

**Certified Private Wealth Professional (CPWP)  
Bridging Programme**

**Post-training Examination**

**Examination Handbook**

**Hong Kong Securities and Investment Institute**

17/F, Cambridge House, Taikoo Place,  
979 King's Road, Quarry Bay,  
Hong Kong

Website: [www.hksi.org](http://www.hksi.org)

Hotline: (852) 3120 6100

Email: [education@hksi.org](mailto:education@hksi.org) (training courses)  
[exam@hksi.org](mailto:exam@hksi.org) (examinations)

**The Hong Kong Institute of Bankers**

3/F Guangdong Investment Tower,  
148 Connaught Road Central,  
Hong Kong

Website: [www.hkib.org](http://www.hkib.org)

Hotline: (852) 2153 7800

Email: [cs@hkib.org](mailto:cs@hkib.org)

**Table of Contents**

	<b>Pages</b>
1. Introduction.....	2
2. Certified Private Wealth Professional (CPWP) Bridging Programme.....	2
2.1. Structure, Examination Mode, Format and Pass Requirement .....	2
2.2. Examination Syllabus .....	2
2.3. Examination Timetable .....	3
3. Enrolment Procedures .....	3
3.1. Enrolment Prerequisites .....	3
3.2. Examination Enrolment and Enrolment Deadline .....	3
3.2.1. Enrolment Methods.....	3
3.2.1.1. Online Enrolment.....	3
3.2.1.2. In Person at the HKSI Institute Counter .....	4
3.2.2. Confirmation of Enrolment .....	4
3.2.2.1. Online Enrolment.....	4
3.2.2.2. In Person at the HKSI Institute Counter .....	5
3.2.3. Special Arrangements.....	5
3.2.4. Alteration/Transferral of Enrolment for the Examination .....	5
3.3. Payment.....	6
3.3.1. Examination Fees.....	6
3.3.2. Payment Methods.....	6
3.3.3. Admission Form.....	6
4. Changes of Personal Particulars.....	7
5. Examination.....	7
5.1. Examination Regulations.....	7
5.2. Attendance.....	7
5.3. Absence from Examination.....	7
6. Examination Results .....	8
6.1. Results and Performance Analyses.....	8
6.2. Examination Appeals.....	8
6.3. Results Rechecking.....	8
6.4. Loss or Damage to Notification of Results .....	9
7. Preparation for Examinations.....	9
7.1. Training Course.....	9
8. Certificate .....	10
9. Notice Relating to the Personal Data (Privacy) Ordinance .....	10
10. Amendments .....	10
11. Enquiries .....	10

- Appendix 1 Examination Regulations of the Certified Private Wealth Professional (CPWP) Bridging Programme Post-training Examination
- Appendix 2 Notice Relating to the Personal Data (Privacy) Ordinance

## **1. Introduction**

The Certified Private Wealth Professional (CPWP) Bridging Programme is jointly organised by the Hong Kong Securities and Investment Institute (HKSI Institute) and Hong Kong Institute of Bankers (HKIB) is designed for holders of Certified Retail Wealth Professional (CRWP) Certification to equip them with the technical and product knowledge as well as ethics and compliance aspect in the context of private wealth management.

Upon completion, the CPWP Bridging Programme participants are equivalent to passing the existing CPWP Examinations of Module 1 (Paper 1) and Module 2. They only need to pass the CPWP Module 1 (Paper 2) Examination to fulfil the examination requirement prior to applying for the CPWP / CPWP Associate (CPWPA) Certification. Please visit our [website](#) for details of the programme.

## **2. Certified Private Wealth Professional (CPWP) Bridging Programme**

### **2.1. Structure, Examination Mode, Format and Pass Requirement**

The CPWP Bridging programme consist of the following parts:

<b>CPWP Bridging programme</b>	<b>Mode</b>	<b>Duration</b>	<b>Provider</b>
Module 1 – Technical and Product Knowledge	eCourses	7 hours	HKSI Institute
Module 2 – Compliance and Ethics	classroom/webinar lectures	6 hours	HKIB
Post-training Examination (examination)	paper-based examination	1 hour	HKSI Institute

Candidates must attend all the units of each Module 1 and Module 2 training course to sit for the examination.\* The examination will be offered in English and is conducted in paper-based mode. Candidates are required to answer all questions in each paper.

<b>Examination Paper</b>	<b>No. of Questions</b>	<b>Duration</b>	<b>Pass Mark</b>
CPWP Bridging Programme Post-training Examination	40 MCQs (note 1)	60 mins	70%

\* Please refer to its website (<https://www.hksi.org/en/development/policies/>) or HKIB website (<https://www.hkib.org/>) for details of the Policies and Procedures for CPT Training Courses and Events.

Note 1: Multiple-choice questions (MCQs) contain a stem and four answer choices including only one correct answer. 20 MCQs from Module 1 and 20 MCQs from Module 2

### **2.2. Examination Syllabus**

The syllabus of the examination are available on our [website](#).

### **2.3. Examination Timetable**

- The examination is held semi-annually. For the latest examination dates and enrolment deadlines, please refer to the examination timetable available on our [website](#).
- Under **NO** circumstances shall special requests for sitting the examination outside the scheduled date/time be considered.
- The HKSI Institute reserves the right to change the examination enrolment deadlines at any time. When a change is made, a public announcement will be displayed at the HKSI Institute counter and posted on its website.

## **3. Enrolment Procedures**

### **3.1. Enrolment Prerequisites**

- For sitting the post-training examination, the CPWP Bridging Programme participants should completed all Module 1 and Module 2 of CPWP Bridging Programme five working days before the examination date.

#### **Prerequisite for Retaking the Examination**

- The CPWP Bridging Programme participants are eligible to re-enrol for the post-training examination within three years from the date of his/her first examination, if they have:
  - not passed the examination; and
  - completed all Module 1 and Module 2 of CPWP Bridging Programme.

