



## **FINANCIAL INCENTIVE SCHEME FOR PROFESSIONAL TRAINING**

***\*\* Please note that you must come in person to the HKSI Institute's office to submit the paper application form together with the FIVE classes of supporting documents. Submission by post / by courier will NOT be accepted. Alternatively, you may also consider submitting an online application. Please apply from <https://www.wamtalent.org.hk/eng/reimbursement-form-reminder.html>.***

### **Application Procedures – Paper Application Form**

**Please read the instructions below carefully before submitting the application form.**

#### **Step 1: Read the “Notes for Applicants”**

- “Notes for Applicants” can be downloaded from:  
[https://www.wamtalent.org.hk/eng/professional\\_training/downloads.html](https://www.wamtalent.org.hk/eng/professional_training/downloads.html).

#### **Step 2: Complete the application form and prepare the FIVE classes of supporting documents**

- To complete your application, you should SIGN on this application form as well as the Deed of Undertaking (Annex A). Then, prepare the following documents:
  - (i) a copy of your Hong Kong Identity Card;
  - (ii) a copy of the certificate issued by the course provider certifying that you have completed the course to the satisfaction of the provider;
  - (iii) the **original** receipt of the course fee payment issued by the course provider (with name of applicant, name of the course attended and course date);
  - (iv) a documentation of the personal bank account for direct credit of reimbursement in the form of a copy of the front page of the bank passbook, bank account statement, a bank debit card or a blank personal cheque. The copy must show clearly the name of the bank, the account number and the name of the account holder which must be identical to the name shown on (i) above;



- (v) a) for in-service practitioners currently under employment, the **original** company letter issued by your employer, with an authorised signature duly signed and the employer's company chop stamped, certifying that:
- you are in full-time employment with the employer on the commencement date of the course attended; and
  - you have not received any form of subsidy or financial assistance for the 80% of the course fees to be reimbursed under the Financial Incentive Scheme for Professional Training ("Scheme") from the employer.
- (v) b) for financial service licensees in between jobs: an employment verification letter from the last employer ; and the applicant's licence/registration number given by the relevant authority (i.e. SFC, HKMA, Insurance Authority, MPFA or HKICPA).

A sample company letter for in-service practitioners can be downloaded from [https://www.wamtalent.org.hk/eng/professional\\_training/downloads.html](https://www.wamtalent.org.hk/eng/professional_training/downloads.html).

### Step 3: Submit application documents **IN PERSON** to HKSI Institute

- You should submit the duly signed application form and all required documents as specified in Step (2) above **in person** to the HKSI Institute's office at 17/F, Cambridge House, Taikoo Place, 979 King's Road, Quarry Bay, Hong Kong during office hour. You will be requested to present your Hong Kong Identity Card for identification purpose.
- The completed and duly signed paper application form together with the required supporting documents must be submitted to the HKSI Institute's office within **FOUR months from the last day of the course attended**. Only eligible courses under this Scheme are entitled for application for course fee reimbursement.

The date of receipt of completed application form and all required supporting documents by the HKSI Institute will be regarded as the date of application.

**Late or incomplete applications will not be accepted.**

(Note: Different course providers may have different definitions of course end date. Applicants are advised to check with the corresponding course provider(s) for clarification where necessary.)



#### Step 4: Verification of data in application form and acknowledgment of receipt of documents

- Data filled in by the applicant on the application form will be verified by cross-checking with the documents as specified in Step (2), in order to ensure that the details in the application form have been completed correctly. An acknowledgment receipt of documents will be issued to the applicant after the verification of data is completed.

(Note: An acknowledgment of receipt of the application does not warrant an approval of the application. Your application will be further reviewed to ensure that the eligibility criteria under the Scheme are met. We may request you to provide additional information where necessary for further processing.)

- All documents submitted are not returnable. Applicants are advised to retain copies for their own reference.

#### Step 5: Review application results

- Your application will be input into our online application system. An email with an application number generated by the system will be sent to you within seven working days from the date of receipt of your application form.
- If your application is approved, payment will be made by direct credit to the bank account specified in approximately 10 weeks from the date of receipt of the paper application form, subject to complete and satisfactory supporting documents being provided.
- You may enquire about the application status online via [www.wamtalent.org.hk](http://www.wamtalent.org.hk).

Should you have any further questions, please contact us at [training@wamtalent.org.hk](mailto:training@wamtalent.org.hk) or call us at +852 3120 6100.



Application number \_\_\_\_\_ [For Office Use Only]

### **Application Form for Reimbursement of Course Fees**

Applicants should print and sign this application form as well as the Deed of Undertaking (Annex A), then submit them together with the FIVE classes of supporting documents **in person** to the HKSI Institute's office within four months from the last day of the course attended to complete the application process.

