

Milestones of HKSI
香港證券專業學會十年紀
(1997-2007)

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1997

Establishment of Hong Kong Securities Institute (HKSI).
香港證券專業學會（學會前稱香港證券學院）正式成立。

Dec



Dr Edgar Cheng appointed as the first Chairman.
鄭維健博士獲委任為第一任主席。

Dec



Introduction of grandfathering requirements for admission of individual members.
學會制訂以專業資格及相關行業經驗的個人會員申請資格。

Dec

HONG
SECUR
INSTI
香港證券

1997 -

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2007

The fourth PRC Examination was held in Hong Kong. **May**
「第四次內地證券法規科目考試」在香港舉行。

The second Business Ethics Forum was held in Hong Kong. **Jun**
學會在港舉辦第二屆「商業操守論壇」。

HKSI introduces the Investment Administration Qualification (IAQ), offered by UK's Securities & Investment Institute (SII), to the local market. **Jun**
學會為本地從業員引入英國證券及投資學會之投資管理資格認證。

HKSI Chairman led the first delegation to Shanghai and met with Mainland regulators and market practitioners. **Jul**
學會主席率領代表團訪問上海，拜訪多個內地監管機構及業界代表。



CIIA recognised by UK's Financial Services Skills Council of the UK (FSSC) as a Key 2 qualification. **Jul**
國際註冊投資分析師 (CIIA) 獲英國金融服務技能委員會 (FSSC) 認可為二級資格 (Key 2 Qualification)。

Holders of PDFM awarded exemption from ACCA Papers F3 and F9 and Certified Accounting Technician (CAT) Papers T1, T3, T6, and T10. **Jul**
持有PDFM資格人士可享豁免參加英國特許公認會計師公會資格考試 (ACCA) 的卷F3和卷F9，以及英國特許公認會計師公會公認會計技師 (Certified Accounting Technician, CAT) 考試的卷T1、卷T3、卷T6和卷T10。

HKSI assigned SAC to conduct the fourth LE paper 1 examination for Mainland professionals in both Shenzhen and Shanghai. **Aug**
學會委托中國證券業協會在深圳及上海同時為內地專業人員舉辦第四次的證券及期貨從業員資格考試 (LE) (卷一)。

Induction of Mr Gordon Jones, JP as HKSI Honorary Fellow for 2007. **Oct**
鍾悟思先生成為2007年度香港證券專業學會榮譽會員。



1998

Amalgamation with Hong Kong Institute of Investment Analysts.

香港投資分析員協會納入本學會。

Apr



HONG KONG
SECURITIES
INSTITUTE
香港證券專業學會

HKSI became the organisation representing Hong Kong at the Asian Securities Analysts Federation (ASAF).
學會成為亞洲證券分析師聯合會 (ASAF) 之香港代表機構。

Apr

Inauguration of HKSI's new office in Des Voeux Road Central.

學會德輔道中辦事處正式啓用。

Jul



Dr Bill Kwok elected as Chairman.
郭志標博士獲選為主席。

Dec

1999

HKSI's new membership requirements launched and benchmarked against HKSI's qualifications.
學會以學會資格考試為基準，推出新的會籍資格。

Jan

HKSI held the first Foundation Programme Examination (FPE) & Financial Market Principal Programme Examination (PPE).
學會舉行第一次的基本課程考試 (FPE) 及金融市場主管課程考試 (PPE)。

Jul

HKSI administered MPF Intermediaries Examination.
學會受委託負責舉辦強積金中介人考試。

Aug

HKSI administered Futures and Options Member Representative Examination (FOE).
學會受委託負責舉辦期貨及期權出市代表考試 (FOE)。

Sep

2000

HKSI took over the Securities Industry Examination (SIE) from the Stock Exchange of Hong Kong and became the industry's only examination body.

