Established 1979

香 港 證 券 業 協 會 有 限 公 司
HONG KONG SECURITIES ASSOCIATION LIMITED

香港中環永吉街 6-12 號誠利商業大廈 6 樓 C 座 ☎: 2541 8832 / 2541 0322 Fax: 2541 1368
Flat C, 6th Floor, Shing Lee Comm. Bldg., 6-12 Wing Kut Street, Central, H.K. E-mail: info@hksa.com.hk

會 員 申 請 表 格
MEMBERSHIP APPLICATION FORM

請 選 擇 Please tick * [ ] **遴 選 會 員** Voting Member [ ] **基 本 會 員** Ordinary Member [ ] **附 屬 會 員** Associate Member

* **申請遴選會員請附上公司推薦信件，如 貴公司集團已有本會遴選會員，請一併提供其姓名**
For applying Voting Member, please attach company nomination letter and list name of existing Voting Member (if any) from same company group.

申請人必須提供標誌*的個人資料。如閣下沒提供有關資料，協會或許未能處理閣下的申請。
Please note that it is mandatory for the applicant to provide personal data marked with asterisks (*). In the event that you do not provide such personal data, we may not be able to process your application.

姓 名（英文） Name (English) : 先生/太太/小姐 Mr / Mrs / Miss _____

姓 名 (中文) Name (Chinese) : _____ **身份証號碼** Identity Card No.: _____

出 生 日 期 Date of Birth : _____ (日 / 月 / 年份) (dd/mm/yyyy)

教育程度 (請選擇)
Education Level (Please tick):

☐ 小學程度 Primary School ☐ 中學程度/預科 Secondary / Advanced Level ☐ 大專 / 副學士 Tertiary / Associate Degree ☐ 大學學位 Bachelor Degree ☐ 碩士 Master Degree ☐ 博士 PhD Degree

住 址 Residential Address : _____

公 司 名 稱 Co. Name: _____ **職 位** Position: _____

公 司 地 址 Registered Office : _____

公 司 電 話 Company Tel.: _____ **流 動 電 話** Mobile Phone : _____

傳 真 號 碼 Fax No.: _____ **電 郵** E-Mail : _____

中 央 編 號（ 個 人 ） CE No. (Personal): _____

所管有之證監會登記牌照類別 (請選擇)
Type of license registered at SFC (Please tick):

☐ 第一類 Type 1 ☐ 第二類 Type 2 ☐ 第三類 Type 3 ☐ 第四類 Type 4
☐ 第五類 Type 5 ☐ 第六類 Type 6 ☐ 第七類 Type 7 ☐ 第八類 Type 8
☐ 第九類 Type 9 ☐ 第十類 Type 10

是否以上任何一個登記牌照的負責人員 (R.O.)
R.O. of any captioned registered license:

☐ 是 Yes ☐ 否 No

以下哪一業務範疇為主要職務:
Which business area is the main job function:

☐ 學者 Scholar ☐ 分析員 Analyst ☐ 後勤/文職人員 Rear Service / Clerical Personnel ☐ 公司董事 Co Director
☐ 行政總裁 Chief Executive Officer ☐ 營運總監 Chief Operating Officer ☐ 財務總監 Chief Financial Officer ☐ 股票或期貨經紀 Equity or Futures Broker
☐ 個人理財顧問 Personal Financial Consultant ☐ 投資/基金管理 Investment/Fund Management ☐ 投資研究 Investment Studies ☐ 收購合併 Mergers & Acquisitions
☐ 會計及財務 Accounting & Finance ☐ 套戥 Arbitrage ☐ 業務或市場發展 Business or Market Development ☐ 庫務 Treasury

☐ 後勤及結算 Rear Service & Settlement
☐ 法規/內部核數 Compliance/Internal Audit
☐ 企業融資 Corporate Financing
☐ 私有股權 Equity Privatization
☐ 信貸或投資評級 Credit or Investment Rating
☐ 債券資本市場 Debt Capital Market
☐ 衍生工具交易 Derivative Trading
☐ 定息收入交易 Fixed Income Trading
☐ 股票交易 Equity Trading
☐ 股票資本市場 Equity Capital Market
☐ 期權/期貨交易 Option/Futures Trading
☐ 閃電交易 Lightning Trading
☐ 風險管理 Risk Management
☐ 結構性投資 Structured Investment
☐ 學生 Student
☐ 其他 Others