### **3.2. Examination Enrolment and Enrolment Deadline**

- The examination dates, times, and deadlines for the examination are detailed in our website.
- The HKSI Institute reserves the right to change the enrolment deadlines at any time. When a change is made, a public announcement will be displayed at the HKSI Institute counter and/or posted on its website.

#### **3.2.1. Enrolment Methods**

##### **3.2.1.1. Online Enrolment**

1. Applicants may enrol for the CPWP Bridging Programme / CPWP Bridging Programme Post-training Examination (Re-attempt only) through the [Online Portal](#) (please refer to Sections 3.3.1 and 3.3.2 for details of fees and payment methods).
2. Applications for enrolment may not be accepted by the HKSI Institute, even though payment of the examination fee(s) has/have been made, if the details submitted by the applicants are found to be inaccurate or incomplete.

### **3.2.1.2. In Person at the HKSI Institute Counter**

1. Applicants must complete the examination enrolment forms clearly and correctly. The forms can be obtained:
    - (i) from the HKSI Institute website; or
    - (ii) in person from the HKSI Institute counter during opening hours.
  2. **The HKSI Institute will NOT accept batch applications. Each applicant should submit ONE enrolment form only at a time.**
  3. Applicants should submit the completed and signed enrolment forms, together with the appropriate fees and administration fee (*please refer to Sections 3.3.1 and 3.3.2 for details of fees and payment methods*) **IN PERSON ONLY** to the HKSI Institute during opening hours on or before the corresponding enrolment deadline (<sup>with</sup>~~(x)~~). **Applications by post, courier, email or fax will NOT be accepted. NO applications received by the HKSI Institute after the corresponding enrolment deadline will be accepted.**
  4. The HKSI Institute will charge an administration fee of HK\$100 per offline application form.
  5. The HKSI Institute will process enrolment within four working days. Enrolment will be processed on a first-come-first-served basis while taking into account the applications' preferences. Enrolments for examination sessions that are already full will be rejected.
  6. The HKSI Institute will **ONLY** process examination enrolment forms that it has duly received. Applications with incomplete enrolment forms, inappropriate fees or administration fee will **NOT** be processed.
  7. Applicants are advised to keep a copy of the completed examination enrolment form for their own record.
- Once the HKSI Institute has received the enrolment application, **NO** alterations of the programme and/or examination will be allowed. All fees paid are **non-transferable and non-refundable**.

### **3.2.2. Confirmation of Enrolment**

#### **3.2.2.1. Online Enrolment**

1. Upon successful enrolment, **Enrolment Success notification** will be issued to applicants immediately via the Online Portal. An email showing the details of the activity/activities for which an applicant has successfully enrolled will be sent to the relevant applicant's email address as provided in the application to the HKSI Institute, if any.
2. Candidates can view their successful enrolment under "**Upcoming Activity**" in the Online Portal. "Upcoming Activity" contains details of the enrolment including course details, examination name, paper(s), date(s), time(s) and venue(s).

3. An email will also be sent to applicants, whose enrolment applications have been rejected by the HKSI Institute, subject to the availability of the respective applicant's email address provided to the HKSI Institute.

### **3.2.2.2. In Person at the HKSI Institute Counter**

1. Staff at the HKSI Institute counter will immediately process the payments upon submission of the examination enrolment forms by the applicants in person. The application will be processed within four working days subject to the availability of vacancies at the time of processing.
  2. Candidates can view their successful enrolment under "Upcoming Activity" in the Online Portal four working days after their submission of the enrolment forms. "Upcoming Activity" section contains details of the enrolment including training course, examination name, paper(s), date(s), time(s) and venue(s).
  3. If applicants are unsuccessful in enrolling for the examination(s), they will receive a full refund of their examination fee(s) whereas the administration fee of HK\$100 is non-transferable and non-refundable.
  4. The Examination enrolment forms will be returned to the unsuccessful applicants by post.
- Candidates who enrol for the examination successfully can print/reprint their Official Receipts via the Online Portal by going into the "Receipt" section after logging into the system.
  - Candidates may request for a hard copy of an Official Receipt by submitting a written request to the HKSI Institute within six years of the date of the relevant examination(s). The HKSI Institute charges an administration fee of HK\$100 per copy (*please refer to our website for details of payment methods*). All payments are **non-transferable and non-refundable**.
  - Applicants who do not fulfil the enrolment prerequisites to sit the examination will receive a **Rejection notification** prior to the examination. All fees paid are **non-transferrable and non-refundable**.

### **3.2.3. Special Arrangements**

Arrangements may be made for examination candidates if they are disabled or have special needs. Applicants requiring special facilities should notify the HKSI Institute at the time of enrolment in writing to allow sufficient time for the HKSI Institute to make appropriate examination arrangements. Documentary evidence, such as medical proof about the nature of the disability to substantiate the need for special arrangements, should be submitted with the examination enrolment form and the written request. Applicants who enrol for the examination through the Online Portal must submit the documentary evidence together with the written request within **TWO WORKING DAYS** to the HKSI Institute after they have successfully enrolled in the examination. Any request for special arrangements may result in an additional charge.

### **3.2.4. Alteration/Transferral of Enrolment for the Examination**

Requests for alterations or transferrals of enrolled examination sessions will **NOT** be accepted under any circumstances including sickness, business or travel arrangements or for any other reason.

### 3.3. Payment

#### 3.3.1. Examination Fees

The fees for the CPWP Bridging Programme are as follows:

<b>CPWP Bridging Programme</b>	<b>Fees (HKD)</b>
Module 1, Module 2 and Post-training Examination	5,780
Bridging Programme Post-training Examination (Re-attempt)	2,400

All fees paid are **non-transferable and non-refundable**. The HKSI Institute has full discretion to adjust the examination fees at any time. When an adjustment is made, a public announcement will be displayed at the HKSI Institute counter and/or posted on its website.

#### 3.3.2. Payment Methods

Applicants should pay the examination fees / administration fees by any one of the means listed on our [website](#).

Note: Applications made without successful payment will be rejected.

