

**For Office Use Only 學會專用**

Date: \_\_\_\_\_  
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Handle By: \_\_\_\_\_  
Counter Remark: \_\_\_\_\_  
Enrolment ID.: \_\_\_\_\_  
Individual ID: \_\_\_\_\_

**LICENSING EXAMINATION FOR SECURITIES AND FUTURES INTERMEDIARIES**  
**ENROLMENT FORM**  
證券及期貨從業員資格考試報名表格

- 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).  
學會會按每份非網上報名之申請收取行政費用港幣100元。透過學會電子服務網站(<https://login.hksi.org>)遞交報名申請，行政費用將獲豁免。
- Please read the Licensing Examination for Securities and Futures Intermediaries (LE) Examination Handbook carefully before completing this form. The Examination Handbook is downloadable from the [HKSI Institute website \(www.hksi.org\)](http://www.hksi.org).  
在填寫此表格前請先閱讀證券及期貨從業員資格考試-考試手冊。考試手冊可於學會網頁([www.hksi.org](http://www.hksi.org))下載。
- Please complete legibly all parts in BLOCK LETTERS and in BLACK or BLUE INK and put a "✓" in the appropriate "□".  
請用正楷及黑色或藍色原子筆清楚填寫表格，並在適當"□"內填上"✓"號。

**PART 1: Personal Particulars (COMPULSORY) 第一部份：個人資料 (必須填寫)**

(As stated on your HK Identity Card / Passport 必須與香港身份證/護照上相同)

Surname (English) 姓氏 (英文)		Given Name (English) 名字 (英文)	
Surname (Chinese) 姓氏 (中文)		Given Name (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	<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		
Mobile Phone Number 流動電話號碼			
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。	
Company Name 工作機構名稱		Job Title 職位名稱	

**PART 2: Other Information (For statistical analysis and promotion) 第二部份：其他資料 (以供統計分析及推廣之用)**

- i) **Education 教育程度：**  
 Secondary or below 中學或以下程度  Post-secondary 大專  Degree Graduate 大學畢業  Master or above 碩士或以上
- ii) **Main Working Field 主要從事行業：**  
 Securities Dealing and/or Advising 證券交易及/或意見提供  Futures and Derivatives Dealing and/or Advising 期貨及衍生工具交易及/或意見提供  
 Credit Rating Services 信貸評級服務  Leveraged Foreign Exchange Trading 槓桿式外匯買賣  Corporate Finance 機構融資  
 Asset Management 資產管理  Private Wealth Management 私人財富管理  Banking 銀行  
 Accounting 會計  Legal Services 法律事務  Insurance 保險  
 Training and Education 教育及培訓  <sub>10</sub> Student 學生  Others 其他 (Please specify 請註明 \_\_\_\_\_)  Unemployed 待業
- iii) **Work Experience 工作經驗：**  
 < 1 year 年  1 – 4 years 年  5 – 10 years 年  11 – 15 years 年  > 15 years 年
- iv) **Firm Size 機構規模：**  
 < 100 employees 員工  100 – 299 employees 員工  300 – 499 employees 員工  500+ employees 員工
- v) **Mode of Study 學習形式：**  
 Self-study 自修  Others 其他 (Please specify 請註明 \_\_\_\_\_)  
 Preparatory Courses 備試課程 (Please specify the name of institution and course name 請註明舉辦機構及課程名稱 \_\_\_\_\_)  
 Revision Workshops 短期溫習精研班 (Please specify the name of institution and course name 請註明舉辦機構及課程名稱 \_\_\_\_\_)
- vi) **I know about this examination from 本人從下列途徑得悉考試資料：**  
 HKSI Institute Website 學會網頁  HKSI Institute Office 學會辦事處  HKSI Institute Evening Course 學會晚間課程  
 HKSI Institute Professional Events 學會專業活動  Newspaper 報紙 (Please specify 請註明 \_\_\_\_\_)  
 Regulators 監管機構  Employer 僱主  Friends 朋友  Others 其他 (Please specify 請註明 \_\_\_\_\_)

P.T.O. 請轉後頁

**PART 3: Examination Information 第三部份：考試資料**

Please specifying the LE examination paper(s), date(s) and time(s) below. 請填寫所選擇的資格考試試卷、日期及時間。