對以下哪一/些業務範疇最感興趣:
Which business area is the most interested in:

☐ 資產管理 Asset Management
☐ 企業融資 Corporate Financing
☐ 投資分析 Investment Analysis
☐ 股票投資 Equity Investment
☐ 期貨及期權 Option & Futures
☐ 金融市場監管、政策及法規 Financial Market Supervision, regulations & Compliance
☐ 風險管理 Risk Management
☐ 理財策劃 Financial Planning
☐ 基金/財富管理 Fund/Wealth Management
☐ 後勤運作 Rear Service
☐ 私有股權 Equity Privatization

是否業界其他友會之會員？
Are you a member of any other association in the industy? ☐ 是 Yes ☐ 否 No

如是，是以下哪一個機構 (排名不分先後)？
If yes, which organization (in no particular order)?

☐ 香港證券學會 Hong Kong Securities Professionals Association
☐ 香港中資證券業協會 Chinese Securities Association of Hong Kong
☐ 香港證券及期貨專業總會 Hong Kong Securities & Futures Professionals Association
☐ 證券商協會 The Institute of Securities Dealers Ltd
☐ 香港股票分析師協會 The Hong Kong Institute of Financial Analysts & Professional Commentators
☐ 香港網上經紀協會 The Hong Kong Association of Online Brokers Ltd
☐ 香港貴金屬同業協會 Hong Kong Precious Metals Traders Association
☐ 香港證券及投資學會 Hong Kong Securities and Investment Institute
☐ 金銀業貿易場 The Chinese Gold & Silver Exchange Society

請選擇以下列其中一種方式收取本協會之通訊
Please choose one of the following communication method :

請 選 擇	**電 郵**	**傳 真**	**郵寄 (公司地址)**	**郵寄 (住宅地址)**
Please tick	[ ] By E-Mail	[ ] By Fax	[ ] By Mail (Co. Add.)	[ ] By Mail (Home Add.)

申請人聲明 Applicant's Declaration
本人現申請加入成為香港證券業協會的會員。茲聲明本人所提供的資料均屬完備及正確，並授權協會查證及核實所提供的資料。如有任何有關本項申請的其他資料，必須知會協會。如果協會在公佈接納申請人成為會員之前，本申請表格所載資料有任何改變，申請人必須即時通知協會。
I hereby apply for a Membership with the HKSA and declare that the information I have supplied is complete and correct. The HKSA is authorized to check and verify the information supplied pertaining to my application and I shall notify the HKSA of any other information that is relevant to the application. I further acknowledge and confirm that I shall immediately notify the HKSA of any changes in the information contained in this form prior to a decision to admit the applicant being published and/or any subsequent changes to the information provided.

日期 Date : _____ **申 請 人 簽 署** Signature of Applicant : _____

以下由本協會填寫（For Official Use Only）

提議人姓名 Name of Proposer : _____ **簽署** Signature : _____

和議人姓名 Name of Seconder : _____ **簽署** Signature : _____

註：如本董事會拒絕接受申請人為會員，並無須申述任何理由。
Note: In the event that an application is refused, the Board of the Association is not obliged and shall not be compelled to give any reason for the refusal.

This application has been considered and approved at the _____ Board Meeting on _____

Assigned Membership No.: _____ Handled by : _____

個人資料收集聲明 Personal Information Collection Statement
香港證券業協會致力維護閣下的私隱。報名表格內所提供之個人資料，只會用作於處理協會課程及活動報名、處理發單及付款、跟進閣下的查詢、提供行業相關資訊、進行內部研究及統計用途。另如有需要，按香港境內或境外適用的任何法律、法庭命令、指令、守則或指引的要求作出披露。
根據《個人資料(私隱) 條例》，閣下可聯絡協會查詢/更改所提供之個人資料。本協會可能就管理及處理閣下查閱資料的要求向閣下收取合理的費用。
The HKSA is committed to protecting your privacy. The personal data provided will only be used for program and activities administration; process billing and payment; matters relating to your enquiries; industry related information; conducting internal research and statistical analysis. The HKSA will make disclosures as necessary when required by law, court order, direction, code or guideline applicable in or outside Hong Kong.
Under the Personal Data (Privacy) Ordinance, you may contact the HKSA to access or correct the personal data provided. The HKSA may charge a reasonable fee for administering and processing your data access request.

