

For Internal Use Only	
Received on:	_____
Application No.:	_____
Individual ID:	_____

Membership Progression Application Form

會員晉升申請表格

- Please read the Notes and Annex 1 – 3 before filling in this form. 在填寫此表格之前，請先閱讀“說明”部份及附件1-3。
- Please complete and sign the form with supporting document(s) to the HKSI Institute. The information contained in this form will be kept confidential. 請填妥並簽署表格，連同證明文件送交學會。申請表內的所有資料均會保密。
- Currently, there is no application fee charged for progression to Associate or Ordinary Membership. 現時申請晉升為副會員或普通會員無需繳交申請費用。
- For enquiries, please contact the Secretariat on 3120 6100 or email to member@hksi.org. 查詢請電 3120 6100 或電郵至 member@hksi.org。

1. Progression: Membership Class 晉升會籍級別				
Please select membership class for progression 請選擇晉升會籍級別		Relevant Industry Experience 相關行業經驗	Annual Fee (Will apply upon next renewal) 年費 (適用於下次續會時)	
<input type="checkbox"/> Student Member to Associate Member 學生會員 晉升 副會員		≤ 3 years 年	HKD 600.00	
<input type="checkbox"/> Student Member / Associate Member* to Ordinary Member 學生會員/ 副會員* 晉升 普通會員 (* Please delete as appropriate 請刪去不適用者)		≥ 3 years 年	HKD1,200.00	
2. Member Information 會員資料				
<input type="checkbox"/> Mr <input type="checkbox"/> Ms <input type="checkbox"/> Miss 先生 女士 小姐	English	Surname*	Given Name*	
	中文 (if applicable 如適用)	姓氏*	名字*	
	*As stated on your HK Identity Card / Passport 必需與香港身份證/護照上相同			
Email Address 電郵地址 (Please tick your preferred 請✓ 選您的首選)	<input type="checkbox"/> Office 公司	Contact Number 聯絡電話號碼		Membership No. 會員號碼
	<input type="checkbox"/> Personal 個人			
3. Active License / Registration with Financial Services Regulators 金融服務監管機構有效牌照/註冊				
<input type="checkbox"/> I am licensed by / registered with: 本人持有牌照/註冊：				
<input type="checkbox"/> SFC 證監會		<input type="checkbox"/> HKMA 金管局		<input type="checkbox"/> IA 保監局
No. 號碼		No. 號碼		No. 號碼
<input type="checkbox"/> I am not licensed by / registered with financial services regulators. 本人沒有於金融服務監管機構持有牌照/註冊。				
4. Post Admission Academic / Professional Qualifications (A copy of certification is required) 入會後學術/專業資格 (需提交證明復印本)				
Year 年份	Qualification 資格		Issuing Organisation 頒發機構	
<input type="checkbox"/> Copy of supporting document attached showing the qualification obtained. 附上證明文件之副本證明已獲取相關資格				
<input type="checkbox"/> Graduation certificate 畢業證書 or 或				
<input type="checkbox"/> Academic transcript 學術成績單				

5. Relevant Industry Experience (If a detailed CV is attached, you may skip this section)

相關行業經驗 (如附上詳細履歷，此欄免填)

From 由 (DD/MM/YYYY)	To 到 (DD/MM/YYYY)	Company Name 公司名稱	Position 職位	Job Description 工作描述
	Present 現在			

Please ✓ the appropriate box below. 請於以下合適的方格內加上✓。

Have you been disciplined in any way - i.e. cautioned, fined, suspended or awarded any kind of penalty or punishment by any authority - in the last five (5) years? 您在過去 5 年內有沒有遭受任何形式的紀律處分，例如受到警告、罰款、暫時吊銷牌照或受到任何機構的任何形式的懲罰或處分？

☐ NO, I have NOT been disciplined.

沒有，我未曾遭受紀律處分。

☐ YES, I have been disciplined. (Please provide full details separately and attach the document to the application.)