學會接辦香港聯合交易所的證券專業考試 (SIE)，成為香港唯一的考試機構，為證券業提供資格考試。

Apr

The first issue of the "HKSI Journal" published.
《香港證券學院季刊》創刊。

Jun



Launch of HKSI's advanced level qualification: Diploma Programme Examination (DPE).
學會推出高級程度的資格考試：香港證券專業學會文憑課程考試 (DPE)。

Jul

HKSI held the first Options Officer and Representative Examination (OORE) and Options Clearing Officer Examination (OCOE).
學會舉行第一次的期權主任及代表考試 (OORE) 及期權結算主任考試 (OCOE)。

Jul

HKSI held the first Securities Broker's Examination (SBE) and Broker's Representative Examination (BRE).
學會舉行第一次的證券經紀考試 (SBE) 及經紀代表考試 (BRE)。

Aug

2001

The Chinese name of HKSI changed from 『香港證券學院』 to 『香港證券專業學會』.
學會中文名稱「香港證券學院」更改為「香港證券專業學會」。

Jan

The Canadian Securities Institute (CSI), Hong Kong Exchanges and Clearing Limited (HKEx) and HKSI jointly offered Derivatives Market Specialist (DMS) Programme and signed a Memorandum of Understanding (MOU).
加拿大證券學院 (CSI)，香港交易所及學會簽署合作備忘錄，合辦衍生工具市場專業人士課程 (DMS)。

Feb



2002

The Investment Dealers Association of Canada (IDA) **Apr** recognised the HKSI FPE as equivalent to its Canadian Securities Courses (CSC).

學會基本課程考試 (FPE) 獲加拿大證券投資證券商協會 (IDA) 認可等同於其加拿大證券課程 (CSC)。

HKSI recognised by the SFC as a qualified CPT **Apr** provider.

學會獲證監會認可為提供持續專業培訓 (CPT) 機構。

HKSI DPE and FPE recognised as industry **Apr** qualification by the SFC under the new "Fit and Proper Criteria" for intermediaries.

學會文憑課程考試 (DPE) 及基本課程考試 (FPE) 獲證監會認可為行業資格，符合新推出的《適當人選的準則》的規定。

HKSI was granted the "Certificate for International **Nov** Exchange of Personnel for Overseas Organisations" by the State Administration of Foreign Experts Affairs, PRC as an approved organiser for Chinese overseas training programmes.

學會獲得中國國家外國專家局頒發「國際人才交流服務境外機構資格證書」，成為內地認可的境外培訓機構，承辦中國境外培訓項目。

HKSI Ordinary Membership (MHKSI) recognised by **Nov** UK's Securities Institute (now UK's Securities and Investment Institute, SII) for membership purposes.

學會會員資格 (MHKSI) 獲英國證券學會 (現為英國證券及投資學會, SII) 認可為該會の入會資格。

HKSI joined the Association of Certified International **Nov** Investment Analysts (ACIIA) and promoted the Certified International Investment Analysts (CIIA) qualification in Hong Kong. HKSI's DPE received accreditation as equivalent to the CIIA Foundation Examination and CIIA National Examination.

學會加入國際註冊投資分析師協會 (ACIIA)，為香港引進國際註冊投資分析師資格。學會的文憑課程考試 (DPE) 獲認可等同於國際註冊投資分析師基礎考試及區域考試。

HKSI hosted the ASAF 2001 Conference in Hong Kong. **Dec** 學會在香港主辦亞洲證券分析師聯合會2001年度國際會議。



Mr Alec Tsui elected as Chairman. **Dec** 徐耀華先生獲選為主席。

HKSI recognised by the Mandatory Provident Fund **Jan** Scheme Authority (MPFA) and Office of the Commissioner of Insurance (OCI) as an accredited CPT/CPD course provider.

學會獲強制性公積金計劃管理局 (MPFA) 及保險業監理處 (OCI) 承認為認可的培訓機構，為業界提供持續專業進修 / 培訓 (CPT/CPD) 課程。

The HKSI Journal was re-branded as "Hong Kong **Jan** Securities" and became a bi-monthly publication. 《香港證券學院季刊》改為《香港證券》雙月刊。



HKSI's proposed new Licensing Examination (LE) **Sep** was approved by the Academic and Accreditation Advisory Committee (AAAC) of the SFC.

