(Internal Reference: SCF20260406)

Hong Kong Securities and Investment Institute
香港證券及投資學會

For Internal Use Only
Received on:_____
Application No.: _____
Corporate ID:_____

Corporate Membership Application Form for Small Company Membership (Category S1)
機構會員申請表格供小型公司會員使用 (組別S1)

1. This application form is for **small-sized business with 10 or fewer staff employed by the applicant** who wants to apply for HKSI Institute's Small Company Membership (Category S1) under the Special Category (Category S) Corporate Membership (HKSI Institute Membership Rules Schedule 3).

   此申請表僅適用於**僱用 10 名或以下員工的小型企業**，並希望申請成為學會機構會籍（會員規則附表 3）下特別組別（組別 S）的小型公司（組別 S1）會員。

2. Company with more than 10 staff employed should apply for Corporate Membership Category C or above (Please refer to HKSI Institute Membership Rule Schedule 3 for detail). A different Corporate Membership application form (Form: CM) should be used.

   如員工人數超過 10 名，請申請組別 C 或以上機構會籍（詳情請參閱學會會員規則附表 3），並填寫另一份機構會員申請表（表格：CM）。

3. 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。

4. Please complete and sign the form and return it with payment (see note i) and supporting document(s) to the HKSI Institute. The information contained in this form will be kept confidential. All applications are subject to approval by the Institute and at its sole and absolute discretion.

   請填妥並簽署表格，連同費用(請參考說明 ii 項)及證明文件送交學會。申請表內的所有資料均會保密。學會保留接納申請與否的最終決定權。

5. By submitting this application, you acknowledge that the HKSI Institute will display your corporate name on the official website's Corporate Member List. If you wish to opt out, please contact the Secretariat via email at member@hksi.org.

   提交此申請即表示您同意香港證券及投資學會將在其官方網站的機構會員名單上展示貴機構名稱。如果您不希望展示，請電郵至 member@hksi.org 聯絡秘書處。

6. For enquiries, please contact the Secretariat via email at member@hksi.org.

   有關查詢請電郵至 member@hksi.org 聯絡秘書處。

Hong Kong Securities and Investment Institute 香港證券及投資學會

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. Basic Information 基本資料

Name of Organisation (same as Business Registration / License Record. Please attach a copy of the valid Business Registration / License Record)
機構名稱 (與商業登記證/機構牌照相同，並請附上有效之商業登記證/機構牌照副本)

Registered Address (same as Business Registration / License Record) 註冊地址 (與商業登記證/機構牌照相同)

Mailing Address (if different from above) 郵寄地址 (如與上述不同)

2. Current No. of Staff 現有員工人數 (Total no. of staff employed by the applicant should not exceed 10 申請者僱用的員工總數不得超過 10 名) (See Note ii 請參考說明 ii 項)

Total no. of staff employed by the applicant 申請者僱用員工總數：	Do all of your staff work and reside in Hong Kong 貴公司所有員工是否都在香港工作和居住？
_____ (Please attach a copy of document proof of total no. of staff employed. **請附上相關的證明文件**)	☐ Yes 是 ☐ No 否 (If "No", please indicate the no. of your staff employed outside Hong Kong 如選擇"否"，請註明貴公司在香港以外地區僱用的員工人數：_____)

3. Major Business Nature 主要業務性質 (See Annex 1 請參考附件 1)

☐ **Our organisation is licensed by/ registered with:** (please list current license/ registration details on the box(es) below or attach a copy of license/ registration record(s) issued by regulator(s))
本機構持有牌照/註冊： (請在下表詳列現有牌照/登記資料，或附上由監管機構發出的牌照/註冊紀錄副本)

Regulator: 監管機構：	No.: 號碼：	License/ Registration Type: 牌照/註冊種類：
☐ SFC 證監會	(e.g.: ABC123 例子：ABC123)	(e.g. Dealing in Securities 例子：證券交易)
☐ HKMA 金管局	(e.g.: Not applicable 例子：不適用)	(e.g. Licensed Bank 例子：持牌銀行)
☐ IA 保監局	(e.g.: FB1234 例子：FB1234)	(e.g.: Insurance Broker Company 例子：保險經紀公司)
☐ MPFA 積金局	(e.g.: Not applicable 例子：不適用)	(e.g. MPF Trustees 例子：強積金受託人)
☐ AFRC 會財局	(e.g.: Not applicable 例子：不適用)	(e.g. CPA (Practising) 例子：註冊會計師)

