

**For Internal Use Only**

Received on: \_\_\_\_\_

Application No.: \_\_\_\_\_

Individual ID: \_\_\_\_\_

## Ordinary Member Application Form for Corporate Nominee Only

### 普通會員申請表格只供機構提名會員使用

(See Note i 請參考說明 i 項)

- If you are currently our Individual Member, you do not need to complete this form. Please email the secretariat at [member@hksi.org](mailto:member@hksi.org).  
如您目前是本學會的個人會員，則無需填寫此表格。請電郵至 [member@hksi.org](mailto:member@hksi.org) 聯絡秘書處。
- Please read the "Notes" and "Annexes" before filling in this form. 在填寫此表格之前，請先閱讀“說明”及“附件”部份。
- Please complete and sign the form and return it with the 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。
- For enquiries, please contact the Secretariat by email [member@hksi.org](mailto:member@hksi.org). 如有查詢，請電郵至 [member@hksi.org](mailto:member@hksi.org) 聯絡秘書處。

Please complete **ALL** sections and put a "✓" in the appropriate box(es). 請填寫表格所有部分及在適當的方格內加上“✓”。

#### 1. Corporate Member Information 機構會員資料

Name of Corporate Member 機構會員名稱	Corporate Membership Number 機構會籍號碼
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#### 2. Personal Particulars 個人資料

<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) 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		
HK Identity Card Number/ Passport Number 香港身份證號碼/護照號碼	Date of Birth 出生日期	(DD/MM/YYYY)

#### 3. Contact Information 聯絡資料 (See Note ii 請參考說明 ii 項)

Please put a "✓" in the box indicating your preferred ways of contact. 請在您的首選聯絡方式旁的方格加上“✓”。

Preferred Mailing Address 通訊地址	<input type="checkbox"/> Office 公司	<input type="checkbox"/> Residential 住宅
Phone Number 電話號碼	<input type="checkbox"/> Office 公司	<input type="checkbox"/> Mobile 流動電話
Email Address 電郵地址	<input type="checkbox"/> Office 公司	<input type="checkbox"/> Personal 個人

#### 4. Active License/ Registration with Financial Services Regulators 金融服務監管機構有效牌照/註冊

I am licensed by/ registered with: 本人持有牌照/註冊：

Please put a "✓" in the appropriate box(es). 請在適當的方格內加上“✓”。

SFC 證監會  
No. 號碼

HKMA 金管局  
No. 號碼

IA 保監局  
No. 號碼

MPFA 積金局  
No. 號碼

(You may go direct to "Section 6 Relevant Industry Experience". 您可以直接填寫“第6部份相關行業經驗”)

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。

(Please continue with "Section 5 Academic/ Industry Qualifications or Memberships". 請繼續填寫“第5部份 學術/行業資格或會員資格”)

**5. Recognised Academic/ Industry Qualifications or Memberships 認可學術/行業資格或會員資格 (See Annex 1 請參考附件 1)**

Please put a "✓" in the appropriate box(es) and provide at least one qualification or membership and attach copies of relevant supporting document(s).

請在適當的方格內加上“✓”並提供至少一項資格或會籍的資料，以及附上相關證明文件的副本。

 **a. Recognised Academic Qualification 認可學術資格**

Education Institution 教育機構	Name 名稱	Country 國家
Qualification 資格  <i>(Please put down full name of qualification. 請填資格全名)</i>		Award Date 頒發日期  <i>(MM/YYYY)</i>

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

Graduation certificate 畢業證書

Academic transcript 學術成績單

 **b. Recognised Industry Qualification 認可行業資格**

Issuing Organisation 頒發機構	Award Date 頒發日期  <i>(MM/YYYY)</i>
Qualification 資格  <i>(Please put down full name of qualification. 請填資格全名)</i>	<input type="checkbox"/> Copy of supporting document(s) showing the qualification obtained 附上證明文件之副本證明已獲取相關資格

