

LICENSING EXAMINATION 2025

Exam Preparation Programme

For Securities & Futures Intermediaries

- **Great Record for Pass Successes**
Helping over 10,000 students to pass the exam throughout these years.
- **eLearning Platform**
We provide eLearning platform for students to prepare your exam anytime and anywhere on any device.
- **Expertise**
Our professional lecturing team is comprised of experienced market practitioners with the first-hand tips and techniques. We aim to guide you success!



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Course Structure




Full Package

Online Exam Preparation Course

Exam Paper		Online Videos	Course Notes*	Question Bank	Pass Rate	Mock Exam**	Subscription Period	Price
Paper 1 Fundamentals of Securities and Futures Regulation	 Demo Lecture	✓	✓	✓	100% HKSI Pass Rate: 48.49% As of Feb 2023	3 Mock Exams included	60 Days	\$6,500
Paper 2 Regulation of Securities	 Demo Lecture	✓	✓	✓	100% HKSI Pass Rate: 57.39% As of Feb 2023	2 Mock Exams included	60 Days	\$6,500
Paper 6 Regulation of Asset Management	 Demo Lecture	✓	✓	✓	Please Stay Tuned 100% Pass Rate As of Feb 2023		60 Days	\$5,900

Light Package

Online Question Bank

Exam Paper	Add-on items (Optional)	Question Bank	Pass Rate	Subscription Period	Price
Paper 1 Fundamentals of Securities and Futures Regulation		✓	100% HKSI Pass Rate: 48.49% As of Feb 2023	60 Days	\$3,200
Paper 2 Regulation of Securities		✓	100% HKSI Pass Rate: 57.39% As of Feb 2023	60 Days	\$3,200
Paper 3 Regulation of Derivatives		✓	100% HKSI Pass Rate: 75% As of Apr 2023	60 Days	\$2,300
Paper 6+ Regulation of Asset Management	Course Notes* + Mock Exam** +\$3,000	✓	100% HKSI Pass Rate: 59.14% As of Feb 2023	60 Days	\$2,300
Paper 7 NEW Financial Markets		✓	—	60 Days	\$2,300
Paper 8 NEW Securities		✓	—	60 Days	\$2,300
Paper 16 Sponsors (Representatives)		✓	100% HKSI Pass Rate: 66.67% As of Jun 2023	60 Days	\$1,600

**We will provide a mock review on the eLearning platform (1st mock exam only). All mock exam papers will be available as printable soft copies only.

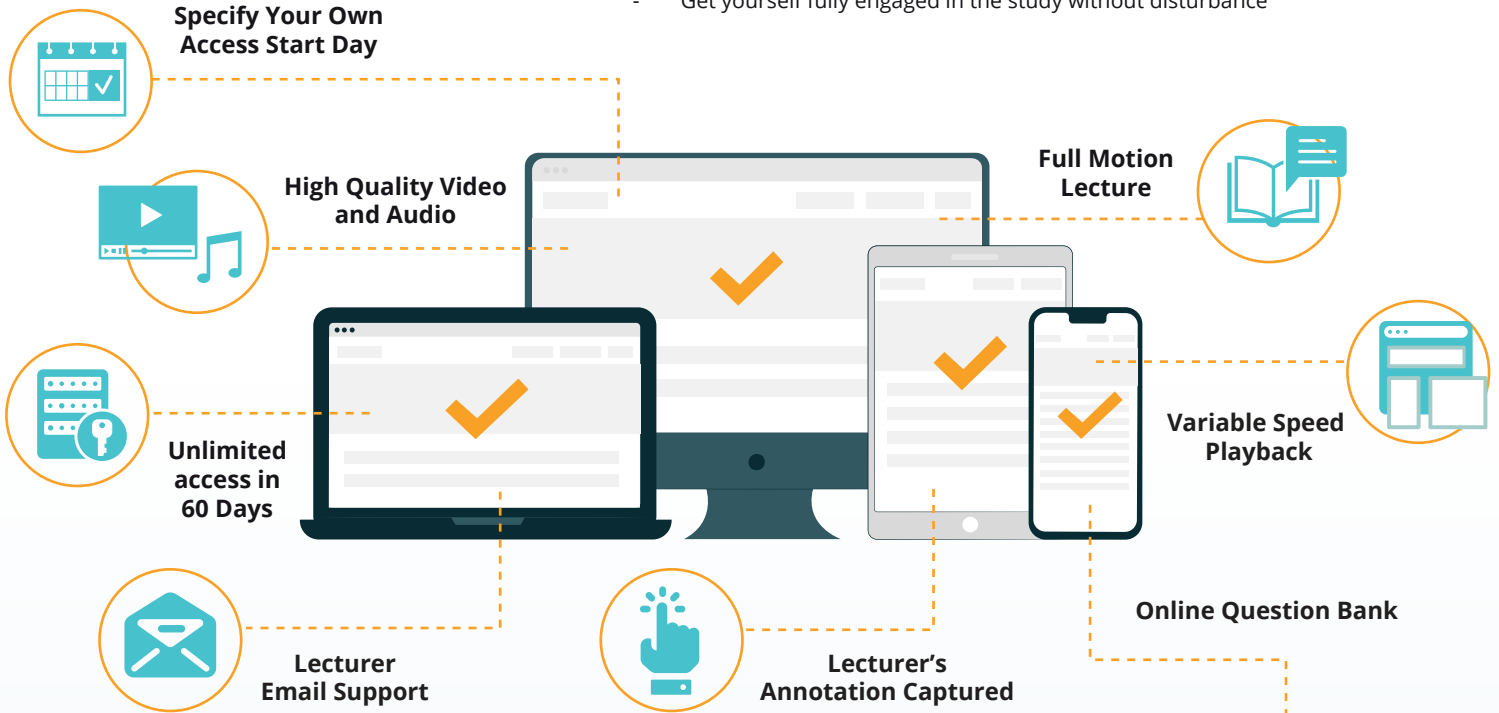
*Printable soft copy will only be provided.