☐ **Our organisation is a listed company: 本機構為上市公司：**

Name of Exchange: 交易所名稱：	Stock Code: 股份代號：

Hong Kong Securities and Investment Institute 香港證券及投資學會

☐ **Our organisation is not licensed by/ registered with financial services regulators or listed in any exchange.**
本機構沒有於金融服務監管機構持有牌照/註冊或於任何交易所上市。

If your organisation is a listed company or a non-licensed company, please check the box(es) that best describe the business nature of your organisation. 如您的機構是上市公司或非持牌公司，請選下列最能描述您的機構業務性質的方格：

☐ Financial Regulators and Exchanges 金融監管機構及交易所	☐ Alternative Investment/ Hedge Fund 另類投資/對沖基金
☐ Crypto Exchanges 虛擬貨幣交易所	☐ Family Office 家族辦公室
☐ Fintech/ Regtech 金融科技/監管科技	☐ Virtual assets, fund and trading platform 虛擬資產、基金及交易平台
☐ Professional Services and Consulting Firms 專業服務及顧問公司	☐ Financial and Investment Industry 金融及投資行業

Please briefly describe your organisation's business nature below if: 請簡述您的機構業務性質，如果：

1. your organisation is "Professional Services and Consulting Firms" and/or "Financial and Investment Industry"; 您的機構屬於"專業服務及顧問公司 " 及/或"金融及投資行業 " ；OR 或
2. the above description does not reflect your organisation's business nature. 以上的業務性質描述均不適用。

4. Contact Person 聯絡人 (for liaison of matters related to membership and collaboration) (用於聯絡與會籍及合作有關事宜) (See Note iv 請參考說明 iv 項)

☐ Mr 先生 ☐ Ms 女士 ☐ Miss 小姐	Name (English)	姓名〈中文〉
Position 職位	Contact No. 聯絡號碼	Email 電郵

☐ The above-named person consents to receive updates on member benefits, activities, services, training courses and examinations provided by the HKSI Institute. 上述人士同意收取學會提供的最新會員優惠、活動、服務、培訓課程和考試資料。

5. Senior Executives 高級管理人員 (for invitation to participate in signature events and high level collaboration) (用於邀請參與大型活動及高層合作) (See Note iv 請參考說明 iv 項)

Chairman 主席 / Chief Executive 行政總裁

☐ Mr 先生 ☐ Ms 女士 ☐ Miss 小姐	Name (English)	姓名〈中文〉
Contact No. 聯絡號碼	Email 電郵	

Other Senior Management 其他高級管理人員

☐ Mr 先生 ☐ Ms 女士 ☐ Miss 小姐	Name (English)	姓名〈中文〉
Contact No. 聯絡號碼	Email 電郵	

6. Disciplinary Records 紀律處分記錄

Has your organisation been subject to investigation or in breach of regulation in respect of financial affairs or conduct of business in the past five (5) years? 您的機構在過去 5 年曾否就其財政事務或其業務的經營受到調查及被裁定違反有關法規?

☐ **NO** 沒有

☐ **YES** 有 (Please provide full details separately and attach the document to the application 請提供詳情並連同此表格一併遞交)

Hong Kong Securities and Investment Institute 香港證券及投資學會

7. Declaration 聲明

Please put a "✓" in the ALL boxes below. 請於以下所有的方格內加上"✓" 。

On behalf of _____ (Name of the Applying Organisation),
作為 _____ (申請機構名稱) 的代表，

I warrant that I have the authority to sign this application 我保證我有權簽署此申請, and 及：

☐ I declare that the information 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. 茲聲明所提供的資料均屬完備及正確，並承諾在學會公佈接本機構成為會員之前，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，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. 特此授權學會與相關機構聯繫，以查證及核實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 required 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 this application being refused. 我明白在任何時候提供不實或不正確資料、未能提供所需資料、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會籍申請。

☐ I confirm that I have read, understood and agreed the contents of the HKSI Institute's Articles of Association, HKSI Institute Membership Rules, including the Code of Ethics, and Annex 2 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 2〝收集個人資料聲明〞的內容。

Signed for and on behalf of the organisation 機構授權代表簽署	Name & Position 姓名及職位	Date 日期

8. Source of Information 認識學會的途徑

☐ Promotion email 宣傳郵件	☐ Social media 社交媒體	☐ Official website 官方網站	☐ Examination 考試	☐ Activities 活動
☐ Friend or family 親友介紹	☐ University or college 大學或學院	☐ Advertisement 廣告	☐ Member referral 會員推薦	☐ Other (Please specify) 其他(請註明)_____

9. Reason for Application 申請成為會員的主要原因

☐ Examination 考試	☐ Training 培訓課程	☐ Networking 交流活動	☐ Contribution 業界貢獻	☐ Other (Please specify) 其他(請註明)_____

