

# Verification of HKSI Institute Certificates / Examination Results Instructions to Authorised Parties

## Introduction

The Hong Kong Securities and Investment Institute (HKSI Institute) provides verification service to third parties authorised by HKSI Institute candidates (“authorised parties”) on information printed on the HKSI Institute Certificates, Notification of Results and/or Statement of Results <sup>Note 1</sup>. Below are the application procedures:

## Submission of Documents

- ♦ The authorised parties should submit the following documents **by post or in person** to the HKSI Institute office (Address: 17/F, Cambridge House, Taikoo Place, 979 King’s Road, Quarry Bay, Hong Kong) during opening hours (Mondays to Fridays: 9:00 a.m. – 5:30 p.m.; Saturdays, Sundays and Public Holidays: Closed):
  - i. written verification requests with the authorised parties’ contact details, such as names, posts, addresses, daytime telephone numbers, fax numbers, e-mail addresses and the selected delivery method of verification results (see section headed “Delivery of Verification Results” below);
  - ii. written consent from each of the relevant HKSI Institute candidate with the following information:
    - Candidate’s full name;
    - Candidate’s HK identity card/passport number which matches with the HKSI Institute’s record;
    - Candidate’s date of birth;
    - Name of the authorised parties;
    - Candidate’s signature; and
  - iii. photocopies of the relevant HKSI Institute Certificates, Notification of Results and/or Statement of Results; and
  - iv. the **original** bank deposit form, if any (see section headed “Payment” below).
- ♦ **NO** fax or email applications will be accepted.

## Payment

- ♦ An administration fee of HK\$500 (verification results to be sent by **e-mail**) or HK\$1,000 (verification results in **HKSI Institute letterhead format** to be sent by **post**) to verify each photocopy of the HKSI Institute Certificates/Notification of Results/Statement of Results will be charged to the authorised parties.
- ♦ The authorised parties should pay their administration fees by any one of the following means:
  1. EPS  
The authorised parties can pay the required administration fees using EPS at the HKSI Institute counter during opening hours.
  2. Bank Deposit (**ONLY applicable to Overseas request**)
    - ♦ The authorised parties can also deposit the required administration fees in cash (Hong Kong dollars only) into the following bank account (not via automated teller machines or e-banking) before they submit their applications to the HKSI Institute:

**Beneficiary’s Banker: The Bank of East Asia, Limited**

Bank Address : 10 Des Voeux Road Central, Hong Kong  
Swift Code : BEASHKHH  
Beneficiary Name : Hong Kong Securities and Investment Institute  
Account Number : 015-514-10-96373-8 (HKD Saving)  
Address : 17/F Cambridge House Taikoo Place 979 King’s Road Quarry Bay Hong Kong

The authorised parties must write the following information on the back of each bank deposit form:

- (i) their full name;
- (ii) their daytime contact telephone number; and
- (iii) the candidates’ name(s).

**The original bank deposit form must be submitted to the HKSI Institute with the written verification request, written consent from each of the relevant HKSI Institute candidate and other supporting documents (see section headed “Submission of Documents” above).**

## Payment

- ♦ The HKSI Institute will **NOT** be responsible for any errors made on the deposit by the authorised parties or the bank. Applications without any proof of payment will be rejected.
- ♦ All payments are **non-transferable** and **non-refundable**.

### Note:

- (1) Under **NO** circumstances shall the HKSI Institute be responsible for any loss of the applications and/or bank deposit forms sent by the authorised parties.
- (2) Incomplete applications or inappropriate administration fees will **NOT** be processed.

## Receipt

Official receipts will be issued to the authorised parties immediately upon submitting the applications to the HKSI Institute in person. If the authorised parties send in the applications by post, the receipts will normally be sent to the authorised parties by post after the receipt of the applications by the HKSI Institute.

## Delivery of Verification Results

The verification results will normally be sent to the authorised parties **by e-mail or post** (depends on the selected method of delivery of verification results indicated by the authorised parties in their written request) **within 14 working days** after the HKSI Institute has received the applications. For examinations that are no longer offered by the HKSI Institute, a longer processing time may be required.

## Disclaimer

The HKSI Institute undertakes no legal liability and makes no warranty or representation as to the accuracy or completeness of any verification services provided. Under no circumstances shall the HKSI Institute be liable for any direct, indirect, incidental, special or consequential loss, damage, liability or expense incurred or suffered which is claimed to have resulted from the use of or reliance on the verification services provided by the HKSI Institute, including without limitation, liability arising from fault, error, omission or delay by staff of HKSI Institute during the verification process.

## Enquiries

|               |   |   |
|---------------|---|---|
| Hotline       | : | (852) 3120 6100 (during opening hours)  |
| Email         | : | exam@hksi.org   |
| Website       | : | www.hksi.org  |
| Address       | : | 17/F Cambridge House Taikoo Place 979 King's Road Quarry Bay Hong Kong                    |
| Opening Hours | : | Mondays to Fridays 9:00 a.m. – 5:30 p.m.<br>Saturdays, Sundays and Public Holidays Closed |

Note 1: HKSI Institute has issued Certificates/Notifications of Results and Statements of Results to candidates for the following examinations:

- Advanced Certificate in International and Domestic Wealth Planning (ACIDWP)
- Broker's Representatives Examination (BRE)
- Certified International Investment Analysts Final Examination (CIIA)
- Certified International Wealth Manager Final Examination (CIWM)
- Certified Private Wealth Professional (CPWP) Module 1 Examination
- Futures and Options Member Representative Examination / Futures and Options Exchange Participant Examination (FOE)
- HKSI Institute Diploma Programme Examination (DPE)
- HKSI Institute Financial Market Principal Programme Examination (PPE)
- HKSI Institute Foundation Programme Examination (FPE)
- HKSI Institute Professional Diploma in Financial Markets (PDFM)
- Licensing Examination for Securities and Futures Intermediaries (LE)
- MPF Intermediaries Examination (MPF)
- Options Clearing Officer Examination (OCOE)
- Options Officer and Representative Examination (OORE)
- Securities Brokers Examination (SBE)
- The Chinese Gold and Silver Exchange Society Qualification Examination (GSQE)
- Trust Training Certificate Examination (TTC Exam)

To verify HKSI Institute membership or training certification, please contact our Hotline at (852) 3120 6100.