有，我曾遭受紀律處分。(請提供詳情並連同此表格一併遞交。)

6. Communication of HKSI Institute Services 學會服務通訊

I would like to stay updated on the member benefits, activities, services, training courses and examinations provided by the HKSI Institute

我想知道學會提供的最新會員優惠、活動、服務、培訓課程和考試資料：

☐ Yes 是

☐ No 否

Upon approval of your application, you may change your preference any time according to the means set out in Annex 3 "Personal Information Collection Statement (PICS)". 在您的申請獲批後，您可以隨時按附件 3 "收集個人資料聲明" 內列明的方式更改您的選擇

7. Applicant's Declaration 申請人聲明 (This declaration must be signed by the applicant. 本聲明必須由申請人簽署)

Please put a "✓" in all boxes. 請在所有方格內加上✓。

By signing this application form 通過簽署此申請表格：

☐ I declare that the information I have provided is complete and correct and undertake to notify the HKSI Institute any other information which is relevant to this progression application, and any changes on information contained in this form prior to approval of this application. 茲聲明我所提供的資料均屬完備及正確。我承諾在學會公佈接納我的晉升申請之前，若此申請表格所載資料或其他有關申請的資料有任何改變，我會即時通知學會。

☐ I hereby authorise the HKSI Institute to contact relevant bodies to check and verify the truth and accuracy of the information submitted in this application. 我特此授權學會與相關機構聯繫，以查證及核實我所提供的資料均為屬實和準確。

☐ I acknowledge that the provision of any untrue or incorrect information, or failure to provide personal data, or withholding any such information from, misleading, or attempting to mislead the HKSI Institute on any point will be deemed an act of misconduct and may result in my application being refused. 我明白在任何時候提供不實或不正確資料、未能提供個人資料、隱瞞、誤導或企圖誤導學會乃嚴重失當行為，並可能導致學會拒絕我的申請。

☐ I confirm that I have read, understand and agreed the contents of the HKSI Institute's [Articles of Association](#), HKSI Institute [Membership Rules](#), including the Code of Ethics, and Annex 3 Personal Information Collection Statement ("PICS"). 我確認我已閱讀、理解並同意 "學會組織章程細則"、"會員規則" (包括 "操守守則")，以及附件 3 "收集個人資料聲明" 的內容。

Applicant's Signature 申請人簽署

Date 日期

Notes

Note i – Contact Information

- a. Contact information and preference indicated in this form will supersede those you have provided earlier (if any).

Note ii - Relevant Industry Experience

- b. Please refer to Annex 2 “Relevant Industry Experience Recognised by the HKSI Institute”.
c. For “Job Description”, please provide information on your job duties, areas or activities in light of “relevant industry experience” in Annex 2.
d. You may provide all the information requested in this section by way of CV.

Note iii – Membership Fee

- e. Upon successful progression, the annual fee for your new membership class will apply upon next renewal. Please refer to Schedules 3 of [membership rule](#) for details.

說明

說明 i –聯絡資料

- a. 此表格上的聯絡資料和通訊方式設定將取代您之前所提供的資料（如果有）。

說明 ii - 相關行業經驗

- b. 請參閱附件 2 “學會認可相關行業經驗”。
c. 有關“工作描述”，請參照附件 2 所列，填寫您的職責、領域或活動。
d. 可以提供履歷，內詳所需資料。

說明 iii - 會費及繳款資料

- e. 成功晉升後，您的新會員級別的年費將在下次續會時適用。詳情請參閱[會員規則](#)附表 3 (只提供英文版本)。

Membership Requirements 會籍要求

(Extracted from [Membership Rules](#) Schedule 1 摘錄自“[會員規則](#)”附表 1)

Ordinary Membership

Individuals who have at least 3 years' relevant industry experience as described below AND are either licensed by/registered with the SFC, the HKMA, the IA or the MPFA OR, if not so licensed, holds a recognised academic or industry qualification or membership as described below. Associate Members can apply for progression to Ordinary Membership if they meet the requirements.

1. At least 3 years' relevant industry experience

Relevant industry experience means work experience gained within the financial services industry as specified in Annex 2 before, during and/or after attaining academic or professional qualification.

2. Recognised academic qualification

Holder of a bachelor's degree or above, or equivalent, in any discipline from a local or Mainland or other overseas registered education institution acceptable to the Institute.

