

For Internal Use Only

Received on: _____

Progression ID.: _____

Individual ID: _____

Fellowship Application Form**資深會員申請表格**

- Applicant must be holding **valid Ordinary Membership** at the time of application. 申請人遞交申請時必須持有有效的普通會員會籍。
- Please read the Notes and Annex 1-3 before filling in this form. 在填寫此表格之前，請先閱讀“說明”部份及附件 1-3。
- Please complete and sign the form and return it with payment and 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，連同費用及證明文件送交學會。申請表內的所有資料均會保密。
- For enquiries, please contact the Secretariat through email member@hksi.org. 如有查詢，請發電郵到 member@hksi.org。

Please complete **ALL** sections unless marked optional with #. 請填寫表格所有部分，已標示為“#”的除外。

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

1. Progression Route 晉升途徑

Please select progression route: 請選擇晉升途徑：	Ordinary Membership 普通會員會籍	Relevant Industry Experience 相關行業經驗	Position 職位	Other Requirements 其他要求
<input type="checkbox"/> a. Veteran Route “資深從業員”途徑 (Please fill in all sections <u>except</u> sections 4 and 5. 除第 4、5 部分外，請填寫所有部分。)	≥5 years 年	≥15 years 年	Holds / has held a senior / executive position 擔任或曾擔任高級 / 行政職位	Nil
<input type="checkbox"/> b. Qualification Route “認可資格持有人”途徑 (Please fill in all sections <u>except</u> section 5. 除第 5 部分外，請填寫所有部分。)	≥2 years 年	≥10 years 年		Holds CIWM / CIAA / CPWP / CTP Qualification(s) 持有上述其中一項資格
<input type="checkbox"/> c. Contribution Route “貢獻”途徑 (Please fill in all sections <u>except</u> section 4. 除第 4 部分外，請填寫所有部分。)	≥2 years 年			Has contributed significantly to the development of the Institute or the securities and investment industry 為學會或證券及投資行業的發展作出重大貢獻。

2. Personal Particulars and Contact Information 個人及聯絡資料 (See Note i 請參考說明 i 項)

<input type="checkbox"/> Mr 先生 <input type="checkbox"/> Ms 女士 <input type="checkbox"/> Miss 小姐 Email Address 電郵地址 <input type="checkbox"/> Office 公司 <input type="checkbox"/> Personal 個人	English	Surname*	Given Name*	Membership No. 會員號碼
	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			
Mobile Phone Number 流動電話號碼				

3. Relevant Industry Experience 相關行業經驗 (See Note ii 請參考說明 ii 項)

Please update on your post-admission career history, starting from the latest employment. 請從最新的工作開始，更新您入會後的就業詳情。

From 由 (DD/MM/YYYY)	To 到 (DD/MM/YYYY)	Company Name 公司名稱	Position 職位	Job Description 工作範圍
	Present 現在			

From 由 (DD/MM/YYYY)	To 到 (DD/MM/YYYY)	Company Name 公司名稱	Position 職位	Job Description 工作範圍

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

4. Qualification Route – Specified Professional Qualifications “認可資格持有人” 途徑 – 特定的專業資格#

Please “✓” at least one qualification. We will contact you if supporting document is required. 請 “✓” 至少一項資格。如需證明文件，我們會與您聯絡。

Issuing Organisation 頒發機構	Award Date 頒發日期 (MM/YYYY)
------------------------------	-------------------------------------

Qualification 資格

- Certified International Wealth Manager 註冊國際財富經理 (CIWM) Certified Private Wealth Professional 註冊私人財富管理師 (CPWP)
- Certified International Investment Analyst 註冊國際投資分析師 (CIIA) Certified Trust Practitioner 認可信託從業員 (CTP)

5. Contribution Route – Significant Contribution to the Development of the Institute or the Securities and Investment Industry

“貢獻” 途徑 – 對學會或證券及投資行業的發展作出重大貢獻 #

From 由 (DD/MM/YYYY)	To 到 (DD/MM/YYYY)	Organisation and Position 機構及職位	Type of Contribution (eg Board, Committee, Mentor, etc.) 貢獻性質 (如董事局、委員會、導師等)

6. Disciplinary Record 紀律處分記錄

Please “✓” the appropriate box below. 請於以下合適的方格內加上 “✓”。

Have you been disciplined in any way, that is cautioned, suspended or subject to any kind of penalty or punishment by any authorities, since your last declaration? 自上次遞交年度聲明後，您有否受過任何形式的紀律處分，即受到任何監管機構或部門警告、暫時吊銷牌照、罰款，或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。)

7. 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親身簽署)

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 progression to Fellow 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資深會員之前，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

8. Progression Fee and Payment Information 晉升費用及繳款資料 (See Note iii 請參考說明 iii 項)

One-off Progression Fee (See Note iii)

一次性晉升費用 (請參考說明 iii 項)

HKD 港幣 1,500

Payment Method 付款方式

Cheque 支票 (Cheque No. 支票號碼: _____)
(Please mark the cheque payable to "Hong Kong Securities and Investment Institute". 支票抬頭請付予 "香港證券及投資學會".)

