

CIIA FINAL EXAMINATION – APPLICATION FOR REGISTRATION FORM

CIIA 期终资格考试 - 注册申请表格

<p>• Examination papers of the CIIA Final Examination are in English or Simplify Chinese. Please read the relevant ACIIA/HKSI Institute CIIA Final Examination Handbook (the “Handbook”) (Examination in English) and/or (Examination in Simplified Chinese) carefully before completing this form. CIIA 期终资格考试的试卷提供简体中文版或英文版。在填写此表格前请先阅读相关之注册国际投资分析师协会(ACIIA)/香港证券及投资学会(学会)注册国际投资分析师 CIIA 期终资格考试手册(“手册”)(简体中文考试)及/或(英文考试)。</p> <p>• Your personal record in the HKSI Institute Online Portal will be created or updated based on the the information provided in this form. 本会将按照此表格内所提供的资料建立或更新您在学会电子服务网站上的个人纪录。</p> <p>• Please complete legibly the relevant parts in BLOCK LETTERS and in BLACK or BLUE INK and put a “✓” in the appropriate “□”. 请用正楷及黑色或蓝色原子笔清楚填写表格，并在适当“□”内填上“✓”号。</p> <p>• All Information provided in this form will be used by the HKSI Institute for purposes relating to the performance of HKSI Institute’s and ACIIA’s administration functions, including the administration of their courses/examinations. The provision of personal data by means of this form is voluntary. Please read “Appendix 2 - Notice Relating to the Personal Data (Privacy) Ordinance” of the Handbook. 学会会使用考生于此注册申请表格(注册表格)所填的个人资料作为学会及 ACIIA 行政事宜，包括处理报考课程/考试相关事宜。在本表格上提供个人资料纯属自愿性质。请阅读手册中附录二关于《个人资料(私隐)条例》须知。</p>	<p>For Office Use Only 學會專用</p> <p>Date: _____</p> <p>Individual ID.: _____</p> <p>ACIIA Cand. No.: _____</p> <p>Amount: _____</p> <p>Handle By: _____</p> <p>Counter Remark: _____</p> <p>Term Enrolled: _____ A/R/P</p>
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Please refer to Section 3 “Entry Requirements” of the Handbook before completing this form. Please select ONLY one of the routes below for registration as a CIIA® Registered Candidate “CIIA Candidate” by putting a “✓” in the appropriate “□”.

在填写此表格前请先阅读手册第三章“报考要求”。申请人请选择以下其中一个注册为 CIIA 注册考生(CIIA 考生)的途径，并在适当“□”内填上“✓”号。

1. The EQC Route 途径

- I am currently an Ordinary Member (MHKSI) / Fellow (FHKSI) / Senior Fellow (SFHKSI) / Honorary Fellow (FHKSI (Hon)) of the HKSI Institute. Please complete Parts 1 to 7. 本人是香港证券及投资学会会员(MHKSI)/资深会员(FHKSI)/杰出资深会员(SFHKSI)/荣誉资深会员(FHKSI(Hon))。请填写成本表格第 1 至 7 部份。
- I wish to submit the education/professional/employment qualifications listed in Part 4 below for the purposes of registration. Please complete Parts 1 to 7. 本人欲递交列于以下第四部份的就业详情/专业资格/就业详情申请注册。请填写本表格第 1 至 7 部份。

2. The DPE / PDFM Route 途径

- I have completed all 3 Papers of the HKSI Institute Diploma Programme Examination, or all 7 Modules of the HKSI Institute Professional Diploma in Financial Markets. (Date of completion [mm/yyyy]: _____). Please complete Parts 1, 2, 3, 5, 6 and 7. 已完成所有香港证券及投资学会文凭课程考试(DPE)的 3 份考卷，或香港证券及投资学会金融市场专业文凭(PDFM)的 7 个单元。(完成日期[月月/年年年]: _____) 请填写本表格第 1, 2, 3, 5, 6 及 7 部份。