3. Recognised industry qualification or membership

- HKSI Institute Specialist Certificate in Securities, Derivatives, Credit Rating Agency, Corporate Finance, and / or Asset Management;
- Professional Diplomas, Certificate Programmes or Professional Qualification Programmes granted by the Institute;
- Certified International Wealth Manager (CIWM);
- Certified International Investment Analyst (CIIA);
- Certified Private Wealth Professional (CPWP);
- Recognised industry qualifications listed in the [Guidelines on Competence](#) issued by SFC or equivalent;
- Qualified member of Hong Kong Institute of Certified Public Accountant (HKICPA) or Association of Chartered Certified Accountants (ACCA);
- Member / Fellow of Chartered Institute for Securities & Investment (CISI);
- Barrister or solicitor admitted in Hong Kong;
- Holder of other professional qualification from local or Mainland or other overseas institution equivalent to the above may be considered.

普通會員

具有至少 3 年下述相關行業經驗，**並且**持有證監會、金管局、保監局或積金局的牌照/註冊。非持牌者，則需持有下列認可學術或行業資格或會籍資格。符合條件的副會員可以申請晉升成為普通會員。

1. 至少 3 年相關行業經驗

相關行業經驗是指在獲得學術或專業資格之前、期間及/或之後，按附件 2 所述在金融服務行業中獲得的工作經驗。

2. 認可學歷

擁有學會認可的本地或中國內地或其他海外註冊教育機構的任何學士學位或以上學歷，或同等學歷。

3. 認可的行業資格或會員資格

- 高級從業員資格證書 - 證券/衍生工具/信貸評級服務/機構融資 及/或 資產管理；
- 學會所頒發的專業文憑、證書課程或專業資格課程；
- 註冊國際財富經理 (CIWM)；
- 註冊國際投資分析師 (CIIA)；
- 註冊私人財富管理師 (CPWP)；
- 證監會頒布的《勝任能力的指引》中所列出的認可行業資格；
- 香港會計師公會 (HKICPA) 或 Association of Chartered Certified Accountants (ACCA) 的合資格會員；
- Chartered Institute for Securities & Investment (CISI) 會員(Member /Fellow)；
- 在香港獲認可的大律師或事務律師；
- 學會可考慮接受由本地或內地或其他海外機構頒發的其他與上述同等的專業資格的持有人。

Associate Membership

Individuals who have less than 3 years' relevant industry experience as described below AND are either licensed by/registered with the SFC, the HKMA, the IA or the MPFA OR, if not so licensed, holds a recognised academic or industry qualification or membership described below. Student Members can apply for progression if they meet the requirements.

1. Less than 3 years' relevant industry experience

Relevant industry experience means work experience gained within the financial services industry as specified in Annex 2 before, during and/or after attaining academic or professional qualification.

2. Recognised academic qualification

- a. Holder of a Hong Kong Diploma of Secondary Education Examination (HKDSE), or Hong Kong Certificate of Education Examination (HKCEE), or equivalent.
- b. Holder of associate degree, higher diploma or bachelor's degree or above, or equivalent, in any discipline from local or Mainland or other overseas registered education institutions acceptable to the Institute.

3. Recognised industry qualification or membership

- a. HKSI Institute Practising Certificate in Securities, Derivatives, Credit Rating Agency, Corporate Finance, and / or Asset Management;
- b. Professional Diplomas, Certificate Programmes or Professional Qualification Programmes granted by HKSI Institute;
- c. Recognised industry qualifications listed in the Guidelines on Competence issued by the SFC or equivalent;
- d. Chartered Institute for Securities & Investment (CISI) Investment Operations Certificate;
- e. FSA Registered Person Examinations in UK;
- f. US General Securities Representative – Series 7;
- g. US Futures Representative – Series 3;
- h. Associate of CISI.

副會員

具有少於 3 年下述相關行業經驗，並且獲得證監會、金管局、保監局或積金局的牌照/註冊，或如未持有牌照，則持有以下所描述的認可學術或行業資格或會籍資格。符合條件的學生會員可以申請晉升成為副會員。

1. 少於 3 年相關行業經驗

相關行業經驗是指在獲得學術或專業資格之前、期間及/或之後，按附件 2 所述在金融服務行業中獲得的工作經驗。

2. 認可學歷

- a. 持有香港中學文憑考試 (HKDSE) 或香港中學會考證書 (HKCEE) 或同等學歷。
- b. 擁有學會認可的本地或內地或其他海外註冊教育機構任何學科的副學士學位、高級文憑或學士學位或以上學歷，或同等學歷。

3. 認可的行業資格或會員資格

- a. 從業員資格證書 - 證券、衍生工具、信用評級機構、機構融資及/或資產管理；
- b. 學會頒發的專業文憑，證書課程或專業資格課程；
- c. 證監會頒布的《勝任能力的指引》中所列出的認可行業資格或同等資格；
- d. Chartered Institute for Securities & Investment (CISI) Investment Operations Certificate;
- e. FSA Registered Person Examinations in UK;
- f. US General Securities Representative – Series 7;
- g. US Futures Representative – Series 3;
- h. Associate of CISI.