I, the person whose particulars appear in Section A below ("Applicant"), hereby apply to the HKSI Institute for the reimbursement of 80% of the course fees paid as stated in Section B below (amount of course fees as stated in the attached original receipt(s) issued by the course provider(s)), subject to a maximum of \$15,000 per person from the beginning of this Scheme on 1 October 2016.

All definitions set out in the "Notes for Applicants" with respect to the application for reimbursement of course fees under the Scheme shall apply to this Application Form. The "Notes for Applicants" can be downloaded from [https://www.wamtalent.org.hk/eng/professional\\_training/downloads.html](https://www.wamtalent.org.hk/eng/professional_training/downloads.html).

### **Section A – Personal Particulars**

Name in English^:

Name in Chinese^:

^ As shown on the Applicant's Hong Kong Identity Card

Date of Birth (DD/MM/YYYY):

Sex:

☐ Male

☐ Female

Hong Kong Identity Card Number:

Residential Address#:

# Post office box number or hostel address is not acceptable

E-mail Address:

Contact Telephone Number:

Highest Education Level Achieved: (please tick in the appropriate box)

☐ Primary School or below

☐ Secondary School

☐ Diploma to Associate

☐ Degree

☐ Master or above

Local Bank Code and Account\* No. for Receipt of the Reimbursement: \_\_\_\_\_

\* Savings account or Current account denominated in Hong Kong Dollar or accepts Hong Kong Dollar transactions. Name of account holder must be **identical** to the name shown on the Applicant's Hong Kong Identity Card.

If your account number is:

Bank code: 001      Branch code: 002      Account no.: 123456789      Please input 001002123456789

Please note that the bank account number should not exceed 15 digits.



## Section B – Course Information

Information filled in below should be the same as that shown on the course attendance record and receipt. Please refer to the list of Eligible Training Programmes via [www.wamtalent.org.hk](http://www.wamtalent.org.hk) or make enquiry to the HKSI Institute's office at +852 3120 6100.

### Course 1

Name of Course Provider: \_\_\_\_\_

Programme Name: \_\_\_\_\_

Course Name: \_\_\_\_\_

Course Period: From: \_\_\_\_\_ To: \_\_\_\_\_  
(DD/MM/YYYY) (DD/MM/YYYY)

Actual tuition fees paid by the Applicant: HK\$ \_\_\_\_\_  
(Amount of course fees as stated in the attached original receipt issued by the course provider. Other charges such as registration fees, administration fees, examination fees, late charges or any other miscellaneous charges should be excluded)

### Course 2

Name of Course Provider: \_\_\_\_\_

Programme Name: \_\_\_\_\_

Course Name: \_\_\_\_\_

Course Period: From: \_\_\_\_\_ To: \_\_\_\_\_  
(DD/MM/YYYY) (DD/MM/YYYY)

Actual tuition fees paid by the Applicant: HK\$ \_\_\_\_\_  
(Amount of course fees as stated in the attached original receipt issued by the course provider. Other charges such as registration fees, administration fees, examination fees, late charges or any other miscellaneous charges should be excluded)

### Course 3

Name of Course Provider: \_\_\_\_\_

Programme Name: \_\_\_\_\_

Course Name: \_\_\_\_\_

Course Period: From: \_\_\_\_\_ To: \_\_\_\_\_  
(DD/MM/YYYY) (DD/MM/YYYY)

Actual tuition fees paid by the Applicant: HK\$ \_\_\_\_\_  
(Amount of course fees as stated in the attached original receipt issued by the course provider. Other charges such as registration fees, administration fees, examination fees, late charges or any other miscellaneous charges should be excluded)



提升資產財富管理業人才培訓先導計劃  
Pilot Programme to Enhance Talent Training for  
the Asset and Wealth Management Sector

**Course 4**

Name of Course Provider: \_\_\_\_\_

Programme Name: \_\_\_\_\_

Course Name: \_\_\_\_\_

Course Period: From: \_\_\_\_\_ To: \_\_\_\_\_  
(DD/MM/YYYY) (DD/MM/YYYY)

Actual tuition fees paid by the Applicant: HK\$ \_\_\_\_\_

*(Amount of course fees as stated in the attached original receipt issued by the course provider. Other charges such as registration fees, administration fees, examination fees, late charges or any other miscellaneous charges should be excluded)*

**Course 5**

Name of Course Provider: \_\_\_\_\_

Programme Name: \_\_\_\_\_

Course Name: \_\_\_\_\_

Course Period: From: \_\_\_\_\_ To: \_\_\_\_\_  
(DD/MM/YYYY) (DD/MM/YYYY)

