

CIWM FINAL EXAMINATION – ENROLMENT FORM
September 2018 Examination Session

For Office Use Only

Date: _____
Amount: _____
Handle By: _____
Counter Remark: _____
ACIIA Cand ID.: _____
Individual ID: _____

IMPORTANT NOTE

Please read the “CIWM® FINAL EXAMINATION – Examination Handbook” carefully before completing this form. The Guidelines is downloadable from the HKSI Institute website.

Please complete legibly the relevant parts in **BLOCK LETTERS** and in **BLACK** or **BLUE INK** and put a “✓” in the appropriate “□”.

New applicants of the CIWM programme are required to complete Parts 1, 2, 3, 4, 5 and 6. Existing CIWM candidates are required to complete Parts 1, 2, 3, 4 and 6.

PART 1: Personal Particulars

Part 1A (COMPULSORY)

(As stated on your HK Identity Card / Passport)

Surname in English	First Name in English
中文姓名(Name in Chinese)	Mobile Phone Number

HK Identity Card/Passport Number
You are required to present the original copy of the identification document(s) specified above during the examination

Email Address
Please provide your PERSONAL email address for receiving your password of the HKSI Institute Online Portal, Study Platform Online Tool (SPOT) and important communications from the HKSI Institute.

Part 1B (Only applicable to NEW applicants or EXISTING CIWM candidates who have an update for their personal information)

Date of Birth	DD	MM	YY	Gender	<input type="checkbox"/> Male	<input type="checkbox"/> Female
Title	<input type="checkbox"/> Mr	<input type="checkbox"/> Mrs	<input type="checkbox"/> Ms	<input type="checkbox"/> Miss	<input type="checkbox"/> Dr.	HKSI Institute Membership Number
Place of Birth	Nationality					
Correspondence Address						
Daytime Contact Telephone Number				Fax Number		
Name of Company				Position Held		

PART 2: Other Information (For statistical analysis and promotion)

Education :

- Secondary or below Post-secondary Degree Graduate Master or above

Main Working Field :

- | | | |
|---|---|---|
| <input type="checkbox"/> Securities Dealing & Advising | <input type="checkbox"/> Derivatives Dealing & Advising | <input type="checkbox"/> Credit Rating Services |
| <input type="checkbox"/> Leveraged Foreign Exchange Trading | <input type="checkbox"/> Corporate Finance | <input type="checkbox"/> Asset Management |
| <input type="checkbox"/> Banking | <input type="checkbox"/> Private Wealth Management | <input type="checkbox"/> Accounting |
| <input type="checkbox"/> Legal Services | <input type="checkbox"/> Insurance | <input type="checkbox"/> Training and Education |
| <input type="checkbox"/> Student | <input type="checkbox"/> Others (Please specify _____) | <input type="checkbox"/> Unemployed |

Work Experience :

- < 1 year 1 – 4 years 5 – 10 years 11 – 15 years > 15 years

Firm Size :

- < 100 employees 100 – 299 employees 300 – 499 employees 500+ employees

Mode of Study :

- Self-study Others (Please specify _____)
- Preparatory Courses (Please specify the name of institution and course name _____)
- Revision Workshops (Please specify the name of institution and course name _____)

I know about this examination from :

- | | | |
|--|---|--|
| <input type="checkbox"/> HKSI Institute Website | <input type="checkbox"/> HKSI Institute Office | <input type="checkbox"/> HKSI Institute Evening Course |
| <input type="checkbox"/> HKSI Institute Professional Event | <input type="checkbox"/> Newspaper (Please specify _____) | |
| <input type="checkbox"/> Regulators | <input type="checkbox"/> Employer | <input type="checkbox"/> Friends |
| | | <input type="checkbox"/> Others (Please specify _____) |

PART 3: Examination Information**Examination Enrolment Deadline: 13 August 2018****Part 3A (Only applicable to applicants who would like to enrol for/have enrolled for the CIWM Final Examination in FULL SET in their first attempt)**

First attempt		Second / Third Attempt	
Examination Paper	Fee	Examination Paper	Fee
<input type="checkbox"/> Papers 1 + 2	HK\$19,200	<input type="checkbox"/> Paper 1	HK\$5,000
		<input type="checkbox"/> Paper 2	HK\$5,000
<input type="checkbox"/> Deposit for Paper 3 (Note 1)	HK\$2,000	-	-
			Total:

Part 3B (Only applicable to applicants who would like to enrol for/have enrolled for the CIWM Final Examination on a MODULAR BASIS (i.e. enrol for each of the examination papers) in their first attempt)

First attempt		Second / Third Attempt	
Examination Paper	Fee	Examination Paper	Fee
<input type="checkbox"/> Paper 1	HK\$11,800	<input type="checkbox"/> Paper 1	HK\$7,400
<input type="checkbox"/> Paper 2	HK\$11,800	<input type="checkbox"/> Paper 2	HK\$7,400
<input type="checkbox"/> One-off fee (Note 2)	HK\$8,500	-	-
<input type="checkbox"/> Deposit for Paper 3 (Note 1)	HK\$2,000	-	-
			Total:

Note 1: Applicants who have not completed the followings:

- Advanced Certificate in International and Domestic Wealth Planning (ACIDWP) Examination (Former Name: Paper 3 of the CIWM Final Examination - International and Domestic Wealth Planning); and
- Paper 1 of the Licensing Examination for Securities and Futures Intermediaries (LE) or Module 4 of the HKSI Institute Professional Diploma in Financial Markets (PDFM)

before enrolling for the CIWM Final Examination in their first attempt are required to pay the deposit for Paper 3.