Amex Card

--	--	--	--

 -

--	--	--	--	--	--

 -

--	--	--	--

Expiry Date 有效日期:

VISA/Master Card

--	--	--	--

 -

--	--	--	--

 -

--	--	--	--

 -

--	--	--	--

() MM 月 () YY 年

I and/or the cardholder agree(s) to charge the relevant payment to the 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：

HKD 港幣 1,500

Cardholder's Name: _____

持卡人姓名

(Name must match the name on the credit card 姓名必須與信用卡上相同)

Cardholder's Signature: _____

持卡人簽署

(Signature must match the signature on the credit card 簽名必須與信用卡上相同)

For Office Use Only 學會專用

Approval Code

Payment at the Counter

- Alipay/ Alipay HK
- American Express
- EPS
- Union Pay
- Visa/Master
- WeChat Pay
- Others _____

Notes

Note i – Personal Particulars and Contact Information

- a. Personal particulars should match with your Ordinary Membership record of the HKSI Institute.
- b. Contact information and preference indicated in this form will supersede those you have provided earlier (if any).

Note ii - Relevant Industry Experience

- c. Progression via Veteran Route requires at least 15 years of relevant industry experience while the Qualification and Contribution Route require at least 10 years.
- d. For “Job Description” boxes, please provide details with reference to “relevant industry experience” as described in Annex 2.
- e. You may provide all the information requested in this section by way of CV.

Note iii – Progression Fee and Payment Information

- h. Progression fee forms part of a complete progression application. Application will not be processed unless payment is settled.
- i. Please find details of progression and annual fee of Fellow Members below:

1. One- Off Progression Application Fee **HKD1,500**

2. Fellowship Renewal Fees*

- a. Standard Annual Fee; **OR** HKD1,500
- b. Lifetime Membership HKD3,800
(Eligible if you reach 60 by adding up your age and years of membership at the time of renewal.)

If you are ≥ 60 years old:

- a. Concessionary Annual Fee for Aged ≥ 60; **OR** HKD800
- b. Lifetime Membership HKD3,800

* *Fellowship renewal fees apply on upcoming renewal after the progression application is approved.*

- j. If your application is unsuccessful or withdrawn, refund will be arranged after deducting a non-refundable administrative fee (current rate at 40% of the progression fee). For details, please refer to our [website](#).
- k. More payment methods are available at our Service Counter. Please visit our website, www.hksi.org, under the section 'Payment Methods' for more details.

說明

說明 i – 個人及聯絡資料

- a. 個人資料應與您的學會普通會員記錄相符。
- b. 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 ii - 相關行業經驗

- c. 經由“資深從業員”晉升途徑需要最少 15 年的相關行業經驗，而“認可資格持有人”和“貢獻”途徑則需要最少 10 年。
- d. 請按附件 2 內“相關行業經驗”的陳述，在“工作範圍”方格內填寫詳細資料。
- e. 您可以以簡歷方式提交此部份所要求的所有資料。

說明 iii – 晉升費用及繳款資料

- h. 繳付晉升費用是申請會籍晉升的一環，申請表格需連同費用一同遞交，否則學會不會處理。
- i. 以下為資深會員的晉升費用及年費：

1. 一次性晉升申請費用 港幣 1,500 元

2. 資深會員續會費用*

- a. 標準年費；或 港幣 1,500 元
- b. 終身會籍費用 港幣 3,800 元

(如果在會籍到期日，您的年齡及會籍年數總和等於或大於 60。)

如果您是 60 歲或以上：

- a. 60 歲或以上優惠續會年費；或 港幣 800 元
- b. 終身會籍費用 港幣 3,800 元

* 資深會員續會費用在晉升申請獲批後的下個會籍到期日生效。

- j. 如申請未獲批准或您撤回申請，學會將在扣除不可退還的行政費用（現行比率為晉升費用的 40%）後將餘額退還。詳情請瀏覽學會[網站](#)。
- k. 學會亦透過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”。

Progression Requirements – Fellow Member 資深會員晉升要求

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

Ordinary Members can apply for progression to Fellow Members through one of the following routes:

1. Veteran Route

- a. At least 5 years of Ordinary Membership; AND
- b. Holds or has held a senior / executive position with at least 15 years of relevant industry experience as listed in Annex 2.

2. Qualification Route

- a. At least two years of Ordinary Membership; AND
- b. Professional qualification holder of Certified International Wealth Manager (CIWM); or Certified International Investment Analyst (CIIA); or Certified Private Wealth Professional (CPWP); or Certified Trust Practitioner (CTP) AND
- c. Holds or has held a senior / executive position with at least 10 years of relevant industry experience as listed in Annex 2.

3. Contribution Route

- a. At least 2 years of Ordinary Membership; AND
- b. Holds or has held a senior / executive position with at least 10 years of relevant industry experience as listed in Annex 2; AND
- c. Has contributed significantly to the development of the Institute or the securities and investment industry

普通會員可以通過以下其中一條途徑申請晉升為資深會員：

1. “資深從業員”途徑

- a. 成為普通會員 (MHKSI) 5 年或以上；及
- b. 擔任或曾擔任高級/行政職位，且具有附件 2 所列相關行業經驗至少 15 年。

2. “認可資格持有人”途徑

- a. 成為普通會員 (MHKSI) 最少 2 年；及
- b. 註冊國際財富經理 (CIWM) 或註冊國際投資分析師 (CIIA) 或註冊私人財富管理師 (CPWP) 或認可信託從業員 (CTP) 的專業資格持有人；及
- c. 擔任或曾擔任高級/行政職位，且具有附件 2 所列相關行業經驗至少 10 年。

3. “貢獻”途徑

- a. 成為普通會員 (MHKSI) 最少 2 年；及
- b. 擔任或曾擔任高級/行政職位，且具有附件 2 所列相關行業經驗至少 10 年；及
- c. 為學會或證券及投資行業的發展作出了重大貢獻。

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 data¹ 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. 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 change/ 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: 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

¹ “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¹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。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改/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

香港鯉魚涌英皇道 979 號太古坊康橋大廈 17 樓；或

電郵至：info@hksi.org