+Add-on item (course notes and mock exam) is currently not available.

Course Feature

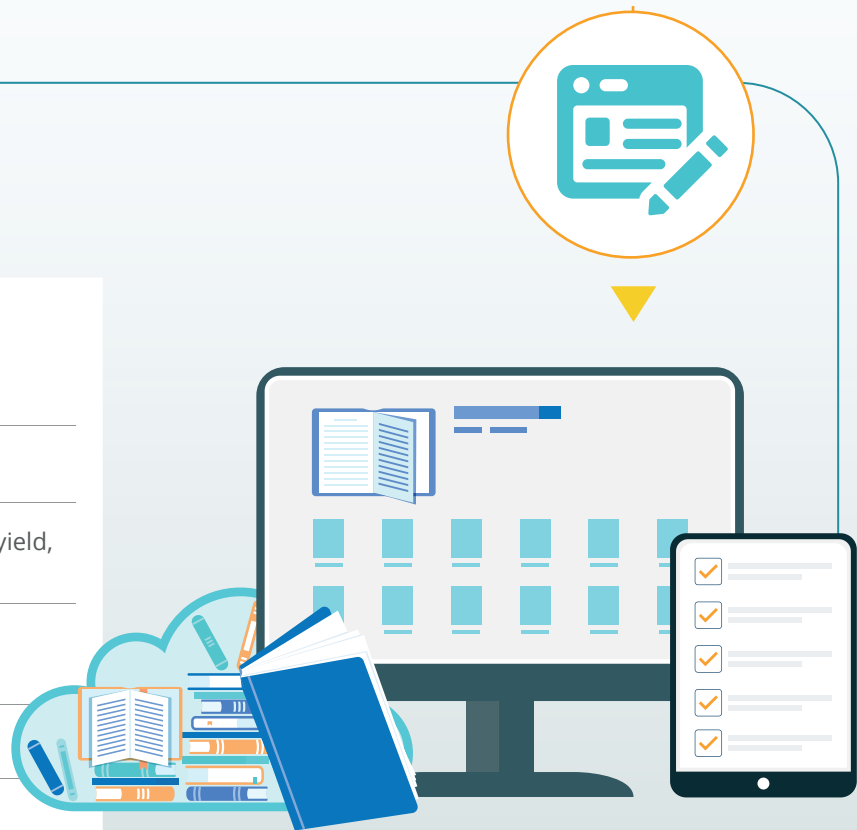
eLearning Platform

- Study anytime, anywhere, on any device
- Recap videos and materials multiple times
- Create your own pace of learning
- Get yourself fully engaged in the study without disturbance



Online Question Bank

- ✓ Hundreds of practice questions¹
- ✓ Written and reviewed by high scorers
- ✓ Fast paced learning through practicing highest-yield, most challenging questions
- ✓ Representative exam question types for optimal exam preparation
- ✓ "No lectures" method
- ✓ Questions categorized by topics
- ✓ Explanation of answers (Paper 1, 2 and 3 only)
- ✓ Provide answer key and score reports



Just enough quality questions that you can practice over lunch hours

More effective and efficient than large pool of low quality questions you see in market



¹Except Paper 16.