Note 2: Applicants have to pay the one-off fee when they enrol for the CIWM Final Examination in their first attempt.

PART 4: Payment

EPS

Company Cheque Please make a crossed cheque payable to the Hong Kong Securities and Investment Institute. Post-dated cheques will not be accepted. Please write your full name in English, the examination for which you are registering and your daytime contact telephone number on the back of the crossed cheque.

American Express Card - - Expiry Date

VISA/Master Card - - - mm yy

Please charge payment to credit card.For Office Use Only
Approval CodeCardholder's Name : _____ Cardholder Signature : _____
(Card holder must be the applicant) (The signature must match with the one on your credit card)**Part 5: Employment/Education/Professional Qualification (Only applicable and COMPULSORY to NEW applicants)****Please indicate the examination(s) you have completed and attach a photocopy of each of your Notification of Result(s), Certificate(s), or Statement of Result(s):**

- Paper 1 of the Licensing Examination for Securities and Futures Intermediaries (LE)
- Module 4 of the HKSI Institute Professional Diploma in Financial Markets (PDFM)
- Modules 1, 2, 3, 6 and 7 of the PDFM

Please put a "✓" in the appropriate "☐" and proceed to Part 6 if you have previously enrolled for the Advanced Certificate in International and Domestic Wealth Planning (ACIDWP) Examination.

- I consent the HKSI Institute to use all the supporting documents (including but not limited to the photocopy of each of my certificate(s), official transcript(s), syllabus(es) and other supporting document(s) certifying the educational background, professional qualification(s) and employment records) that I previously provided to the HKSI Institute for the enrolment of the ACIDWP Examination for the purpose of assessing the eligibility for enrolment in the CIWM Final Examination.

Employment <i>Please provide details of employment and attach the relevant supporting document(s):</i>			
Name of Employer and Nature of Business	Position Held	Employment Period (dd/mm/yyyy)	Nature of Duties

Education
Please provide details of qualification(s) relevant to the entry requirements of the CIWM Final Examination only and attach a photocopy of each of your certificate(s), official transcript(s), syllabus(es) and other supporting document(s):

College or University Attended	Qualification(s) Obtained (Degree, Master, etc., Please specify classification and field of study)	Date of Award (mm/yyyy)

Professional Qualification
Please provide details of qualification(s) relevant to the entry requirements of the CIWM Final Examination only and attach a photocopy of each of your certificate(s) and other supporting document(s):

Awarding Body	Qualification(s) Obtained (Certificate, Diploma, Designation, etc)	Date of Award (mm/yyyy)

PART 6: Declaration

I confirm, acknowledge, accept and understand that:

- 1) if the details I have submitted in this form are inaccurate or incomplete, my enrolment may not be accepted by the Hong Kong Securities and Investment Institute (the "HKSI Institute") and/or the Association of International Wealth Management (the "AIWM") even though payment of the examination fee(s) has been made;
- 2) once I have submitted the CIWM Final Examination – Enrolment Form to the HKSI Institute, I am not allowed to alternate and/or cancel my examination. All fee(s) paid are non-transferable and non-refundable (excluding the deposit for Paper 3 and the partial refund of fee(s) to applicants who are not eligible to enrol for the CIWM Final Examination). If I defer my examination under HKSI Institute's examination deferral policy, I will be charged an administration fee;
- 3) the "CIWM Final Examination – Examination Handbook", including the Examination Regulations of the CIWM Final Examination and the collection of personal data for the purposes stated;
- 4) the HKSI Institute may transfer or transmit my personal data, examination result(s) (including but not limited to the results of the CIWM Final Examination, Advanced Certificate in International and Domestic Wealth Planning (the "ACIDWP"), Paper 1 of the Licensing Examination for Securities and Futures Intermediaries (the "LE") and Module 4 of the HKSI Institute Professional Diploma in Financial Markets (the "PDFM") conducted by the HKSI Institute), educational background, professional qualification(s) and employment records provided to the HKSI Institute to any of its associates, affiliates and selected business partners (including but not limited to the AIWM and any other companies providing the Study Platform Online Tool (the "SPOT") services to candidates) for the purpose of administering the CIWM Final Examination;
- 5) I voluntarily consent the HKSI Institute to transfer, release, disclose or provide my personal data (including but not limited to the Hong Kong Identity Card number and passport number), all personal data that I previously supplied (if any) and any examination-related information, including the result of the examination and information on the candidate's conduct and behaviour while taking the examination, to the AIWM, and consent to the use of such data by the AIWM for monitoring, verifying and conducting matching (including "matching procedure" as defined in s.2 of the Personal Data (Privacy) Ordinance, Cap 486) purposes as well as any other related purposes of assisting them to perform and discharge their functions.

I hereby apply to enrol for the CIWM Final Examination and undertake that I shall observe and abide by the rules and regulations prescribed by the AIWM and the HKSI Institute.

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

Signature of Applicant: _____ Date: _____