Actual tuition fees paid by the Applicant: HK\$ \_\_\_\_\_

*(Amount of course fees as stated in the attached original receipt issued by the course provider. Other charges such as registration fees, administration fees, examination fees, late charges or any other miscellaneous charges should be excluded)*

**Course 6**

Name of Course Provider: \_\_\_\_\_

Programme Name: \_\_\_\_\_

Course Name: \_\_\_\_\_

Course Period: From: \_\_\_\_\_ To: \_\_\_\_\_  
(DD/MM/YYYY) (DD/MM/YYYY)

Actual tuition fees paid by the Applicant: HK\$ \_\_\_\_\_

*(Amount of course fees as stated in the attached original receipt issued by the course provider. Other charges such as registration fees, administration fees, examination fees, late charges or any other miscellaneous charges should be excluded)*



**Section C – Employment Information**

Employment information covering each course commencement date		
Company Name:		
Office Address:		
Human Resources Department Email:		
Human Resources Department Telephone Number*:		
<small>*HKSI Institute may contact the employer to verify applicant's employment information</small>		
Department:		
Position:		
Year(s) of service in the position:		
Year(s) of service in the industry:		
Job Nature: (please tick in the appropriate box)		
<input type="checkbox"/> Accounting & Finance	<input type="checkbox"/> Credit Analysis	<input type="checkbox"/> Financial Consulting
<input type="checkbox"/> Fund Management	<input type="checkbox"/> General Administration	<input type="checkbox"/> Human Resources
<input type="checkbox"/> Information Technology	<input type="checkbox"/> Insurance	<input type="checkbox"/> Investment Analyst
<input type="checkbox"/> Investment Banking	<input type="checkbox"/> Legal and Compliance	<input type="checkbox"/> Marketing & Public Relations
<input type="checkbox"/> Risk Management	<input type="checkbox"/> Trust	<input type="checkbox"/> Underwriting
<input type="checkbox"/> Others (Please specify) _____		

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**(For Office Use Only)**

We hereby \*acknowledge receipt of the following documents which were submitted to the Hong Kong Securities and Investment on \_\_\_\_\_ (DD/MM/YYYY)

- |                                                         |                                                      |                                         |
|---------------------------------------------------------|------------------------------------------------------|-----------------------------------------|
| <input type="checkbox"/> Signed Application Form        | <input type="checkbox"/> Signed Deed of Undertaking  | <input type="checkbox"/> Company Letter |
| <input type="checkbox"/> Copy of HKID Card              | <input type="checkbox"/> Original Course Fee Receipt |                                         |
| <input type="checkbox"/> Copy of Attendance Certificate | <input type="checkbox"/> Copy of Bank statement      |                                         |

Signed by:

\_\_\_\_\_  
Applicant

\_\_\_\_\_  
HKSI (staff in charge)

\_\_\_\_\_  
Name of Applicant

\*Please note that acknowledgment of receipt of the application does not warrant an approval of the application. Your application will be further reviewed to ensure that the eligibility criteria under the Scheme are met. We may request you to provide additional information where necessary for further processing.

Your application will be input into our online application system. An email with an application number generated by the system will be sent to you within seven working days from the date of receipt of your application form.



## **Section D – Declaration**

In consideration of the Government of the Hong Kong Special Administrative Region (“Government”) as represented by the Financial Services and the Treasury Bureau and the HKSI Institute, considering and/or approving this application for reimbursement of course fees in the Programme, I with particulars set out in Section A of this Application Form hereby acknowledge, confirm, undertake, warrant, declare and agree with the continuing effect as follows:

☒ I declare that:

- (a) I am a Hong Kong resident and lawfully employable in Hong Kong; and
- (b) on the commencement date of the course attended, I am :
  - i) in full-time employment with a financial institution licensed with or registered by the Securities and Futures Commission (“SFC”) under the Securities and Futures Ordinance (Cap.571); or
  - ii) in full-time employment with a financial institution licensed with or registered by the Hong Kong Monetary Authority (“HKMA”); or
  - iii) in employment with an insurer authorised or any insurance intermediaries licensed under the Insurance Ordinance (Cap. 41); or
  - iv) in full-time employment with a firm or corporate practices registered with the Hong Kong Institute of Certified Public Accountants (“HKICPA”); or
  - v) in full-time employment with a trust company registered under Part 8 of the Trustee Ordinance (Cap. 29) or any trustees approved by the Mandatory Provident Fund Schemes Authority (“MPFA”) under the Mandatory Provident Fund Schemes Ordinance (Cap. 485); or
  - vi) in full-time employment with a trust or company service provider licensed by the Companies Registry under the Anti-Money Laundering and Counter-Terrorist Financing Ordinance (Cap. 615); or
  - vii) in full-time employment with a recruitment agency engaged by any of the employers mentioned in clause i) to vi) above to provide personnel with proof; or
  - viii) in full-time employment with a member company of a group of which the relevant subsidiary is an eligible employer in clause i) to vi) above;
- (c) all information provided by me in this application is complete and true to the best of my knowledge; and
- (d) I have not been granted any other form of subsidy or financial assistance for 80% course fees of the course(s) as listed in Section B of this application from any publicly-funded schemes or my employer(s).