#### 3.3.3. Admission Form

- The Admission Form contains details of the examination date(s), time(s) and venue(s), the candidate's seat number(s) and his/her personal particulars.
- The **Admission Forms** will normally be accessible via the "Upcoming Activity" page of the Online Portal approximately **THREE WORKING DAYS** before each respective examination. Candidates are advised that the Forms will only be displayed for a limited period; and they will be deleted the following day after the respective examination.
- Candidates should use **clean and absolutely blank (both sides) A4 paper in white colour** for the printing of Admission Forms. If the Admission Form consists of more than one page, he/she must print all pages on separate pieces of the aforesaid A4 paper and produce all pages during the examination.
- On the examination date, candidates must bring the hardcopy of their relevant Admission Form for verification purposes.
- The information on the Admission Form is reproduced from the internal records of the HKSI Institute that are, in all other respects, conclusive. The HKSI Institute will not be responsible for any errors on the candidates' printouts. In case of discrepancies between the printed Admission Forms and the HKSI Institute records, the HKSI Institute records shall apply and prevail.
- The HKSI Institute will **NOT** be responsible for the printing of Admission Forms. Candidates should print hard copies of the Admission Forms by themselves.
- If candidates find any mistakes on the Admission Forms, or have any difficulties in accessing the Admission Forms, they should contact the Examination Services Team of the HKSI Institute at least **ONE WORKING DAY** before the date of their examination(s); otherwise, the candidates may not be able to sit for the examination(s).



#### **4. Changes of Personal Particulars**

- Candidates must notify the HKSI Institute of any changes to their personal particulars (e.g. email address, telephone numbers, address etc.) immediately via the “Profile” section in the Online Portal.
- Failure to make timely notifications of any changes to the HKSI Institute may delay or prevent candidates from receiving information on the examinations they have enrolled in.

#### **5. Examination**

##### **5.1. Examination Regulations**

Candidates **MUST** read the Examination Regulations of the CPWP Bridging Programme Post-training Examination in Appendix 1 of this handbook carefully before attempting any examination. Failure to observe any of the regulations may lead to disqualification from the examination. Candidates may be suspended from taking all the HKSI Institute’s examinations for six months.

The HKSI Institute will report to the Hong Kong Institute of Bankers (HKIB), Private Wealth Management Association (PWMA) and the Hong Kong Monetary Authority (HKMA) any information of candidates who breach any of these examination regulations.

In addition, the HKSI Institute will not release the examination results to candidates who are suspected of breaching any examination regulations during the examination and such candidates will also be suspended from taking all the HKSI Institute’s examinations unless the whole process in handling alleged misconduct cases is completed and the candidates involved are not disqualified.

All examinations in which candidates have enrolled in the period of suspension will not be re-scheduled to another examination session and all fees paid are non-transferrable and non-refundable.

##### **5.2. Attendance**

Candidates are advised to report to the assigned examination centre **at least 20 minutes** prior to the start of the examination. Candidates must bring their valid Hong Kong identity card or Passport and the hard copy of their Admission Form for verification purposes. Candidates must sit on the designated seats according to the seat numbers printed on their Admission Form, unless otherwise approved by the invigilator.

##### **5.3. Absence from Examination**

Candidates will be graded **ABSENT** if they do not attend the examination on the examination date. Absentees will not be re-scheduled to another examination session and all fees paid are **non-transferrable and non-refundable**.

## **6. Examination Results**

### **6.1. Results and Performance Analyses**

- All examination results are graded as follows:  
PASS or  
FAIL or  
ABSENT
- Candidates can access their examination results and individual performance analyses online. This information will be available in the HKSI Institute website approximately **ONE MONTH** after the date of each examination.
- The Notification of Results and Performance Analysis, will be available for candidates to download and print in the Online Portal within **ONE YEAR** of the date of relevant examination.
- Candidates may request a hard copy of the Notification of Results or Performance Analysis, by submitting the written request to the HKSI Institute, subject to an administration fee of HK\$100 charged by the HKSI Institute per copy (*please refer to our website for details of payment methods*). The Notification of Results / Performance Analysis will be sent to the candidates by post only. All payments are **non-transferable and non-refundable**.
- The HKSI Institute has full discretion to adjust the administration fee at any time. When an adjustment is made, a public announcement will be displayed at the HKSI Institute counter and/or posted on its website.
- For confidentiality reasons, under no circumstances will the grade(s), actual examination score(s) and performance analyses be disclosed to candidates by other means such as by telephone, fax or email.

### **6.2. Examination Appeals**

**NO** appeals against examination results will be considered under any circumstances.

### **6.3. Results Rechecking**

- Candidates who are doubtful of their results, may request for the HKSI Institute's results rechecking service by writing to the HKSI Institute specifying the Examination Name and Date as well as their Candidate Name and Hong Kong identity card/Passport Number within **TWO MONTHS** after the date of examination .
- The HKSI Institute charges an administration fee of HK\$400 for the rechecking of each examination paper per examination mode per examination session (*please refer to our website for details of payment methods*).
- All payments are **non-transferable and non-refundable**. However, if the original examination result is found incorrect after remarking, the administration fee will be refunded to the candidate concerned.
- The candidate concerned will normally be notified within **SEVEN WORKING DAYS** after receipt of the written request. For confidentiality reasons, **the results rechecking report will only be sent by post and addressed to the candidate**.
- The HKSI Institute has full discretion to adjust the administration fee at any time. When an adjustment is made, a public announcement will be displayed at the HKSI Institute counter

and/or posted on its website.

#### **6.4. Loss or Damage to Notification of Results**

- Candidates who have lost or damaged their official Notification of Results or request for the Notification of Results after the display period in the Online Portal may apply for a **Statement of Results** through the [Online Portal](#) under eForm within 6 years of the date of the relevant examination.
- The HKSI Institute charges an administration fee of HK\$200 (per copy) for issuing the Statement of Results (*please refer to our website for details of payment methods*).
- Candidates can download the Statement of Results from the Online Portal (under eForm > Application Record) approximately 30 minutes after receiving email confirmation of their successful application. The download link will be valid for one year from the application date.
- Candidates may request a printed copy of the Statement of Results by submitting the written request to the HKSI Institute, subject to an administration fee of HK\$100 charged by the HKSI Institute per copy (*please refer to our website for details of payment methods*). The Statement of Results will be sent to the candidates by post.
- The HKSI Institute has full discretion to adjust the administration fee at any time. When an adjustment is made, a public announcement will be displayed at the HKSI Institute counter and/or posted on its website.
- All payments are **non-transferable and non-refundable**.

