

REGISTRATION FORM

Course Name: _____
(Course Code: _____)

Participant Company Details:

Company Name: _____

Nature of Business: _____
(For SFC licensed corporation, please specify the type of regulated activity)

Contact Person: _____ (Name) _____ (Title)

Contact Phone Number: _____ (Office) _____ (Mobile)

Office Address: _____

Email Address: _____

Attendee Details: (Please provide below details for each of the attendees)

Full Name of Attendee: Dr. / Mr. / Mrs. / Ms. _____ (Eng) _____ (Chi)

Current Job Title: _____

Professional Qualification: _____ (if applicable)

SFC C.E. No: _____ / Solicitor No. _____ / CPA Member No. _____ / CFA Member No. _____

Email Address: _____

Attendee's Signature: _____ Date: _____

Payment Methods:

To reserve your seat(s), please complete this registration form and submit full payment of course fee in HK\$ **at least one business day before** the date of the course via one of the following methods:

- Make crossed cheque payable to “**Trinity Professional Limited**” and mail your cheque payment together with the completed registration form to our office as follows:
Trinity Professional Ltd., Suite 7B, 7/F, Two Chinachem Plaza, 68 Connaught Road Central, Hong Kong
- Submit cash / cash cheque in person during office hours at our office as follows:
Trinity Professional Ltd., Suite 7B, 7/F, Two Chinachem Plaza, 68 Connaught Road Central, Hong Kong
- Arrange direct bank transfer of funds to our bank account as follows and email the supporting bank document evidencing the transfer to us at admin@trinityprofessional.com or fax the same to us at **(852) 3571 9653**.
Beneficiary name: Trinity Professional Limited
Bank name: Bank of China (Hong Kong)

TERMS & CONDITIONS

By submitting the registration form, the participant company and/or the attendee agrees to the following:

1. SFC CPT/ CPD Requirements

Attendees are advised to confirm with his/her employer to determine whether any course may fulfill specific CPT/ CPD requirements, or whether that is of appropriate standard and relevance to certain job and/or licensing requirements.

According to the SFC, a licensed individual must undertake a minimum of 5 CPT hours per calendar year for each regulated activity he/she engages in except for Type 7 (providing automated trading services) regulated activity. The regulated activities can be classified into different groups for the purposes of meeting the competence requirements, a similar approach will apply to CPT requirements to facilitate compliance. For instance, an individual engaging in Types 1, 4 and/or 8 regulated activities has to take only 5 CPT hours per calendar year as these are under the same competence group. However, if an individual carries on regulated activities Types 1, 2 and 3, he/she has to take 5x3 = 15 CPT hours per calendar year. Below are groups of regulated activities with the same competence requirements for reference:

| Type of regulated activities |
|--|
| 1 – dealing in securities |
| 4 – advising on securities |
| 8 – securities margin financing |
| 2 – dealing in futures contracts |
| 5 – advising on futures contracts |
| 3 – leveraged foreign exchange trading |
| 6 – advising on corporate finance |
| 9 – asset management |

2. Confirmation of Registration

Payment must be received at least one business day before the course commences in order for the attendee to attend. Confirmation of registration and receipt will be issued by email to the attendee upon evidence of our receipt of full payment. Any bank charge or expense incurred resulting from bounced cheque or wire transfer will be borne by the participant company and/or the attendee.

3. Attendance

Attendee should arrive no later than 15 minutes after the designated time of commencement of the course, and will be required to sign-in and sign-out for the attendance record.

Any party registered but cannot attend the course must notify TPL by email at admin@trinityprofessional.com at least 24 hours before the course commences. A replacement within the same organization may be nominated to attend the course without additional charge, provided TPL has been notified in writing by email as above. Any course fee paid is non-refundable.

With the completion of the course according to TPL's policy and terms stated above, a certificate of attendance will be issued to the qualified attendee(s) after completion of the session.

4. Cancellation, Rescheduling and Adjustment of Courses

Courses will be cancelled and rescheduled in the event of typhoon no.8 signal or black rainstorm warning being hoisted within 2 hours before commencement of the course or during the course, and the attendee will be notified in writing of the rescheduled date, or the attendee can choose to apply for another similar course (if available and as appropriate). Any course fee paid is non-refundable.

TPL reserves the right to adjust any contents of the course as appropriate, or reschedule or cancel any course without any notice in advance.