Examination Paper 選考試卷	Examination Date and Time 考試日期及時間			Fee費用 #.*	
	1 <sup>st</sup> Choice 第一選擇	2 <sup>nd</sup> Choice 第二選擇	3 <sup>rd</sup> Choice 第三選擇		Number of Selected 數目
Paper 卷					
Paper 卷				HK\$1,550 <sup>#</sup>	X
Paper 卷				HK\$1,275 <sup>#</sup>	X
Paper 卷				HK\$1,130 <sup>#</sup>	X
Paper 卷				HK\$100*	X
Paper 卷				<b>Total Fee (HK\$)</b>	
Paper 卷				<b>總費用 (HK\$)</b>	
Examination Fee 考試費用 <sup>#</sup>				Administration Fee 行政費用*	
Paper 1 卷一			HK\$1,275	HK\$100 per application form 每張申請表	
Paper 2 / 3 / 4 / 5 / 6 / 15 / 16 / 17 卷二、三、四、五、六、十五、十六、十七			HK\$1,550	The HKSI Institute will charges an administration fee of HK\$100 per application form.	
Paper 7 / 8 / 9 / 10 / 11 / 12 卷七、八、九、十、十一、十二			HK\$1,130	每張申請表收取行政費用港幣100元。	

**PART 4: Payment 第四部份：付款方式**(More payment methods are available through our Online Portal and at our Service Counter. Please visit our website, www.hksi.org, under the section ["Payment Methods"](#) for more details. 本學會亦透過電子服務站及學會櫃位, 提供更多的付款方式。詳情請瀏覽學會網頁www.hksi.org ["付款方式"](#)。)

American Express Card 美國運通信用卡  -  -  Expiry Date 有效日期:

VISA/Master Card VISA/萬事達卡  -  -  -  ( ) MM 月 ( ) YY 年

I and/or the cardholder agree to charge the relevant payment to my credit card provided above.  
本人和/或持卡人同意從上述提供的信用卡中扣除相關費用。Cardholder's Name 持卡人姓名: \_\_\_\_\_ Cardholder Signature 持卡人簽署: \_\_\_\_\_  
(Name must match the name on the credit card 姓名必須與信用卡上相同) (Signature must match the signature on the credit card 簽名必須與信用卡上相同)

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Approval Code Payment at the Counter
 Alipay/ Alipay HK  American Express  EPS  
 Union Pay  Visa/Master  WeChat Pay  Others \_\_\_\_\_
**PART 5: Application's Declaration 第五部份：申請人聲明**

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 Licensing Examination for Securities and Futures Intermediaries (LE) 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 LE Examination Handbook, including the Examination Regulations of the LE and the collection of personal data for the purposes stated;
- 4) 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;
- 5) the HKSI Institute reserves the right to take appropriate actions against me to enforce its intellectual property rights and hold my own liable for all losses, damages and/or costs incidental thereto.

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

本人確實、承認並同意接納及清楚明白：

- 1) 倘若本人在此表格上所填報的資料不正確或不完整，本人在繳妥考試費後仍有可能被香港證券及投資學會(學會)拒絕本人的報考申請；
- 2) 本人一旦遞交證券及期貨從業員資格考試(資格考試)報名表格予學會後，本人不得要求更改考試、所選擇的考試試期、試卷及/或考試模式。所有已繳付之費用概不得轉讓。如本人按學會之取消報名政策申請取消已報考之考試及退回相關的考試費用，學會會向本人收取行政費用；
- 3) 資格考試-考試手冊，包括資格考試考試規則的內容及收集本人的個人資料的用途；
- 4) 本人嚴禁對資格考試(電腦應考模式)、電腦應考模式系統及/或試題簿中所載的資料、材料和試題進行拍照、記錄、複製、分發、發表、更改、製作衍生作品，或以任何其他方式或在任何媒體上使用該等資料、材料和試題。資格考試(電腦應考模式)、電腦應考模式系統及/或試題簿中所載的所有資料、材料和試題均為學會的專有資料，其中的一切版權及/或任何知識產權屬於學會獨家所有。本人承認學會對資格考試(電腦應考模式)、電腦應考模式系統及/或試題簿所載的所有該等資料、材料和試題擁有的知識產權(包括版權)；
- 5) 學會保留權利對本人採取適當行動以強制執行其知識產權，並要求本人負責所有相關損失、損害及/或訴訟費用。