## **7. Preparation for Examinations**

### **7.1. Training Course**

- The CPWP Bridging Programme consists of Module 1 and Module 2. Candidates need to attend the relevant training course to sit the examination.
- HKSI Institute has offered eCourse of Module 1 and HKIB has offered classroom/webinar lectures of Module 2. The CPWP Bridging Programme Post-training Examination will be based on the course materials from the latest CPWP Bridging Programme training course.
- Candidates are advised to keep a copy of the course materials for their own record, if necessary. No course materials will be provided to candidates who only re-enrol for the CPWP Bridging Programme Post-training Examination.
- The HKSI Institute reserves the right to cancel or reallocate the training course. Under the circumstances, requests for refunds and/or transferrals of any examination-related fees will **NOT** be entertained.

## **8. Certificate**

- A certificate of completion for the CPWP Bridging Programme will be jointly awarded by the HKSI Institute and HKIB to the programme participants who completed the two training modules and passed the post-training examination. The certificate holder is equivalent to passing the existing CPWP Examinations of Module 1 (Paper 1) and Module 2.
- The Certificate will normally be available in the HKSI Institute Online Portal approximately **ONE MONTH** after the date of each examination. Candidates can download and print the Certificate within **ONE YEAR** of relevant examination. Candidates may request for a hard copy of a Certificate by submitting a written request to the HKSI Institute. The HKSI Institute charges an administration fee of HK\$100 per copy (*please refer to our website for details of payment methods*).
- The Certificate will be sent to the candidates by post. All payments are **non-transferable and non-refundable**.

## **9. Notice Relating to the Personal Data (Privacy) Ordinance**

Candidates should note the Notice Relating to the Personal Data (Privacy) Ordinance in Appendix 2 to understand their obligations and rights in respect of the provision of personal data to the HKSI Institute, and the way in which the HKSI Institute may use or handle such data.

## **10. Amendments**

The HKSI Institute reserves the right to make changes to any fees, the content of Examination Handbook, the examination regulations, the examination timetable and the Notice Relating to the Personal Data (Privacy) Ordinance when circumstances warrant. The HKSI Institute shall bear no responsibility for any loss or damage, whether directly or indirectly, suffered by the candidates as a result of any change made to any fees, the content of Examination Handbook, the examination regulations, the examination timetables and the Notice Relating to the Personal Data (Privacy) Ordinance.

## **11. Enquiries**

### **Hong Kong Securities and Investment Institute**

Hotline : (852) 3120 6100 (during opening hours)  
Email : education@hksi.org (training courses)  
exam@hksi.org (examinations)  
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.  
Saturdays, Sundays and Public Holidays Closed

### **The Hong Kong Institute of Bankers**

Hotline : (852) 2153 7800 (during opening hours)  
Email : cs@hkib.org  
Website : www.hkib.org  
Address : 3/F Guangdong Investment Tower, 148 Connaught Road Central, Hong Kong  
Opening hours : Mondays to Fridays 9:00 a.m. – 6:00 p.m.  
Saturdays, Sundays and Public Holidays Closed

## **APPENDIX 1**

### **EXAMINATION REGULATIONS OF CERTIFIED PRIVATE WEALTH PROFESSIONAL (CPWP) BRIDGING PROGRAMME POST-TRAINING EXAMINATION**

Candidates are advised to read carefully all the rules and regulations set out under the headings “General Rules”, “Proof of Identity”, “Use of Electronic Calculators” and “Misconduct” below before attending their examinations. Failure to follow, and/or breach of, ANY of these examination regulations may result in **DISQUALIFICATION** from the examination and being suspended from taking all the HKSI Institute’s examinations for six months, unless otherwise specified. All examinations in which candidates have enrolled in the period of suspension will not be re-scheduled to another examination session and all fees paid are non-transferrable and non-refundable.

The Hong Kong Securities and Investment Institute (HKSI Institute) will report to the Hong Kong Institute of Bankers (HKIB), Private Wealth Management Association (PWMA) and the Hong Kong Monetary Authority (HKMA) any information of candidates who breach any of these examination regulations.

Candidates have the sole responsibility to ensure that the examination regulations are complied with at all times. The HKSI Institute will **NOT** accept any claims from candidates for being misinformed by others (including the invigilation staff) as an excuse for exemption from disciplinary actions for any breach of the regulations.

#### **General Rules**

1. Candidates should ensure that they attend the enrolled examination at the scheduled examination time and centre. Candidates are advised to report to the assigned examination centre at least 15 minutes prior to the start of the examination. Late candidates will not be given extra time to compensate for the time lost.
2. Under **NO** circumstances should any Chief Invigilator/invigilator(s) possess the authority to grant extra time to any candidates.
3. Candidates who are not able to attend the examination or report to the correct examination centre listed on their Admission Forms for whatever reason will be graded **ABSENT**. No candidate will be admitted to the examination centre more than **15 minutes after the scheduled starting time** of the examination; such candidate will also be graded **ABSENT**.
4. Once admitted to the examination centre, candidates should follow the instructions of the Chief Invigilator/invigilator(s) strictly until they are dismissed, failing which the candidates may be disqualified from the examination.
5. Kindly note that announcements relating to the CPWP Bridging Programme Post-training Examination are currently made in English. It is the responsibility of all candidates to familiarise themselves with the examination regulations before sitting for any examination papers. Candidates who have difficulty in speaking and/or understanding English are advised to pay attention in this regard. They should seek assistance from the Chief Invigilator/invigilator(s) should they have any problems during the examinations. Chief Invigilator/invigilator(s) will provide assistance where they can. However, any breaches of the examination regulations for linguistic reasons will **NOT** be accepted, and may result in a candidate’s disqualification from the examination.
6. Candidates may bring their own stationery (HB pencils, erasers, highlighters, rulers, pencil sharpeners etc.) to all examinations. No stationery will be provided by the HKSI Institute at the examination centre. All items brought into the examination centre are subject to inspection by the Chief Invigilator/invigilator(s).
7. Sharing, transferring, exchanging, borrowing and/or lending of, and trading in materials of any kind (including but not limited to stationery) between candidates during the examination are **NOT** allowed, and may result in disqualification from the examination.
8. All personal belongings brought into the examination centre are subject to inspection. In case of doubt, it may be taken away for inspection.