For any queries, please contact our office at:

Tel: (852) 3571 9675

Fax: (852) 3571 9653

Email: admin@trinityprofessional.com

Website: www.trinityprofessional.com

Mailing address: Suite 7B, 7/F, Two Chinachem Plaza, 68 Connaught Road Central, Hong Kong

报名表格

课程名称: _____
(课程编号: _____)

参与者公司资料:

公司名称: _____

业务性质: _____

(如为证监会持牌法团, 请注明受规管活动的类型)

联系人: _____ (名称) _____ (职位)

联系人的电话号码: _____ (办公室) _____ (手机)

办公室地址: _____

电邮地址: _____

参与者个人资料: (每位参与者均需提供以下资料)

参与者姓名: 博士/先生/小姐/女士 _____ (英文) _____ (中文)

参与者职位: _____

专业资格: _____ (如适用)

证监会中央编号 _____ / 律师编号 _____ / 注册会计师会员编号 _____ / 特许金融分析师会员编号 _____

电邮地址: _____

参与者签署: _____ 日期: _____

支付方式:

为确保预留座位, 请填写此表格, 并通过以下其中一种方式在不迟于课程举行日期前的一个工作天, 以港币支付课程费用之总金额:

- 将支付给“Trinity Professional Limited”的划线支票连同已填妥的报名表格一同邮寄到我们的办公室:
香港中环干诺道中 68 号华懋广场二期 7B
- 在办公时间内亲自到我们的办公室提交现金/现金支票:
香港中环干诺道中 68 号华懋广场二期 7B
- 将课程费用以银行转帐形式存入到我们的银行帐户(如下), 并以电邮方式
(admin@trinityprofessional.com) 或传真 (852) 3571 9653 发送转帐证明给我们
帐户名称: Trinity Professional Limited
银行名称: 中国银行(香港)

条款和条件

提交报名表表示参与者公司及/或参与者同意以下条款：

1. 证监会持续专业培训(CPT) / CPD 要求

建议参与者与其雇主确认课程是否能够满足其公司及/或参与者特定的 CPT/ CPD 要求，或者课程是否符合工作及/或持牌要求的标准和相关性。

根据证监会要求，持牌人士必须就其从事的每项受规管活动，每年参加至少 5 个小时的持续培训，第 7 类受规管活动（提供自动化交易服务）则除外。受规管活动以所需的胜任能力之不同规定被划分为不同组别，类似的方针亦应用于持续专业培训的规定。例如，从事第 1、第 4 及/或第 8 类受规管活动的个人，每年只需要参加 5 个小时的持续专业培训，因为该些受规管活动属于同一个胜任能力的组别。然而，从事第 1、第 2 及第 3 类受规管活动的个人，每年需要参加 15 个小时（ $5 \times 3 = 15$ ）的持续专业培训。以下是具备相同的胜任能力规定的受规管活动组别分类作参考：

| 受规管活动类别 |
|---------------|
| 1 - 证券交易 |
| 4 - 就证券提供意见 |
| 8 - 提供证券保证金融资 |
| 2 - 期货合约交易 |
| 5 - 就期货合约提供意见 |
| 3 - 杠杆式外汇交易 |
| 6 - 就机构融资提供意见 |
| 9 - 资产管理 |

2. 报名确认

参与者必须在课程开始前不少于一个工作天完成支付课程费用以确保预留座位。我们在确认收到全额付款后，将报名确认和付款收据通过电子邮件发送给参与者。任何因不能兑现而被退回的支票或电汇引起的任何银行手续费或其他费用将由参与者公司及/或参与者承担。

3. 出席课程

参与者必须在不迟于课程指定开始时间后的 15 分钟内抵达，并在抵达时及离开时登记时间以作为其出席的记录。

如参与者公司及/或参与者报名后不能参加课程，必须在课程开始前不少于 24 小时通过电子邮件至 admin@trinityprofessional.com 通知我们。如果我们已通过上述电子邮件方式接获书面通知，参与者公司及/或参与者则可以在无需付额外费用下安排同一公司的另一参与者代替出席。所有已支付的课程费用均不予退还。

参与者在符合 TPL 的政策及上述的条款/条件情况下完成课程，将在课程完成后收到我们向合资格参与者所发放的出席证明书。

4. 取消、重新安排和调整课程

如果在课程开始前的 2 小时内或在课程期间遇到八号烈风或暴风信号或黑色暴雨警告，课程将被取消并重新安排。我们会以书面通知参与者公司及/或参与者重新安排的日期，或者参与者可以选择改为申请另一个类似的课程进行替换（如有及如适用）。所有已支付的课程费用均不予退还。

TPL 保留调整课程内容的权利，或在不作另行通知下重新安排或取消任何课程。

如有任何疑问，请联系我们的办公室：

电话：(852) 3571 9675

传真：(852) 3571 9653

电邮地址：admin@trinityprofessional.com

网站：www.trinityprofessional.com

邮寄地址：香港中环干诺道中 68 号华懋广场二期 7B