☒ I understand that:

- (a) the HKSI Institute will rely on the information provided by me in this application form to determine my eligibility for receipt of reimbursement of course fees from the Institute and to assess the amount of reimbursement; and
- (b) the HKSI Institute has the right to review my application and adjust the amount of reimbursement if necessary. I undertake to refund to the Institute any overpayment made to me upon demand.





**Section D – Declaration (cont'd)**

- ☒ I understand and agree that:
- (a) for the purpose of processing my application and/or verifying the information provided, course provider(s), my employer(s) or other government departments and organizations concerned may release my personal data to the HKSI Institute; and
  - (b) the HKSI Institute may use my personal data for purposes of activities relating to (i) the processing, vetting and reviewing of the application, reimbursement of course fees, follow-up on employment status; (ii) activities relating to the recovery of payments (if any); and/or (iii) opinion survey, statistics, research, report and promotion purposes, etc.
- ☒ I have read and fully understood the contents of the “Notes for Applicants”\* and this application form. I accept and agree to abide by the rules and terms related to the reimbursement of course fees laid down by the HKSI Institute. I understand that I will be liable to criminal prosecution if I knowingly or wilfully furnish false or misleading information in connection with this application.

\* “Notes for Applicants” can be downloaded from [https://www.wamtalent.org.hk/eng/professional\\_training/downloads.html](https://www.wamtalent.org.hk/eng/professional_training/downloads.html).

\_\_\_\_\_  
Signature of Applicant

\_\_\_\_\_  
Name of Applicant

\_\_\_\_\_  
Date



ANNEX A:

Deed of Undertaking by the Applicant  
For the Application of Reimbursement of Course Fee  
(to be completed and executed as a Deed)

To: The Government of the Hong Kong Special Administration Region ("Government")

In consideration of the above application and granting of reimbursement of course fees to me by the Government in the sum of 80% of the course fees paid as stated in Section B of the Application Form, subject to a maximum of HK\$15,000, I, \_\_\_\_\_, holder of Hong Kong Identity Card no. \_\_\_\_\_ with residential address<sup>#</sup> at \_\_\_\_\_ and telephone no. \_\_\_\_\_ do agree and undertake as follows:

- 1) to refund in full all moneys (including all associated administrative fees incurred by the HKSI Institute) received by me to the Government immediately or with such time as may be specified by the Government, if I
  - a) fail to meet any of the requirements as stipulated in Eligibility of the Notes for Applicants; or
  - b) knowingly or wilfully furnish false or misleading information in connection with the application; or
  - c) have been granted any other form of subsidy or financial assistance for 80% course fees of the courses listed in Section B of the Application Form from any publicly-funded schemes or my employer(s).
- 2) to notify the HKSI Institute of any change in any information submitted in relation to the application or if any such information is no longer applicable, true, accurate or complete and of any material change in circumstances affecting my eligibility for the reimbursement of course fees or otherwise the application.
- 3) To provide employment proof to the HKSI Institute, whenever requested, in order to satisfy the reimbursement of course fees requirement as stipulated in Eligibility of the Notes for Applicants and be subject to checking of the employment status by the HKSI Institute and the Government.

By signing this Deed of Undertaking, I understand that I am bound by the terms and conditions of the Notes for Applicants\* and the Application Form and I have entered into a contractual relationship with the Government, and that the HKSI Institute shall bear no liability whatsoever in the event of a breach of contract by any of the contractual parties. I have also read and fully understand the terms listed in this Deed of Undertaking, and also agree to the use of my personal data for activities/publications/matters related to the handling of the application and enforcement of this Deed of Undertaking. I acknowledge that I have been told to seek independent legal advice on this Deed of Undertaking.

Signed, Sealed and Delivered by:

\_\_\_\_\_  
(signature of Applicant)

Name in BLOCK letters:

\_\_\_\_\_

HKID Card No.:

\_\_\_\_\_

Date:

\_\_\_\_\_

<sup>#</sup> Post office box number or hostel address is not acceptable.

\* "Notes for Applicants" can be downloaded from [https://www.wamtalent.org.hk/eng/professional\\_training/downloads.html](https://www.wamtalent.org.hk/eng/professional_training/downloads.html).