9. Candidates are **NOT** allowed to use any communication devices at any time inside the examination centre and/or during the examination. Candidates are required to switch off all communication devices such as mobile phones, smart watches, Bluetooth headset and any remote communication devices, as well as devices which produce sound of any kind, such as alarm watches, **BEFORE** entering the examination centre. All devices of such kind should have the power off (including the alarm function) at all times inside the examination centre and/or during the examination. Those who are in breach of this Clause may be disqualified from the examination.
10. Candidates are **NOT** allowed to use any electronic devices which include any of the following functions at any time inside the examination centre and/or during the examination:
- input/output and/or transmission of information such as data, text and images;
  - data, text or image storage/display functions (e.g. tablets, fitness tracker, databank watches and/or any such like);
  - computer connectivity via any cable, infrared, or wireless technology;
  - wireless communication functions such as Bluetooth® wireless technology, infrared interface, Wireless Local Area Network (LAN);
  - audio/video play-back and/or recording (e.g. MP3 and compact disc players);
  - walkie-talkie (i.e. radio transmitting and/or receiving) capability;
  - text/graphics scanning functions;
  - photo-taking functions.
- Those who are in breach of this Clause may be disqualified from the examination.
11. Any candidates whose devices listed as above sound at any time inside the examination centre and/or during the examination will be asked to reveal the call log/SMS (Short Message Service) log/MMS (Multimedia Messaging Service) log/alarm clock setting to the Chief Invigilator/Invigilator(s), so that the relevant information can be recorded in the Chief Invigilator's report for the HKSI Institute to assess whether cheating is involved. If such candidates refuse to do so, the Chief Invigilator will include this in the report to the HKSI Institute, and the refusal may be ground for disqualification from the examination.
12. At any time inside the examination centre and/or during the examination, candidates are **NOT** allowed to
- litter anywhere in the examination centre;
  - drink, eat (including chew gum), or smoke;
  - take photographs with any electronic or photographic devices;
  - give/receive assistance to/from person(s) other than the Chief Invigilator/invigilator(s);
  - communicate with anyone other than the Chief Invigilator/invigilator(s);
  - start filling in any information on the answer sheet until they are told to do so;
  - start writing/turn over the pages to read/work on the examination paper until they are told by the Chief Invigilator to do so;
  - cause unnecessary distraction to the Chief Invigilator/invigilator(s) or other candidates, or disruption to the examination process. Such a candidate will be requested to leave the examination centre should he/she refuse to stop the distraction or disruption immediately, and he/she may be disqualified from the examination. The Chief Invigilator has the sole discretion in determining what constitutes unnecessary distraction or disruption, and whether the candidate concerned should be requested to leave the examination centre in order to stop the distraction or disruption;

- use threatening, abusive or insulting language, or behave in a threatening, abusive, insulting or disorderly manner towards the Chief Invigilator/invigilator(s) or other candidates or interfere with the Chief Invigilator/invigilator(s) in the performance of their duties or interfere with equipment in the examination centre. Such a candidate will be requested to leave the examination centre and he/she may be disqualified from the examination. The Chief Invigilator has the sole discretion in determining whether a candidate is using threatening, abusive or insulting language, or behaving in a threatening, abusive, insulting or disorderly manner towards the Chief Invigilator/invigilator(s) or other candidates and whether the candidate concerned should be requested to leave the examination centre on the basis of the candidate's behaviour.

Those who are in breach of this Clause may be disqualified from the examination.

13. Candidates should maintain absolute silence at any time inside the examination centre and/or during the examination.
14. Candidates must sit on the designated seats according to the seat numbers printed on their Admission Forms, unless otherwise approved by the Chief Invigilator/invigilator(s).
15. Candidates must use **HB pencils** to fill in all their personal particulars and the examination details on the question booklets/answer sheets. **ONLY CORRECT personal particulars and examination details** marked in the specified areas on the question booklets/answer sheets with **HB pencils** will be used to identify candidates. Personal particulars and examination details marked outside the specified areas on the question booklets/answer sheets will not be used for identification purpose. Candidates will be graded "**ABSENT**" if their personal particulars and/or the examination details provided cannot be read by the marking machine to identify the candidates, regardless of whether or not the candidates have proved their identities to the Chief Invigilator/invigilator(s) and/or their attendance have been recorded. Wrong personal particulars and/or examination details filled in must be completely removed with a clean eraser to avoid inaccurate reading by the marking machine.
16. Candidates must use **HB pencils** to answer the multiple-choice questions on the answer sheets. **ONLY** correct answers marked with **HB pencils** within the specified boxes on the answer sheet will be counted towards a candidate's score. **NO** marks will be given to any question in which the answers provided cannot be read by the marking machine, and/or two or more answers are marked on the answer sheet for a single question. Any answers marked in the question booklets or outside the specified boxes on the answer sheet will **NOT** be counted. Wrong markings and/or unnecessary markings on the answer sheet must be completely removed with a clean eraser to avoid inaccurate reading by the marking machine.
17. By taking the examination, candidates acknowledge that reading of the marking machine and marking by the HKSI Institute's and the HKIB's appointed marker(s) shall be final, conclusive and binding upon the candidates. Candidates shall waive any claims against the HKSI Institute regarding the function of the marking machine or accuracy of its reading, the marking by the HKSI Institute's and the HKIB's appointed marker(s) and agree to be bound by the reading delivered by the marking machine and the marking by the HKSI Institute's and the HKIB's appointed marker(s).
18. Only the hard copy of Admission Form, Hong Kong identity card/passport and stationery (HB pencils, erasers, highlighters, rulers and pencil sharpeners) are allowed on the desk. These items must remain on the desk and be clearly visible during the examination. All personal belongings, wallets, pencil case/box, baggage of any kind, documents, paper of any kind, textbooks, notes, electronic calculators, dictionaries, tablets, electronic/communication devices, food, drink, jewellery (other than wedding or engagement rings), ornate hair clips, headbands, barrettes, combs, tie clips, cufflinks and any other study materials must be placed in the designated area (i.e. on the floor under the chair of the respective candidate), any electronic/communication devices must be put under the chair in a position clearly visible to the Chief Invigilator/invigilator(s) at any time inside the examination centre and/or during the examination. The Chief Invigilator/invigilator(s) have the right to remove any unauthorised items from candidates/the desk, and to inspect and/or photograph/make a record of such items. Candidates must not access such items during the examination.

