策(包括調整退款的行政費用及/或截止申請日期及時間)的權利,而不須作事前通告;並將因應情況所需保留權利拒絕考生退回已繳付的考試費用的申請。若有任何關於上述考試的退款政策之調整及/或更改,學會將於學會接待處及/或網址公佈。

	LE (PBE)	LE (CBE)	PDFM
<b>截止申請日期及時間</b>	相關考試的考試截止報名日期 <b>後</b> 兩個完整工作天內 (請參閱學會網頁內的資格考試考試時間表中的相關截止申請日期及時間)	相關考試的考試截止報名日期 <b>前</b> 兩個完整工作天內 (請參閱學會網頁內的資格考試考試時間表中的相關截止申請日期及時間)	相關單元考試截止報名日期 <b>後</b> 五個完整工作天內 (請參閱學會網頁內的 PDFM 考試時間表中的相關截止申請日期及時間)
<b>行政費用</b> (以每個考試每份試卷/單元每個考試模式每個考試試期計算)	港幣 400 元	港幣 400 元	港幣 400 元