PART 1: Examination Language 第一部份：考试语言

Please select your examination language (choose one language only) 请选择 阁下的考试语言(两者只可选其一)

- English 英文 简体中文 Simplified Chinese

PART 2: Personal Particulars (COMPULSORY) 第二部份：个人资料 (必须填写)

(As stated on your HK Identity Card / Passport 必须与香港身份证/护照上相同)

Surname in English 姓氏(英文)		Given Name in English 名字(英文)	
中文姓名 (Name in Chinese)		HKSI Institute Membership Number 香港证券及投资学会会员号码	
Hong Kong Identity Card Number/Passport Number 香港身份证号码/护照号码 You are required to present the original copy of the identification document(s) specified above during the examination 阁下于考试时须出示上述所填写之身份证明文件正本			
Date of Birth 出生日期	DD 日	MM 月	YY 年
Title 称谓		<input type="checkbox"/> Mr 先生 <input type="checkbox"/> Mrs 女士 <input type="checkbox"/> Ms 女士 <input type="checkbox"/> Miss 小姐	
Place of Birth 出生地点		Nationality 国籍	
Mobile Phone Number 流动电话号码		Email Address 电邮地址	
Name of Company 工作机构名称			
Department 部门		Position Held 职位名称	
Position Level 职位			
<input type="checkbox"/> Above manager level 经理级以上		<input type="checkbox"/> Manager level 经理级	
<input type="checkbox"/> Student 学生		<input type="checkbox"/> Below manager level 经理级以下	
<input type="checkbox"/> Presently not employed / retired 非在职或退休人士			

P.T.O. 请转后页

PART 3: Other Information (For statistical analysis and promotion) 第三部份：其他资料 (以供统计分析及推广之用)

- i) **Education 教育程度：**
 Secondary or below 中学或以下程度 Post-secondary 大专 Degree Graduate 大学毕业 Master or above 硕士或以上
- ii) **Main Working Field 主要從事行業：**
 Securities Dealing and/or Advising 证券交易及/或意见提供 Futures and Derivatives Dealing and/or Advising 期货及衍生工具交易及/或意见提供
 Credit Rating Services 信贷评级服务 Leveraged Foreign Exchange Trading 杠杆式外汇买卖 Corporate Finance 机构融资
 Asset Management 资产管理 Private Wealth Management 私人财富管理 Banking 银行
 Accounting 会计 Legal Services 法律事务 Insurance 保险
 Training and Education 教育及培训 ₁₀ Student 学生 Others 其他 (Please specify 请注明_____) Unemployed 待业
- iii) **Work Experience 工作经验：**
 < 1 year 年 1 – 4 years 年 5 – 10 years 年 11 – 15 years 年 > 15 years 年
- iv) **Firm Size 机构规模：**
 < 100 employees 员工 100 – 299 employees 员工 300 – 499 employees 员工 500+ employees 员工
- v) **Mode of Study 学习形式：**
 Self-study 自修 Others 其他 (Please specify 请注明_____)
 Preparatory Courses 备试课程 (Please specify the name of institution and course name 请注明举办机构及课程名称 _____)
 Revision Workshops 短期温习精研班 (Please specify the name of institution and course name 请注明举办机构及课程名称 _____)
- vi) **I know about this examination from 本人从下列途径得悉考试资料：**
 HKSI Institute Website 学会网页 HKSI Institute Office 学会办事处 HKSI Institute Evening Course 学会晚间课程
 HKSI Institute Professional Events 学会专业活动 Newspaper 报纸 (Please specify 请注明 _____)
 Regulators 监管机构 Employer 雇主 Friends 朋友 Others 其他 (Please specify 请注明_____)

PART 4: Education / Professional Qualification / Employment 第四部份：就学详情/专业资格/就业详情

Education 就学详情 (Please give details of your *tertiary* education or above only. Please attach copies of certificate(s) and official transcripts, syllabuses or accompanying papers, or other supporting documents.)
 (请提供 阁下的 专上教育或以上的学历。请递交相关证书及成绩单、大纲或附带资料文件或其他相关资料文件的复印件。)

