

For Office Use Only 學會專用

Date: _____

Individual ID: _____

Enrolment ID.: _____

Amount: _____

Handle By: _____

Counter Remark: _____

EXAMINATION ENROLMENT FORM
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>).
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 relevant Examination Handbook carefully before completing this form. The Examination Handbook is downloadable from the **HKSI Institute website** (www.hksi.org).
在填寫此表格前請先閱讀相關考試手冊。考試手冊可於**學會網頁**(www.hksi.org)下載。
- Your personal record in the HKSI Institute Online Portal will be created or updated based on the the information provided in this form.
本會將按照此表格內所提供的資料建立或更新您在本會電子服務網站上的個人紀錄。
- 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) | |
| 姓氏 (中文) Surname (Chinese) | | 名字 (中文) Given Name (Chinese) | |
| 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 |
| 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 | |
| Mobile Phone Number 流動電話號碼 | | Email Address 電郵地址 | |
| Company Name 工作機構名稱 | | | |
| Department 部門 | | Job Title 職位名稱 | |
| Position Level 職位 | | | |
| <input type="checkbox"/> Above manager level 經理級以上 <input type="checkbox"/> Student 學生 | | <input type="checkbox"/> Manager level 經理級 <input type="checkbox"/> Presently not employed / retired 非在職或退休人士 | |
| <input type="checkbox"/> Below manager level 經理級以下 | | | |

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：**
- | | |
|---|---|
| <input type="checkbox"/> Securities Dealing and/or Advising 證券交易及/或意見提供 | <input type="checkbox"/> Futures and Derivatives Dealing and/or Advising 期貨及衍生工具交易及/或意見提供 |
| <input type="checkbox"/> Credit Rating Services 信貸評級服務 | <input type="checkbox"/> Leveraged Foreign Exchange Trading 槓桿式外匯買賣 |
| <input type="checkbox"/> Asset Management 資產管理 | <input type="checkbox"/> Private Wealth Management 私人財富管理 |
| <input type="checkbox"/> Accounting 會計 | <input type="checkbox"/> Legal Services 法律事務 |
| <input type="checkbox"/> Training and Education 教育及培訓 | <input type="checkbox"/> Others 其他 (Please specify 請註明_____) |
| <input type="checkbox"/> Student 學生 | <input type="checkbox"/> 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 examination, examination paper(s), date(s) and time(s) below. 請填寫所選擇的考試、試卷、日期及時間。

| Examination 考試 | Examination Paper 試卷 | Examination Date 考試日期 | Examination Date 考試時間 | Fee 費用 (HKD 港幣) |
|-------------------------|----------------------|-----------------------|-----------------------|-----------------|
| | | | | |
| | | | | |
| | | | | |
| | | | | |
| Administration Fee 行政費用 | | | | 100 |
| Total Fee 總費用 | | | | |

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".)

| | | | | | | |
|--|----------------------|---|----------------------|---|----------------------|-------------------|
| <input type="checkbox"/> American Express Card 美國運通信用卡 | <input type="text"/> | - | <input type="text"/> | - | <input type="text"/> | Expiry Date 有效日期: |
| <input type="checkbox"/> VISA/Master Card VISA/萬事達卡 | <input type="text"/> | - | <input type="text"/> | - | <input type="text"/> | () 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 | <u>Payment at the Counter</u> | <input type="checkbox"/> American Express | <input type="checkbox"/> EPS |
| | <input type="checkbox"/> Alipay/ Alipay HK | <input type="checkbox"/> WeChat Pay | <input type="checkbox"/> Others _____ |
| | <input type="checkbox"/> Union Pay | <input type="checkbox"/> Visa/Master | |

PART 5: Communication of HKSI Institute Services 第五部份：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、培訓課程和考試資訊。

- Yes 是
- No 否

PART 6: Application's Declaration 第六部份：申請人聲明

I confirm, acknowledge, accept and understand that:

- if the details I have submitted in this form are inaccurate or incomplete or I do not met the enrolment prerequisites, 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;
- once I have submitted the 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 and non-refundable. If I cancel my examination under HKSI Institute's Withdrawal Policy and apply for a refund of the applicable examination fee, if applicable, I will be charged a refund administration fee;
- the Examination Handbook, including the Examination Regulations and the collection of personal data for the purposes stated;
- I am 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 relevant examination and information on the candidate's conduct and behaviour while taking the examination, to the relevant regulatory bodies/institutes/associations (please refer to Examination Handbook - Notice Relating to the Personal Data (Privacy) Ordinance), and consent to the use of such data by the relevant regulatory bodies/institutes/associations 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;
- the HKSI Institute's [Terms and Conditions](#) of ePlatform.

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

本人確實、承認並同意接納及清楚明白：

- 倘若本人在此表格上所填報的資料不正確或不完整或本人未能符合報考資格，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；
- 本人一旦遞交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及退還。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(如適用)，學會會向本人收取行政費用；
- 考試手冊，包括考試規則的內容及收集本人的個人資料的用途；
- 本人自願同意，學會可將個人資料(包括但不限于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、披露或提供予相關監管機構/專業機構/協會(詳見考試手冊 - 關於《個人資料(私隱)條例》須知)，並同意相關監管機構/專業機構/協會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，以及為協助相關監管機構/專業機構/協會執行和履行其職能的其他相關用途；
- 學會網站內之電子平台使用的條款及細則。

本人現申請報名考試，並完全同意及遵守考試的規則。

Signature of Applicant 申請人簽署: _____ Date 日期: _____