Relevant Industry Experience Recognised by the HKSI Institute 學會認可相關行業經驗

(Extracted from [Membership Rules Schedule 2](#) 摘錄自“[會員規則](#)”附表2)

Relevant industry experience in the financial services industry recognised by the Institute for individual and corporate membership admission or progression includes, but not limited to, the following duties, areas or activities:

1. Individuals and Corporates who engage in any activity or business regulated or authorised by the following local regulators:
 - a. the SFC
 - b. the HKMA
 - c. the IA
 - d. the MPFA
2. Corporations listed on a recognised exchange in Hong Kong, the Mainland or overseas
3. Financial Regulators and Exchanges
4. Alternative Investment / Hedge Fund
5. Crypto Exchanges
6. Family Office
7. Fintech / Regtech
8. Virtual assets, fund and trading platform
9. Professional Services and Consulting Firms which provide services in auditing, accounting, tax, legal, custodian/trustee, company secretary, consulting, compliance, internal auditing, risk management, Information & Technology, education/training, public relations, communications, investor relations
10. Practitioners or corporates in stockbroking, market making, fund management, personal financial advice, wealth management, investment analysis, corporate finance, commodity and financial futures and options, financial planning, markets administration, technology, regulation, compliance, risk, operations, clearing and settlement or other related areas of financial and investment industry
11. Academics with education, training, research, and management experiences related to financial services industry from a local or Mainland or other overseas registered education institution acceptable to the Institute

學會認可為個人和機構會員入會或會籍晉升的金融服務行業相關經驗，包括但不限於以下職責、領域或活動：

1. 個人和機構從事由以下本地監管機構監管或授權的任何活動或業務：
 - a. 證監會
 - b. 金管局
 - c. 保監局
 - d. 積金局
2. 在香港、內地或海外認可交易所上市的公司
3. 金融監管機構和交易所
4. 另類投資/對沖基金
5. 加密貨幣交易所
6. 家族辦公室
7. 金融科技/ 監管科技
8. 虛擬資產、基金和交易平台
9. 提供以下服務的專業服務及諮詢公司：審計、會計、法律、稅務、保管人/受託人、公司秘書、諮詢、合規、內部審計、風險管理、資訊及科技、教育/培訓、公共關係、傳訊、投資者關係
10. 從事股票經紀、莊家、基金管理、個人理財諮詢、財富管理、投資分析、機構融資、商品和金融期貨及期權、財務策劃、市場管理、科技、法規、合規、風險、運營、清算及結算，以及其他金融及投資行業相關領域的從業員或公司
11. 具有本所認可的本地或內地或其他海外註冊教育機構與金融服務業相關的教育、培訓、研究和管理經驗的學者

Personal Information Collection Statement

1. The Personal Information Collection Statement (“**PICS**”) is made in accordance with the guidelines issued by the Office of the Privacy Commissioner for Personal Data. The PICS sets out the policies and practices of the HKSI Institute with regard to your personal data¹ and what you are agreeing to with respect to the HKSI Institute’s use of your personal data for the purposes identified below.
2. Data collected may be accessible by the HKSI Institute’s officers, persons or committees processing membership application and related matters. Please refer to the HKSI Institute’s privacy policy on its website at <https://www.hksi.org/en/privacy-policy/>.

Purpose of Collection

3. The personal data provided in the membership application form will be used by the HKSI Institute for one or more of the following purposes:
 - evaluating and processing of your membership application and the making of other membership-related decisions;
 - contacting bodies relevant to your application to check and verify the information submitted in your application;
 - research and/or statistical purposes;
 - keeping the register of members (physical and/or digital form) for inspection and compliance purpose;
 - any other purposes directly relating to any of the above.