19. Failure by the Chief Invigilator/invigilator(s) to detect any unauthorised item prior to the start of the examination, admittance to the examination centre, or even after completion of the examination does **NOT** imply that the item is authorised in the examination, or that the candidates possessing the item will not be subject to disciplinary actions.
20. The HKSI Institute will not be responsible for any loss due to whatever causes, or damage of personal belongings at any time inside the examination centre and/or during the examination.
21. Timing devices may be but not necessarily provided in the examination centre. Candidates are advised to keep the time with their own noiseless timekeepers. The Chief Invigilator will make announcement regarding the scheduled start, 15 minutes before the end, and the end of the examination.
22. No candidates are allowed to leave the examination centre within the **first 20 minutes** of the starting time of the examination. Once the Examination has been in progress for **more than 20 minutes**, candidates may request to leave the examination centre with the approval of the Chief Invigilator/invigilator(s). However, candidates are not allowed to leave the examination centre in the **last 15 minutes** of the examination. Such restrictions are necessary to ensure that the Chief Invigilator/invigilator(s) can handle the administrative work smoothly. Candidates must return all examination materials (including but not limited to the question booklets/answer sheets/backing sheets) to the Chief Invigilator/invigilator(s) before leaving the examination centre.
23. Once the Chief Invigilator announces the end of the examination, candidates should stop writing and/or erasing any writing whatsoever (including but not limited to the filled box(es) on the answer sheet) immediately. Subsequent requests for special consideration in filling in the box(es)/personal particulars on the answer sheets/question booklets, filling in, erasing/correcting any writing whatsoever (including but not limited to the filled box(es) on the answer sheet) on the answer sheets/question booklets will **NOT** be entertained after the announcement of the end of the examination.
24. Following the announcement of the end of the examination, candidates should remain silent and seated while waiting for the Chief Invigilator/invigilator(s) to collect all examination materials (including but not limited to the question booklets and answer sheets). **NO** candidates are allowed to leave the examination centre until they are told by the Chief Invigilator/invigilator(s) to do so.
25. All answer sheets submitted by candidates will be and remain the properties of the HKSI Institute and the HKIB and as such, will be handled by the HKSI Institute and the HKIB at any time and in any way it deems fit. While the HKSI Institute and the HKIB will exercise reasonable care to protect and preserve the answer sheets, in the event of any loss or damage, as a result of which the candidate's performance cannot be assessed based on the answer sheets, the candidates concerned will waive all claims, if any, against the HKSI Institute and the HKIB.
26. Candidates are not allowed to take photograph of, record, copy, distribute, publish, modify, create derivative works from or otherwise use in any manner or media, the information, materials and questions contained in the question booklet. All information, materials and questions contained in the question booklet are the proprietary information of the HKSI Institute / the HKIB and all copyright and/or any intellectual property rights therein belong exclusively to the HKSI Institute / the HKIB. By taking the examination, candidates are deemed to acknowledge the HKSI Institute's / the HKIB's intellectual property rights (including copyright) in all such information, materials and questions contained in the question booklet. The HKSI Institute / the HKIB reserves the right to take appropriate actions against any candidates to enforce its intellectual property rights and hold the candidates liable for all losses, damages and/or costs incidental thereto.
27. Candidates (a) who are not able to attend the examination or report to the correct examination centre or are not admitted to the examination centre under Clause 3 in this section; or (b) who fail to produce the original and valid (non-expired) identification documents for verification within 15 minutes after the scheduled starting time of the examination and/or whose identity cannot be verified; or (c) whose personal particulars and/or examination details provided on answer sheets cannot be read by the marking machine to identify them will be graded ABSENT under Clause 3 or Clause 14 in this section or Clause 1 in the section "Proof of Identity" (as the case may be). Candidates who are graded ABSENT or disqualified as a result of breach of any provision(s) herein will **NOT** be rescheduled to another examination session and the fees paid are not transferable and not refundable.



## **Proof of Identity**

1. On the examination date, each candidate **MUST** bring the following documents for verification purposes:
  - i) his/her original and valid (non-expired) identification document, such as Hong Kong identity card, passport, or other formal travel documents with a photo acceptable to the HKSI Institute. The name and number of the identification document **must** be identical to the one indicated on the hard copy of the Admission Form; and
  - ii) the hard copy of his/her Admission Form printed on a piece of white A4 paper that was originally blank on both sides. (If the Admission Form consists of more than one page, he/she must print all pages on separate pieces of the A4 paper and produce all pages during the examination.)