10. Member Ambassador Scheme 會員大使計劃 (See Note v 請參考說明 v 項)

Member's Full Name 會員全名	Membership Number 會員號碼	Member's Mobile Phone Number 會員流動電話號碼

☐ Not applicable 不適用

Hong Kong Securities and Investment Institute 香港證券及投資學會

11. Payment Method 付款方式 (See Note vi 請參考說明 vi 項)			
☐ 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"。)			
☐ Credit Card (Corporate Card Only) 信用卡 (只限公司卡) I authorise payment of HK$_____ through the below Credit Card. 本人授權從以下信用卡扣除港幣_____元。			
Credit Card Type: 信用卡種類：	☐ American Express 美國運通信用卡	☐ Master Card 萬事達卡	☐ VISA Card Visa 卡
Name of Cardholder: 持卡人姓名:		Expiry Date: 到期日：	
Credit Card Number: 信用卡號碼：			
Authorised Signature: 授權簽署：		Date: 日期：	

***For Office Use Only* 學會專用**			
Application Date 申請日期	Application No. 申請編號	Membership No. 會員編號	Remark 備註

Hong Kong Securities and Investment Institute 香港證券及投資學會

Notes

Note i – Category S1

Category S	Annual Fee	No. of Entity		No. of Staff	No. of Corporate Nominee
Small Company (S1)	$5,000	1	And	≤10	0

Note ii – Document Proof

a. Applicants of S1 Corporate Membership are required to provide document proof, such as Mandatory Provident Fund (MPF) contributions, at the time of application to show the total number of staff employed.

Note iii – Membership Renewal

a. Proof of eligibility by the Corporate Members in Category S1 is required at the time of membership renewal if they wish to continue their S1 membership.

Note iv – Contact Information

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

b. Upon approval of the application, all contact information collected and preference indicated in this form can be changed at any time according to the means set out in Annex 2 “Personal Information Collection Statement (PICS)”

Note v – Member Ambassador Scheme

a. If your organisation is introduced to join membership by an HKSI Institute current member, the member will be recognised as a “Member Ambassador” and may enjoy reward under this scheme. Please provide sufficient information to identify the Member Ambassador. For details about the scheme, please refer to our website.

Note vi – Unsuccessful/Withdrawal of Application

a. Subscription fee forms part of a complete Membership Application. Application will not be processed and approved unless payment is settled.

b. If your application is unsuccessful or withdrawn, refund will be arranged after deducting a non-refundable administrative fee (current rate at 40% of the applicable annual subscription fee). For details, please refer to our website.

Hong Kong Securities and Investment Institute 香港證券及投資學會

說明

說明 i – 組別 S1

組別 S	年費	公司數目		員工人數	機構提名會員數目
小型公司 (S1)	$5,000	1	及	≤10	0

說明 ii – 文件證明

a. 組別 S1 機構會員申請者需在申請時提供文件證明，如僱員強積金記錄（MPF），以顯示僱用的員工總數。

說明 iii – 會籍續會

a. 組別 S1 機構會員於續會時如欲繼續此組別機構**會籍**，須提供資格證明。

說明 iv – 聯絡資料

a. 此表格上的聯絡資料和通訊方式設定將取代之前所提供的資料（如有）。

b. 在申請獲批後，此表格上所有聯絡資料及通訊選項均可隨時按附件 2 "收集個人資料聲明" 內所列明的方式更改。

說明 v – 會員大使計劃

a. 如果您的機構是由學會現任會員介紹入會，該名會員將成為學會的〝會員大使〞並享計劃獎賞。請提供充足資料以識別該會員大使。計劃詳情請瀏覽學會網站。

說明 vi – 未獲批准/撤回申請

a. 會費構成完整會員申請的一部分。如沒有付款，申請將不會被處理和批准。

b. 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 (現為所需會費及年費 40%)後將餘額退還。詳情請瀏覽學會網站。

Hong Kong Securities and Investment Institute 香港證券及投資學會

Annex 1

Relevant Industry Experience Recognised by the HKSI Institute

(Extracted from Membership Rules Schedule 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
    e. the AFRC
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

附件 1

學會認可相關行業經驗

(摘錄自〝會員規則〞附表2)

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
   e. 會財局
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

Hong Kong Securities and Investment Institute 香港證券及投資學會

Annex 2

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[1] 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) 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").

Hong Kong Securities and Investment Institute 香港證券及投資學會

附件 2

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。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）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

[1] 第 486 章《個人資料（私隱）條例》第 2 條定義〝個人資料〞