申請須知
General Information

會籍類別
Membership Categories

1. **遴選會員**
凡持有證監會牌照之註冊人仕，同時受僱於獲證監會發牌經營證券及期貨條例任何一項受規管業務之法團，並且須獲得該法團的推薦，均可依章申請為遴選會員。

Voting Member
A person is eligible to become a Voting Member if he is a person licensed by the SFC and he is employed by a licensed corporation carrying on business under any one type of the regulated activities described under the SFO and he is nominated by that corporation to apply to become a Voting Member.

2. **基本會員**
凡持有證監會持牌法團代表牌照，並從事根據證券及期貨條例任何一項受規管業務之人仕，均可依章申請為基本會員。

Ordinary Member
A person is eligible to become an Ordinary Member if he is a licensed representative licensed by the SFC in respect of any one type of the regulated activities described under the SFO.

3. **附屬會員**
凡受僱於獲證監會發牌經營證券及期貨條例所列的任何一項受規管業務；或該人仕因以下原因而被董事會認為有資格成為會員，均可依章申請為附屬會員，包括但不限於：-
(a) 如果與證券行業有關的專業團體之會員，例如會計或法律專業的成員；
(b) 如果畢業於或就讀於金融、商業或其他相關學科的大專院校或大學；
(c) 如果他目前失業，但因為以前的工作有資格成為會員；或者
(d) 如果他是退休人仕，並且本來有資格成為會員。

Associate Member
A person is eligible to become an Associate Member if he is in the employment of a corporation licensed by the SFC under any one type of the regulated activities described under the SFO, or if he is considered to be so eligible by the Board for reasons that his background is related to the objects of the Association, including, without limitation:-
(a) if he is a member of a professional body related to the securities industry such as the accounting or legal profession;
(b) if he is a graduate of or is enrolled in a tertiary institution or university majoring in finance, business or other related subjects;
(c) if he is currently unemployed but would have been eligible to become a Member while he was in his previous employment; or
(d) if he is a retiree and would have been eligible to become a Member but for his retirement.

附註：
祇有遴選會員享有投票權，並可於董事會上動議決議案及合資格參選為本協會董事。除此之外，遴選會員、基本會員及附屬會員均可享有相同之權利、優惠及義務。

Remarks:
Only Voting Members shall have the right to vote and propose resolutions at a general meeting and be eligible to stand to be elected as a Director of the Association. The rights, privileges and obligations of Voting Members, Ordinary Members and Associate Members shall be the same in all other respects.

入會費、年費一覽表
Entrance Fee & Annual Fee

	入會費 **Entrance Fee**	**年費** **Annual Fee**
遴選會員 **Voting Member**	HK$2,000	HK$1,500
基本會員 **Ordinary Member**	-	HK$300
附屬會員 **Associate Member**	-	HK$300

付款及申請方式 Payment & Apply Method

付款方式(一) 快速支付系統「轉數快」: 號碼: 117964577，請於支付備註內，標明「入會申請」並截圖以便核實身份
- 郵寄申請表及付款截圖至本協會（註明：入會申請)；或
- 電郵至 cptmember@hksa.com.hk

付款方式(二) 支票申請：請將劃線支票 「抬頭：香港證券業協會有限公司」 郵寄至本協會
- 郵寄申請表至本協會（註明：入會申請)

付款方式(三) 現金申請：請親臨本會辦理入會手續
協會地址：香港中環永吉街 6-12 號誠利商業大廈 6 樓 C 室

如有任何查詢，請致電 2541 0322 與本協會聯絡或電郵至 cptmember@hksa.com.hk
＊ 申請為遴選會員請隨表附上法團推薦信。

Payment Method (A) Faster Payment System (FPS) Number: 117964577. Please indicate “Membership Application” and take a screenshot in the payment remarks for identity verification.
- Mail the membership application form and the screenshot to the Association (remarks: Membership Application); or
- Send email to cptmember@hksa.com.hk

Payment Method (B) Cheque application and payable to "Hong Kong Securities Association Limited".
- Mail the membership application form and the cheque to the Association (remarks: Membership Application)

Payment Method (C) Payment by Cash. Please visit our office to complete the membership procedures.
Address: Flat C, 6/F, Shing Lee Commercial Building, 6-12 Wing Kut Street, Central, Hong Kong

Should you have any enquiries, please contact us at 2541 0322 or email to cptmember@hksa.com.hk.
＊ For applying to be a Voting member, please attach a nomination letter of the corporation with the application form.