**Anyone failing to produce the above document(s) within 15 minutes after the scheduled starting time of the examination, and/or whose identity cannot be verified will NOT be permitted to sit for the examination. Such a candidate will be graded ABSENT.**
2. **NO** examination-related information is allowed to be printed/written on and/or attached to the identification document.
3. Candidates are **NOT** allowed to write anything on the hard copy of the Admission Form at any time.
4. If, in the opinion of the Chief Invigilator/invigilator(s), a candidate's identity is in doubt, the Chief Invigilator/invigilator(s) will take photographs of this candidate and photocopy his/her identification document. The candidate whose identity is in doubt should offer all necessary assistance (e.g. by removing any glasses, hat or mask) to ensure that the photographs can reveal his/her full face. The photographs and copy/copies of the identification document will be retained for further investigation. In the event that the HKSI Institute is unable to clear its doubt about the true identity of the candidate taking the examination, it has the sole discretion in invalidating his/her results of the examination. If he/she does not allow the Chief Invigilator/invigilator(s) to take photographs of him/her or photocopy his/her identification documents, he/she will be disqualified from the examination.
5. Any incident of impersonation will be reported to the police. Those who commit criminal offences may be prosecuted.

## **Use of Electronic Calculators**

1. **Electronic calculators** may be used by candidates in examinations, provided that the electronic calculators are battery-powered, operate without sound and include neither print-out nor graphic/word display functions.
2. Candidates are **NOT** permitted to bring electronic calculators that use dot-matrix technology in the main display and/or other electronic devices that are able to store text to the examinations. **NO** examination-related information is allowed to be printed/written on and/or attached to the electronic calculators. The jacket/case of the electronic calculators should **NOT** contain any piece of paper, card or cloth.
3. A list of approved models of electronic calculators is published on the HKSI Institute [website](#). It is subject to change and modification by the HKSI Institute at its absolute discretion without prior notice.
4. Electronic calculators brought into the examination centre are subject to inspection and, in case of doubt, may be taken away for inspection. No extra time or replacement of electronic calculators will be given to the candidate under such circumstances. The model numbers of the electronic calculators should be clearly visible to the Chief Invigilator/invigilator(s). Electronic calculators with model numbers and/or functions that cannot be verified/identified are **NOT** allowed to be used in the examination. Sharing, transferring, exchanging, borrowing and/or lending of, and trading in electronic calculators between candidates during the examination are **NOT** allowed.
5. **NO** help will be offered by the Chief Invigilator/invigilator(s) should the electronic calculators fail to function properly for whatever reason. Allowance of any kind (such as replacement, extra time or mark) will **NOT** be given for any mistakes arising from electronic calculator malfunctioning.
6. Should candidates have any queries regarding the acceptance of their electronic calculators, for example, if their electronic calculators are not on the list of approved models of electronic calculators but have features which may meet the HKSI Institute standard, they are advised to call the HKSI

Institute or bring them to the HKSI Institute's office for approval before the examination. Candidates who use any electronic calculators not on the list of approved models of electronic calculators and/or having feature(s) not authorised by the HKSI Institute may be disqualified from the examination.

7. Failure by the Chief Invigilator/invigilator(s) to detect any unauthorised electronic calculators prior to the start of the examination, during the conduct of the examination, or even after completion of the examination does **NOT** imply that such electronic calculators are authorised to be used in the examination, or that the candidates using the electronic calculators will not be subject to disciplinary actions. Candidates have the sole responsibility to ensure that the electronic calculators brought into the examination centre comply with the requirements stipulated in this section and "General Rules" above.
8. Candidates are allowed to use electronic calculators that comply with the aforesaid requirements. They are recommended to use electronic calculators equipped with the following two functions:
  - (i) the ability to raise numbers to a power and its reciprocal, i.e.  $x^y$  and  $x^{1/y}$ ;
  - (ii) the ability to process numbers up to eight decimal places, as required by some papers.

## **Misconduct**

When, in the HKSI Institute's judgement in accordance with the examination regulations, there is misconduct in connection with the examination, the HKSI Institute may issue a warning letter to the candidate concerned, disqualify him/her from the examination and decline to release his/her examination results, suspend him/her from taking all the HKSI Institute's examinations for six months, or take whatever disciplinary action(s) it deems necessary. All examinations in which candidates have enrolled in the period of suspension will not be re-scheduled to another examination session and all fees paid are non-transferrable and non-refundable. A report regarding the incident will be filed by the HKSI Institute in the candidate's personal records for future reference. Such report will also be reported to the HKIB, PWMA and the HKMA. Misconduct means a failure to follow, and/or breach of, any of the latest examination regulations published by the HKSI Institute.

A candidate may be disqualified from the examination if he/she:

1. provides false personal particulars in the Online Portal or in his/her examination enrolment form, wherever applicable;
2. improperly obtains information about an examination paper prior to the examination;
3. communicates or attempts to communicate with any person other than the Chief Invigilator/invigilator(s) inside or outside the examination centre during the examination in any manner whatsoever;
4. copies from/uses notes, books or electronic devices brought into the examination centre, or the work of other candidates (including but not limited to the answer(s)) during the examination;
5. glances or looks at another candidate's examination materials, or gives the appearance of doing so;
6. allows another candidate(s) to copy from his/her own writing whatsoever (including but not limited to answer(s));
7. leaves an electronic/communication device (including but not limited to a mobile phone) switched on at any time inside the examination centre and/or during the examination;
8. uses any unauthorised devices such as communication/electronic devices not approved by the HKSI Institute at any time inside the examination centre and/or during the examination, including the time when he/she is having a convenience break;
9. leaves any unauthorised materials including but not limited to documents, textbooks, notes, electronic calculator, dictionaries, tablets, electronic/communication devices, food, drink, and any other study materials on the desk and/or on his/her person at any time inside the examination centre and/or during the examination;
10. takes away, or attempts to take away, from the examination centre and/or damage any examination materials, such as question booklets, answer sheets, backing sheets or draft paper;
11. copies any information, materials and questions contained in the question booklet on any media other than the question booklet;