學會建議的新證券及期貨從業員資格考試 (LE) 獲證監會的學術評審諮詢委員會正式批准。

HKSI's first cohort of CIIA holders received their **Nov** designation.

學會頒授資格予第一批國際註冊投資分析師。

2003

Accreditation of HKSI DPE by the Curtin University **Mar** of Technology, Australia.

學會文憑課程考試 (DPE) 獲澳洲Curtin University of Technology認可。

HKSI appointed by the SFC as an Independent **Mar** Examination Body to run the industry examination introduced under the Securities and Futures Ordinance (SFO).

學會獲證監會委任為獨立考試機構，為業界提供《證券及期貨條例》引入的行業資格考試。

HKSI membership requirements revised and **Apr** benchmarked against HKSI's qualifications and, introduced under the new licensing regime.

學會引入資格考試配合新發牌制度，並以此為基準，修改會籍資格要求。

Licensing Examination for Securities and Futures Intermediaries (LE) launched

學會推出證券及期貨從業員資格考試 (LE)。

Jun



Recognition of the LE by the Office of the Commissioner of Insurance (OCI).

學會證券及期貨從業員資格考試獲保險業監理處認可 (OCI)。

Jul

First cohort of HKSI Fellows inducted.

學會第一批資深會員獲頒授資格。

Oct

2004

HKSI was assigned by the Securities Association of China (SAC) as the sole agent for handling the enrolment of PRC Securities Regulations Examination (PRC Examination).

學會獲中國證券業協會 (SAC) 委托, 全權負責香港專業人員報考「內地證券法規科目考試」的工作。

Jan

HKSI administered the first PRC Examination for Hong Kong professionals in Shenzhen.

學會受託在深圳為香港專業人員舉辦「第一次內地證券法規科目考試」。

Mar

LE and DPE recognised by Life Office Management Association Inc (LOMA) for the purposes of its Fellow, Financial Services Institute (FFSI) Programme.

學會證券及期貨從業員資格考試 (LE) 及文憑課程考試 (DPE) 獲美國人壽保險管理學會 (LOMA) 金融財務服務師考試 (FFSI) 認可。

Apr

Recognition of the LE and HKSI DPE by the Investment Dealers Association of Canada (IDA).

學會證券及期貨從業員資格考試 (LE) 及文憑課程考試 (DPE) 獲加拿大投資證券商協會 (IDA) 認可。

May & Jul

HKSI signed a MOU with Australian Financial Markets Association (AFMA).

學會與澳洲金融市場協會簽署合作備忘錄。

Aug

HKSI launched the HKSI Scholarship Programme for 7 local universities.

學會為本地7間大學推出「香港證券專業學會商業及金融學系獎勵計劃」。

Sep

LE candidates were able to view their individual examination scores and performance analyses online via the HKSI's website.

證券及期貨從業員資格考試 (LE) 報考人士可以透過學會網站, 查閱其考試成績及分析表現。

Sep

HKSI signed a MOU with the Division of Talents Resources Organisation Department CPC Chongqing Committee

學會與重慶市委組織部人才工作處簽署合作備忘錄。

Oct

HKSI DPE was recognised by Napier University, Scotland. DPE registered students who passed DPE Papers 1 and 3 were eligible for entry to Level 4 of Napier's BA (Hons) Financial Services programme.

學會文憑課程考試 (DPE) 獲蘇格蘭Napier University認可。完成DPE卷一及卷三考試的學員可直接修讀該大學的BA (Hons) Financial Services課程第四年的學科。

Oct

HKSI delegation visited Shenzhen Stock Exchange and met with Mainland regulators and market practitioners.

學會代表團訪問深圳交易所, 與內地監管機構及業界代表會晤。

Oct



HKSI recognised by the Law Society of Hong Kong as an accredited CPD provider.

學會獲香港律師會認為提供持續專業進修 (CPD) 機構。

Nov

HKSI signed an agreement with the Society of Registered Financial Planners Ltd (RFP-HK) on mutual recognition between the HKSI Advanced Certificate in Financial Planning and Advising and RFP-HK qualification.