本人現申請報考資格考試，並完全同意及遵守資格考試的規則。

 I do not wish to receive marketing materials from the HKSI Institute. 本人不希望收到任何學會的推廣資料。

Signature of Applicant 申請人簽署: \_\_\_\_\_

Date 日期: \_\_\_\_\_

**NOTES ON PERSONAL INFORMATION COLLECTION**  
**in connection with**  
**the Licensing Examination for Securities and Futures Intermediaries**

In light of the Personal Data (Privacy) Ordinance which came into force on 20 December 1996, these Notes are prepared to assist you in understanding your rights and obligations in relation to the supply of personal data by you to the Hong Kong Securities and Investment Institute ("HKSI Institute") and/or any organisation acting on its behalf which holds the examination(s) that you intend to sit for and the manner in which the HKSI Institute may use or deal with such data in connection with the Licensing Examination for Securities and Futures Intermediaries and other relevant matters. You are strongly advised to read these Notes carefully before you sign the Consent at the foot hereof.

1. The HKSI Institute may transfer, release, disclose or provide the personal data and any examination-related information (e.g. examination result and information on the candidate's conduct and behaviour while taking the examination) of those candidates who have enrolled for the Licensing Examination for Securities and Futures Intermediaries to the Securities and Futures Commission ("SFC") and the Hong Kong Monetary Authority ("HKMA"). The personal data and examination-related information so transferred, released, disclosed or provided may be used by the SFC 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.
2. You are entitled under the Personal Data (Privacy) Ordinance to request access to or to request the correction of any data supplied by you, in the manner and subject to the limitations prescribed therein. All enquiries should be directed to the HKSI Institute at the address and telephone numbers below:

Hong Kong Securities and Investment Institute  
Room 506-512, 5/F, Wing On Centre  
111 Connaught Road Central  
Hong Kong

Tel: (852) 3120 6100

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I, the undersigned, hereby confirm and acknowledge that I have read and understood the above Notes before furnishing my personal data to the HKSI Institute and/or any organisation acting on its behalf. I voluntarily consent the HKSI Institute to transfer, release, disclose or provide such 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 SFC and the HKMA, and consent to the use of such data by the SFC 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.

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Name in Block Letters

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Hong Kong Identity Card Number/  
Passport Number

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Signature

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Date

## 證券及期貨從業員資格考試 個人資料收集說明

由於《個人資料(私隱)條例》已在1996年12月20日生效，本說明旨在闡釋考生向主考機構香港證券及投資學會及/或其授權的協辦考試機構提供個人資料時的權利和責任，以及香港證券及投資學會在證券及期貨從業員資格考試及其他相關事宜上，如何運用或處理該等資料。考生簽署下方的同意書前，務必細閱本說明。

1. 香港證券及投資學會可向證券及期貨事務監察委員會（“證監會”）及香港金融管理局（“金管局”）轉交、發放、披露或提供報考證券及期貨從業員資格考試的考生的個人資料及任何與考試有關的資料（例如考試成績及有關該考生在應考時的操守行為的資料）。證監會及金管局可將該等獲轉交、發放、披露或提供的個人資料及與考試有關的資料，用作監察、核實及進行核對（包括《個人資料(私隱)條例》（第486章）第2條所界定的“核對程序”）的目的，以及為協助證監會及金管局執行和履行其職能的其他相關用途。
2. 考生有權在《個人資料(私隱)條例》訂明的範圍內及按照規定的方式，要求查閱或更正所提供的任何資料。如有任何查詢，可致函或致電香港證券及投資學會，地址及電話號碼如下：

香港證券及投資學會  
香港干諾道中111號永安中心  
5樓506-512室

電話：(852) 3120 6100

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本人謹此確認及承認，本人向香港證券及投資學會及/或其授權的協辦考試機構提供個人資料前，已閱讀及明白以上說明的內容。本人自願同意，香港證券及投資學會可將該等資料（包括但不限於香港身份證及護照號碼）、本人以往提供的一切個人資料（如有的話）及任何與考試有關的資料（包括考試成績及有關該考生在應考時的操守行為的資料）轉交、發放、披露或提供予證監會及金管局，並同意證監會及金管局可將該等資料用作監察、核實及進行核對（包括《個人資料(私隱)條例》（第486章）第2條所界定的“核對程序”）的目的，以及為協助證監會及金管局執行和履行其職能的其他相關用途。

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姓名

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香港身份證號碼/護照號碼

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簽署

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日期