12. discloses any information, materials and questions contained in the question booklet by any means to any parties;
13. vandalises any properties not belonging to him/her and/or belonging to the examination centre provider in the examination centre on purpose;
14. leaves the examination centre without permission;
15. starts to read/work on the examination paper before being instructed to do so, or continues to write/erase any writing whatsoever (including but not limited to the filled box(es) on the answer sheet) after being told to stop writing at the end of the examination;
16. does anything which causes unnecessary distraction to the Chief Invigilator/invigilator(s) or other candidates, or disruption to the examination;
17. uses threatening, abusive or insulting language, or behaves in a threatening, abusive, insulting or disorderly manner towards the Chief Invigilator/invigilator(s) or other candidates or interferes with the Chief Invigilator/invigilator(s) in the performance of their duties or interferes with equipment in the examination centre. A candidate who is found to be in breach of this Clause may be disqualified from taking any further HKSI Institute examinations;
18. takes the examination on behalf of or in the name of another person or allows another person to take the examination on his/her behalf;
19. fails to follow the instructions given by the Chief Invigilator/invigilator(s) during the examination;
20. fails to adhere to any of the latest examination regulations published by the HKSI Institute;
21. disregards the instructions contained in the warning letter issued by the HKSI Institute in connection with his/her misconduct in any examination conducted by the HKSI Institute;
22. is found cheating in any manner whatsoever.

**Guidelines on the Cancellation and/or Rescheduling of Examinations**

Candidates should take note of the guidelines below regarding the cancellation and/or rescheduling of examinations:

1. The following general arrangements under tropical cyclone (commonly known as “typhoon”)/rainstorm will apply. If the examination is cancelled due to typhoon and/or rainstorm, the HKSI Institute will make public announcements on the HKSI Institute website ([www.hksi.org](http://www.hksi.org)) accordingly.

<b>Typhoon/Rainstorm Warning Signals</b>	<b>Signal Issued by Hong Kong Observatory</b>	<b>Examination Arrangements</b>
Typhoon Warning Signal No. 1 or No. 3/ Amber or Red Rainstorm Warning Signal	At any time	Examinations will be held as scheduled
Pre-No.8 Special Announcement/ Typhoon Warning Signal No. 8 or above/ Black Rainstorm Warning Signal	While examinations are in progress	Examinations will continue until the scheduled finishing time
	At or after 6 a.m. but before 10:00 a.m.	All examinations start between 8:00 a.m. and before 1:00 p.m. will be cancelled
	At or after 10:00 a.m. but before 2:00 p.m.	All examinations start between 10:00 a.m. and before 5:00 p.m. will be cancelled
	At or after 2:00 p.m.	All examinations start between 2:00 p.m. and before 10:00 p.m. will be cancelled

2. For the latest announcement on examination arrangements, candidates please refer to the HKSI Institute website ([www.hksi.org](http://www.hksi.org)).
3. If an examination is cancelled without rescheduling, the HKSI Institute will offer a full refund of the applicable examination fee(s) to the affected candidates. The refund will be paid to affected candidates within 28 working days of the affected examination date. Candidates do not have to apply for a refund of the examination fee(s).
4. The HKSI Institute reserves the right and absolute sole discretion to cancel and/or reschedule an examination.

***All the times mentioned in these examination regulations refer to Hong Kong standard time as announced by the Hong Kong Observatory (<http://www.hko.gov.hk/contente.htm>).***

***On all matters concerning the interpretation of the examination regulations, the decision of the HKSI Institute shall be final.***

***In case of discrepancies and/or inconsistencies between the latest examination regulations and other document(s) published by the HKSI Institute, the latest examination regulations shall apply and prevail.***

## **APPENDIX 2**

### **NOTICE RELATING TO THE PERSONAL DATA (PRIVACY) ORDINANCE**

The Personal Data (Privacy) Ordinance (the “Ordinance”) has been in force in Hong Kong since late 1996. This notice is to help candidates understand their obligations and rights in respect of the provision of their personal data to the Hong Kong Securities and Investment Institute (HKSI Institute), and the way in which the HKSI Institute may use or handle such data.

1. Candidates are required to keep the HKSI Institute informed of any changes in their personal data once they have enrolled as candidates for an examination, and until such time as they have completed the examination.
2. The HKSI Institute will use the personal data provided for the following purposes:
  - a. administering the examination and marketing purposes;
  - b. delivering information about the examination;
  - c. maintaining candidate records;
  - d. distribution of examination results to candidates concerned;
  - e. certifying candidates’ examination-related information to the Hong Kong Institute of Bankers (HKIB), the Private Wealth Management Association (PWMA) and the Hong Kong Monetary Authority (HKMA);
  - f. reporting the information of the candidates in violation of the examination regulations to the HKIB, PWMA and the HKMA;
  - g. transferring, releasing, disclosing or providing to the HKIB, PWMA 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 HKIB, PWMA and the HKMA to perform and discharge their functions;
  - h. informing the candidate of any courses, examinations, products or services which the HKSI Institute believes may be of interest to them;
  - i. research or statistical analysis;
  - j. promoting and providing services made available by the HKSI Institute or such third parties as determined by the HKSI Institute;
  - k. releasing information to the relevant third parties on whose behalf the HKSI Institute administers, conducts or organises examinations and to any third party that the HKSI Institute engages to administer and/or conduct examinations for and on behalf of the HKSI Institute; and
  - l. any other related purposes.
3. The HKSI Institute will keep the personal data of candidates confidential. Nevertheless, during its operations, the HKSI Institute may compare, transfer or exchange their data with the data already possessed, or obtained hereafter, by the HKSI Institute for these or any other purposes.
4. Candidates may have the right, under the Ordinance, to request access to, or correction of any data provided by them as per the manner and limitations prescribed therein. In this connection, please note that the answer booklets and answer sheets used by candidates in the examinations (which may contain their personal data) will be destroyed by the HKSI Institute two months after the date of the examinations.

5. As the Ordinance allows, the HKSI Institute has the right to charge a reasonable fee for the processing of any request for data access.
6. Candidates who request access to data or for the correction of their data should do so in writing to the HKSI Institute.
7. Candidates should write to the HKSI Institute if they do not want to receive any information on courses or examinations organised by the HKSI Institute.