Education Institution 教育机构	Qualification(s) 资格 (Certificate, Diploma, Degree, Master, etc In the case of a degree, please specify classification and field of study.) (证书、文凭、学士学位、硕士学位等。如是学士学位，请注明等级和主修及/或副修学科。)	Country 国家	Award Date 颁发日期 (mm 月/yyyy 年)

Professional Qualification 专业资格

(Please attach copies of certificate(s), or other supporting documents.) (请同时递交相关证书或其他相关资料文件的复印件。)

Issuing Organisation 颁发机构	Qualification(s) 资格 (Certificate, Diploma, Designation, etc.) (证书、文凭、荣誉等。)	Award Date 颁发日期 (mm 月/yyyy 年)

P.T.O. 请转后页

Employment 就业详情

(Please give details of your recent employment only.) (只须详述最近的就业详情。)

Name of Employer and Nature of Business 雇主名称及业务性质	Position Held 职位	Commencement Date 就职日期 (mm 月/yyyy 年)	Nature of Duties 工作性质

PART 5: Payment Method 第五部份：付款方式 Amex Card

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Expiry Date 有效日期:

 VISA/Master Card

[][][][]	-	[][][][]	-	[][][][]	-	[][][][]
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() MM 月 () YY 年

I and/or the cardholder agree to charge the registration fee of HK\$1,140 to my credit card provided above. 本人和/或持卡人同意从上述提供的信用卡中扣除港币 1,140 元注册费用。

Cardholder's Name: _____

持卡人姓名

(Name must match the name on the credit card 姓名必须与信用卡上相同)

Cardholder's Signature: _____

持卡人签署

(Signature must match the signature on the credit card 签名必须与信用卡上相同)

For Office Use Only 学会专用

Approval Code

Payment at the Counter Alipay/ Alipay HK Union Pay Visa/Master American Express WeChat Pay Others _____ EPS**PART 6: Communication of HKSI Institute Services 第六部份：学会服务通讯**

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

我想知道学会提供的最新会员优惠、活动、服务、培训课程和考试信息。

 Yes 是 No 否**PART 7: Application's Declaration 第七部份：申请人声明**

I confirm that I understand that if the details I have submitted in this form are inaccurate or incomplete, my registration may not be accepted by the Hong Kong Securities and Investment Institute (HKSI Institute) / Association of Certified International Investment Analysts (ACIIA) even though payment of the candidate registration fee has been made; and that I have read, and I accept and understand the relevant "ACIIA / HKSI Institute CIIA Final Examination Handbook" (Examination in English) and/or (Examination in Simplify Chinese); and I understand that all the fees paid are non-transferable and non-refundable except for the partial refund to those applicants who are unsuccessful in registering as a CIIA Candidate.

I hereby apply to register as a candidate of the CIIA Final Examination in Hong Kong and undertake, if registered, that so long as I remain a Registered Candidate of the ACIIA, I shall observe and abide by the rules and regulations prescribed by the ACIIA and the HKSI Institute.

本人确实明白倘若本人在此表格上所填报的资料不正确或不完整，本人在缴妥注册费用后仍有可能被香港证券及投资学会(学会)/注册国际投资分析师协会(ACIIA)拒绝本人的注册申请；及本人确实已阅读并同意接纳及清楚明白相关之 ACIIA/学会 CIIA 期终资格考试手册(简体中文考试)及/或(英文考试)。本人明白所有已付之费用概不得转让及退还，除了因不成功注册为 CIIA 期终资格考试的考生，此类申请人士可获退回部份款项。本人现注册成为香港的 CIIA 期终资格考试的考生，若注册成功，本人为 ACIIA 的注册考生期间，本人完全同意及遵守 ACIIA/学会的规则。

Signature of Applicant 申请人签署: _____ Date 日期: _____