 **c. Recognised Industry Membership 認可行業會員資格**

Organisation 專業團體	Membership Type 會籍類別	Membership Number 會員編號
Member Since 入會月份及年份  <i>(MM/YYYY)</i>	<input type="checkbox"/> Copy of supporting document attached which shows you are a member of the organisation 附上證明文件之副本以證明您是該團體之會員	

**6. Relevant Industry Experience 相關行業經驗 (See Note iii 請參考說明 iii)**

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

Business card of current job is attached. 附上現時工作的名片。

### 7. Disciplinary Record 紀律處分記錄

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。)

### 8. 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。

### 9. 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 application, and any changes on information contained in this form prior to admission to membership. 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成為會員之前，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 – Membership Class

- a. Corporate Nominee:
- Under “[Membership Rules](#)” paragraph 7.2, Corporate Nominee applicant who is not our Individual Member can only apply for Ordinary Membership. (Please refer to Annex 1 “Membership Requirements” for admission requirement)
  - Corporate Nominee shall be entitled to receive notice of, attend and vote at general meetings of the Institute, and shall be eligible to be elected to the Board.
  - Under “[Membership Rules](#)” paragraph 9.2.3, a person will cease to enjoy Corporate Nominee status upon:
    - the termination of his/her employment with the Corporate Member;
    - the failure of the Corporate Member to pay its annual fee;
    - the cessation of such Corporate Member to be a member of the Institute; or
    - his/her replacement as Corporate Nominee by the Corporate Member.
  - Under “Membership Rules” paragraph 9.2.4, loss of Corporate Nominee status however will not prejudice a person’s individual membership status.

### Note ii – Contact Information

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

### Note iii - Relevant Industry Experience

- a. Please refer to Annex 2 “Relevant Industry Experience Recognised by the HKSI Institute”.
- b. For “Job Description”, please provide information on your job duties, areas or activities in light of “relevant industry experience” in Annex 2.

## 說明

### 說明 i – 會籍級別

- a. 機構提名會員：
- 根據“[會員規則](#)”第 7.2 段，機構提名會員申請人如非本會會員，只可以申請普通會員會籍。(請參閱附件 1 普通會員“入會要求”)
  - 機構提名會員有權收到學會會員大會的通知、出席和投票，並有資格被選為董事會成員。
  - 根據“[會員規則](#)”第 9.2.3 段，機構提名會員身份可於以下情況下終止：
    - 機構提名會員與機構會員終止僱傭關係；
    - 機構會員未能支付其年費；
    - 機構會員終止學會會員身份；或
    - 機構會員替換其機構提名會員。
  - 根據“會員規則”第 9.2.4 段，若機構提名會員身份被終止，並不會影响其個人會員身份。

### 說明 ii – 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 iii – 相關行業經驗

- a. 請參閱附件 2 “學會認可相關行業經驗”。
- b. 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。

## Membership Requirements 入會要求

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

### **Ordinary Membership - Admission Requirement**

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**

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

### **普通會員入會要求**

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**

- a. 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
- b. 學會所頒發的專業文憑、證書課程或專業資格課程；
- c. 註冊國際財富經理 ( CIWM )
- d. 註冊國際投資分析師 ( CIIA )
- e. 註冊私人財富管理師 ( CPWP )
- f. 證監會頒布的 [《勝任能力的指引》](#) 中所列出的認可行業資格
- g. 香港會計師公會 ( HKICPA ) 或 Association of Chartered Certified Accountants (ACCA)的合資格會員。
- h. Chartered Institute for Securities & Investment ( CISI ) 會員 ( Member /Fellow )
- i. 在香港獲認可的大律師或事務律師。
- j. 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

## 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 data<sup>1</sup> 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: The 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](mailto:info@hksi.org)

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<sup>1</sup> “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<sup>2</sup> 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，否則您所提供有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](mailto:info@hksi.org)

<sup>2</sup> 第486章《個人資料(私隱)條例》第2條定義“個人資料”。