THE HONG KONG SOCIETY OF FINANCIAL ANALYSTS (HKSFA)
ETHICS DECLARATION FOR NEW APPLICANT

Failure to file Ethics Declaration for one year can result in suspension of your membership in HKSFA.

Name : _____ Member No. : _____
First Name Middle Name Last Name (to be completed by HKSFA)

Answer the following questions by ticking the appropriate response for each. Any matter described in the questions below must be disclosed, even if the matter is still pending.

In the last two years, have you been :

1. The subject of, a defendant in, or respondent in any investigation, civil litigation, arbitration, or other civil action or proceeding in which your professional conduct, in either a direct or supervisory capacity, was at issue?

   ☐ No

   ☐ Yes. Please specify : _____

2. Temporarily or permanently prevented from : (i) acting as a person required to be registered under any law or regulation (i.e., investment advisor, broker, dealer, etc.); (ii) acting as an employee, registered representative or affiliated person of any entity required to be registered under any law or regulation (i.e., investment company, bank, insurance company, etc); or (iii) working in the securities or investment related industry, or trading on any securities or contract market?

   ☐ No

   ☐ Yes. Please specify : _____

3. Arrested, indicted, or convicted of (i) any felony or other crime punishable by more than one year in prison; or (ii) a misdemeanor involving moral turpitude (lying, cheating, or other dishonest conduct) or any substantially equivalent crime in any court of law?

   ☐ No

   ☐ Yes. Please specify : _____

Member's Agreement

I have read, understand, and agree to comply with :

☐ (a) the HKSFA Code & Standards and Articles of Association (can be downloaded from HKSFA website www.hksfa.org) as amended from time to time; OR

☐ (b) the Code of Ethics (a copy is attached) as a member of _____ (Name of Organisation).

☐ I certify that the above responses and all information provided by me on this Ethics Declaration are truthful, accurate, and complete, and I agree to notify HKSFA promptly of any material changes required in my responses to the foregoing questions. I acknowledge and understand that failure to comply with the HKSFA Code & Standards is grounds for suspension or termination of membership.

Note : For Personal Information Collection Statement, please visit our website at http://www.hksfa.org/document/Privacy%20Policy_d050302.pdf.

Signature : _____ Date : _____

The Hong Kong Society of Financial Analysts (HKSFA)
14/F, BOC Group Life Assurance Tower, 136 Des Voeux Road Central, Hong Kong
E-mail: info@hksfa.org Website : http://www.hksfa.org Tel : (852) 2521-2543 Fax : (852) 2869-4800