Transfer of Personal Data

4. The HKSI Institute will keep your personal data confidential. However, subject to the provisions of any applicable law, the personal data may be:
 - supplied to any agent, contractor or third party who provides administrative or other services to the HKSI Institute, local and overseas and who has a duty of confidentiality to us, including such persons as external auditors, consultants and agents;
 - disclosed to any governmental or regulatory authorities or departments, or courts of law or any other person, in Hong Kong or elsewhere, for the purpose of verifying personal data provided by you to the HKSI Institute.

Access to Data

5. Unless otherwise agreed, any documents containing your personal data that you provide to the HKSI Institute will become the property of the HKSI Institute and will not be returned to you. The HKSI Institute will destroy any documents and personal data it holds in accordance with its internal policy and applicable laws. Applicants are required to complete their applications within three months. Failing that they may be deemed to have withdrawn their applications. Personal data of the unsuccessful and withdrawn applicants will be destroyed within three months from the date of rejection or withdrawal.
6. You have the right to request access to and correction of your personal data in accordance with sections 18 and 22 and Principle 6 of Schedule 1 of the Personal Data (Privacy) Ordinance (Chapter 486 of the Laws of Hong Kong). The HKSI Institute has the right to charge a reasonable fee for processing of any data access request.
7. Any enquiries regarding the personal data provided in the application form or any other form of request for information (as the case may be), or requests for access to personal data or correction of personal data, should be made via [Online Portal](https://login.hksi.org/login) (<https://login.hksi.org/login>) or addressed in writing to:-

The Data Privacy Officer, Corporate Affairs Department

By mail to: Hong Kong Securities and Investment Institute
17/F, Cambridge House, Taikoo Place,
979 King's Road, Quarry Bay, Hong Kong; or

By email to: info@hksi.org

¹ “Personal data” is defined in Section 2 of the Personal Data (Privacy) Ordinance, Cap 486 (“PDPO”).

收集個人資料聲明

1. 個人資料收集聲明(“聲明”)是根據香港個人資料私隱專員公署發布的指引制定，聲明列出香港證券及投資學會(“學會”)對您的個人資料²政策和作業守則，以及您同意學會將您的個人資料用作下列用途。
2. 學會的職員、人員或委員會可能會接觸所收集的資料，以處理會籍申請及相關事宜。有關學會的《隱私政策聲明》，請瀏覽其網站 <https://www.hksi.org/hk/privacy-policy/>。

收集資料目的

3. 您於會籍申請所提供的個人資料，將被學會用作以下列一項或多項用途：
 - 評估和處理您的會籍申請，並作出其他與會籍相關的決定；
 - 聯絡與您申請相關的機構以查證及核實您申請時所提交的資料；
 - 研究及/或統計用途；
 - 保存會員名冊（實物和/或數碼形式）供查閱及合規用途；
 - 與上述任何一項直接相關的任何其他用途。

個人資料轉移

4. 學會會對您的個人資料保密，除非是按照任何適用法律的規定，您的個人資料可能會：
 - 學會可能會向任何在本地和海外向學會提供行政或其他服務的代理、承辦商或第三者提供您的個人資料，包括外部審計師、顧問和代理等，所列者均對學會負有保密責任；
 - 向香港或其他地方的任何政府或監管機構或部門、法院或任何其他人士披露您的個人資料，以核實您向學會所提供的個人資料。

查閱資料

5. 除非另外協議，否則您所提供含有個人資料的文件將成為學會的資產，學會將不會退還。學會將按照其內部政策和適用法律銷毀所持有的任何文件及個人資料。申請人需於三個月內遞交完整申請，否則可能被視為撤回申請。學會將於拒絕或申請人撤回申請之日起計的三個月內銷毀相關的個人資料。
6. 根據《個人資料(私隱)條例》(香港法例第486章)第18條、第22條及附表1的第6原則，您有權要求查閱和更改您的個人資料。學會有權就處理任何查閱資料的要求，收取合理的費用。
7. 如欲查詢申請表格上的個人資料，或以任何其他形式提出資料請求(視情況而定)，或要求查閱個人資料或更正個人資料，請透過學會 [電子服務網站](https://login.hksi.org/login) (<https://login.hksi.org/login>) 或以書面形式提出：

機構事務部資料私隱主任

郵寄至：香港證券及投資學會

香港鰂魚涌英皇道979號太古坊康橋大廈17樓；或

電郵至：info@hksi.org

² 第486章《個人資料(私隱)條例》第2條定義“個人資料”。