

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

For Office Use Only 學會專用

Date: _____
Amount: _____
Handle By: _____
Counter Remark: _____
Enrolment ID.: _____
Individual ID: _____

1. 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).
自2018年4月1日起，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。
2. 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)下載。
3. 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 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	<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。	
Name of Company 工作機構名稱		Position Held 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 ₁₀ 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 _____)

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

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.

Name in Block Letters

Hong Kong Identity Card Number/
Passport Number

Signature

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

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。

姓名

香港身份證號碼/護照號碼

簽署

日期