

**For Office Use Only**

Date: \_\_\_\_\_

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Counter Remark: \_\_\_\_\_

Enrolment ID.: \_\_\_\_\_

Individual ID: \_\_\_\_\_

**CERTIFIED PRIVATE WEALTH PROFESSIONAL (CPWP)  
MODULE 1 EXAMINATION ENROLMENT FORM**

- Commencing 1 April 2018, all offline enrolment will be charged an administration fee of HK\$100 per application form. The administration fee is waived by submitting enrolment online via [HKSI Institute Online Portal](https://login.hksi.org) (<https://login.hksi.org>).
- Please read the Certified Private Wealth Professional (CPWP) Module 1 Examination - Examination Handbook carefully before completing this form. The Examination Handbook is downloadable from the [HKSI Institute website](http://www.hksi.org) ([www.hksi.org](http://www.hksi.org)).
- Please complete legibly all parts in BLOCK LETTERS and in BLACK or BLUE INK and put a "✓" in the appropriate "□".

**PART 1: Personal Particulars**

**Part 1A (COMPULSORY)**

(As stated on your HK Identity Card / Passport)

Surname in English 姓氏 (英文)		First Name in English 名字 (英文)	
Surname in Chinese 姓氏 (中文)		First Name in Chinese 名字 (中文)	
HK Identity Card/Passport Number 香港身份證/護照號碼			
You are required to present the original copy of the identification document(s) specified above during the examination 閣下於考試時須出示上述所填寫之身份證明文件正本			
Date of Birth 出生日期	DD 日	MM 月	YY 年
Gender 性別		<input type="checkbox"/> Male 男 <input type="checkbox"/> Female 女	
Title 稱謂		Mobile Phone Number 流動電話號碼	
<input type="checkbox"/> Mr 先生 <input type="checkbox"/> Mrs 女士 <input type="checkbox"/> Ms 女士 <input type="checkbox"/> Miss 小姐 <input type="checkbox"/> Dr 博士			
Email Address 電郵地址		Please provide your PERSONAL email address for receiving your password of HKSI Institute Online Portal and important communications from the HKSI Institute. 請提供閣下之個人電郵地址，以收取學會電子服務網站的密碼及學會重要訊息。	
Name of Company 工作機構名稱		Position Held 職位名稱	

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

i) **Education:**  
☐ Secondary or below    ☐ Post-secondary    ☐ Degree Graduate    ☐ Master or above

ii) **Main Working Field:**  

<input type="checkbox"/> Securities Dealing and/or Advising	<input type="checkbox"/> Futures and Derivatives Dealing and/or	<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"/> Private Wealth Management	<input type="checkbox"/> Banking	<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

iii) **Work Experience:**  
☐ < 1 year    ☐ 1 – 4 years    ☐ 5 – 10 years    ☐ 11 – 15 years    ☐ > 15 years

iv) **Firm Size:**  
☐ < 100 employees    ☐ 100 – 299 employees    ☐ 300 – 499 employees    ☐ 500+ employees

v) **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 \_\_\_\_\_)

vi) **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

Please specifying the CPWP Module 1 examination paper(s), date(s) and time(s) below.

CPWP Module 1 Examination Paper	Examination Date and Time			Fee #,*			
	1 <sup>st</sup> Choice	2 <sup>nd</sup> Choice	3 <sup>rd</sup> Choice		Number of Selected		
Paper _____				HK\$1,245 #	X		
Paper _____				HK\$1,500 #	X		
Paper _____				HK\$1,820 #	X		
Paper _____				HK\$2,500 #	X		
Paper _____				HK\$100 *	X		
Examination Fee #	until 30 Nov 2020 (Paper 1) and 31 Jan 2021 (Paper 2)	since 1 Dec 2020 (Paper 1) and 1 Feb 2021 (Paper 2)	Administration Fee *	Total Fee (HK\$)			
Paper 1	HK\$1,245	HK\$1,500	HK\$100 per application form Commencing 1 April 2018, the HKSI Institute will charge an administration fee of HK\$100 per application form.				
Paper 2	HK\$1,820	HK\$2,500					

### PART 4: Payment

Please submit this form to and pay the fee at the HKSI Institute counter IN PERSON during the HKSI Institute opening hours. Applications by post, courier, email or fax will NOT be accepted.

- ☐ EPS
- ☐ American Express Card
- ☐ VISA/Master Card
- ☐ Union Pay Card

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Card: A M U V

Number: \_\_\_\_\_

Approval Code: \_\_\_\_\_

### PART 5: Application's 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 (HKSI Institute) even though payment of the examination fee(s) has been made;
- 2) once I have submitted the Certified Private Wealth Professional (CPWP) Module 1 Examination enrolment form to the HKSI Institute, I am not allowed to alternate examination, choice of examination sessions, examination papers and/or examination modes. All fees paid are non-transferable. If I cancel my examination under HKSI Institute's Withdrawal Policy and apply for a refund of the applicable examination fee, I will be charged a refund administration fee;
- 3) the CPWP Module 1 Examination Examination Handbook, including the Examination Regulations of the CPWP Module 1 Examination (Computer-based Examination (CBE)) and/or Examination Regulations of the CPWP Module 1 Examination (Paper-based Examination (PBE)) and the collection of personal data for the purposes stated;
- 4) 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 Private Wealth Management Association (PWMA) and the Hong Kong Monetary Authority (HKMA), and consent to the use of such data by the PWMA and the HKMA 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;
- 5) I am not allowed to take photograph of, record, copy, distribute, publish, modify, create derivative works from or otherwise use in any manner or media, the information, materials and questions contained in the CBE, CBE system and/or question booklet. All information, materials and questions contained in the CBE, CBE system and/or question booklet are the proprietary information of the HKSI Institute and all copyright and/or any intellectual property rights therein belong exclusively to the HKSI Institute. I acknowledge the HKSI Institute's intellectual property rights (including copyright) in all such information, materials and questions contained in the CBE, CBE system and/or question booklet;
- 6) the HKSI Institute reserves the right to take appropriate actions against me to enforce its intellectual property rights and hold me liable for all losses, damages and/or costs incidental thereto.

I hereby apply to enrol in the CPWP Module 1 Examination and undertake that I shall observe and abide by the rules and regulations of the CPWP Module 1 Examination.

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

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