學會與註冊財務策劃師協會有限公司 (RFP-HK) 簽署協議, 互相承認學會財務策劃及諮詢高級證書課程及RFP-HK資格。

Dec

Mr Edward Kwan elected as Chairman.

關百忠先生獲選為主席。

Dec

2005

Recognition of HKSI Advanced Certificate in Financial Planning and Advising by the FFSI Programme of LOMA.

學會財務策劃及諮詢高級證書課程獲美國人壽保險管理學會 (LOMA) 金融財務服務師考試 (FFSI) 認可。

Jan

HKSI invited by Securities and Futures Association of Zhejiang to sign the Minutes of Cooperation.

學會獲浙江證券期貨業協會邀請, 簽署合作協議。

Jan

HKSI held the first LE paper 1 examination for Mainland professionals in Shenzhen.

學會在深圳為內地專業人員舉辦第一次的證券及期貨從業員資格考試 (LE) (卷一)。

Apr

The second PRC Examination was held in Hong Kong. 「第二次內地證券法規科目考試」在香港舉行。

May

The DPE was re-structured as the Professional Diploma in Financial Markets (PDFM) and is duly approved by the Academic and Accreditation Advisory Committee (AAAC) of the SFC.

學會重新設計文憑課程考試 (DPE) 為金融市場專業文憑 (PDFM), 並獲證監會的學術評審諮詢委員會 (AAAC) 正式批准。

Aug

Induction of Dr The Honourable Charles Lee as the first HKSI Honorary Fellow. Oct
李業廣博士成為學會首位榮譽會員。



Board Member Dr Bill Kwok elected as ASAF Chairman. Oct
董事會成員郭志標博士獲選為亞洲證券分析師聯合會 (ASAF) 主席。

HKSI launched the HKSI PDFM. Dec
學會推出金融市場專業文憑 (PDFM)。

2006

HKSI signed a MOU with the Shanghai Futures Association. Jan
學會與上海市期貨同業公會簽署合作備忘錄。

Release of the findings of the research project – “Corporate Hong Kong’s Readiness for the Mainland Financial Markets”. Mar
學會公布「香港金融業踏足內地市場的準備程度」研究報告。



HKSI organised the first Business Ethics Forum, in Hong Kong for members and market practitioners to promote high standards of professional conduct in the local finance industry. Apr
學會在港為會員及市場從業員推出第一屆「商業操守論壇」，以推動本地金融業追求高水平的專業操守。



HKSI co-hosted the CEPA Forum in Beijing with SAC and built the platform for further cooperation between Mainland and Hong Kong financial practitioners. Apr
學會與中國證券業協會在北京合辦「更緊密經貿關係安排」論壇，建立兩地金融專才合作平台。



HKSI held the second LE paper 1 examination for Mainland professionals in Shanghai. Apr
學會在上海為內地專業人員舉辦第二次的證券及期貨從業員資格考試 (LE) (卷一)。

The third PRC Examination was held in Hong Kong. May
「第三次內地證券法規科目考試」在香港舉行。

HKSI signed a MOU with the Securities Association of Hunan Province and the Federation of Hunan Joint-Stock Companies. Sep
學會與湖南省股份公司聯合會及湖南省證券業協會簽署合作備忘錄。

HKSI signed a MOU with the Korea Securities Dealers Association (KSDA). Sep
學會與韓國證券商協會 (KSDA) 簽署合作備忘錄。



HKSI held the third LE paper 1 examination for Mainland professionals in Shenzhen. Oct
學會在深圳為內地專業人員舉辦第三次的證券及期貨從業員資格考試 (LE) (卷一)。

Induction of Dr The Honorable Lee Quo-Wei, GBM, JP as HKSI Honorary Fellow for 2006. Oct
利國偉博士成為2006年度香港證券專業學會榮譽會員。



Dr Au King-lun elected as Chairman. Dec
區景麟博士獲選為主席。