PRIVATE OR GROUP LESSONS

Tailor-made group or one-on-one lessons



Contact us for assessment and price quote

We Provide:

- Paper 1 Paper 2
- Paper 3 Paper 5
- Paper 6 Paper 7
- Paper 8

- Convenient and flexible - tuition in your office or at our campus
- Intensive training - perfect for individuals in a hurry to pass
- Personal attention paid to areas of doubt or weakness
- Rapid familiarization with the real exam through:
 - Personalized guidance
 - Experienced teaching
 - Organized reading materials
 - Practice questions
 - Realistic mock exams
- Review your performance in our close-to-real mock exam



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*Tel: _____ *Email: _____
(Only first 4 characters. A123) (Remarks: Acknowledgement of enrollment and login information will be sent to this email address)

*HKID No. Or
Passport No.: _____ *Nationality: _____
(if Passport holder)

*Date of birth:
(DD/MM/YY) _____ Company: _____

Position: _____

Online Store



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Course Package

Exam Paper	Full Package		Light Package		Please indicate your Exam Registration Date to ensure you could receive the most updated course materials
	Course Fee	Start Date (DD/MM/YY)	Course Fee	Start Date (DD/MM/YY)	
Paper 1 Fundamentals of Securities and Futures Regulation	<input type="checkbox"/> HK\$6,500		<input type="checkbox"/> HK\$3,200 <input type="checkbox"/> Add on Course Note + Mock Exam: HK\$ 3,000		
Paper 2 Regulation of Securities	<input type="checkbox"/> HK\$6,500		<input type="checkbox"/> HK\$3,200 <input type="checkbox"/> Add on Course Note + Mock Exam: HK\$ 3,000		
Paper 3 Regulation of Derivatives	N/A		<input type="checkbox"/> HK\$2,300 <input type="checkbox"/> Add on Course Note + Mock Exam: HK\$ 3,000		
Paper 6 Regulation of Asset Management	N/A		<input type="checkbox"/> HK\$2,300		
Paper 7 Financial Markets	N/A		<input type="checkbox"/> HK\$2,300 <input type="checkbox"/> Add on Course Note + Mock Exam: HK\$ 3,000		
Paper 8 Securities	N/A		<input type="checkbox"/> HK\$2,300 <input type="checkbox"/> Add on Course Note + Mock Exam: HK\$ 3,000		
Paper 16 Sponsors (Representatives)	N/A		<input type="checkbox"/> HK\$1,600 <input type="checkbox"/> Add on Course Note + Mock Exam: HK\$ 3,000		

Certificate of course completion: (applicable to Full package only) HK\$150

Total Payable

HK\$

Payment Method

Cheque No _____ Cash EPS FPS PayMe
(payable to "Kaplan Financial (HK) Limited")

Credit Card Installment (In person)

Credit Card (full payment) VISA AMEX MasterCard

Card Number _____ - _____ - _____ - _____ Expiry Date _____ / _____

Card Holder _____ Signature _____

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HSBC/Standard Chartered Credit Card holders are eligible for 3/6 months interest free instalment when enrol over \$6,000.

- To enjoy the Interest Free Instalment Plan, enrolment can be done at Kaplan Centre in person or via online store using HSBC / Standard Chartered credit card

AE Credit Card holders are eligible for 12 months interest free instalment when enrol over \$6,000.

- Credit cards bearing the American Express name, brand or logo issued by its licensees in Hong Kong are eligible for the Interest Free Instalment Plan. Corporate Cards, and US Dollars Cards issued in Hong Kong by American Express International, Inc. and all American Express Cards issued outside of Hong Kong are not eligible for this Interest-free Instalment Plan. Please check with Kaplan for details.
- To enjoy the Interest Free Instalment Plan, enrolment must be done at Kaplan Centre in person with American Express credit card.

Declarations

- I declare that all information provided in this form and all attached documents are, to the best of my knowledge, accurate and complete.
- I have understood and hereby agree to provide relevant proof of my academic qualifications and work experience upon request from Kaplan Financial at any time.
- I consent that I will abide by all the Rules, Regulations, and Code of Conduct of your company.
- I have read, understood and hereby agree to the terms and conditions stipulated in the brochure, enrollment form and on Kaplan Financial's website.
- I have met the system requirements of the eLearning platform and the testing result is satisfactory.
- I wish to receive Kaplan Information by email in the future.

Signature: _____

Date: _____

TERMS AND CONDITIONS - PLEASE READ CAREFULLY

Payment Methods

- (1) VISA/ Master / Amex Card
Payment can be made in person, by fax, email or by mail (see address at the bottom) or via online store.
- 2) Cash / EPS
Fees can be paid by cash or EPS at our E-Tech Centre Campus.
- 3) Cheque
Fees can be paid by crossed cheque made payable to "Kaplan Financial (HK) Limited". Please mail the cheque and all required documents to us. Kaplan will not be responsible for any loss of payment sent by mail. If you are enrolling a course that will commence in less than 7 working days, you are advised against using cheque in view of delay arising from postage delay and bank clearance.
- 4) FPS / PayMe
Fees can be paid by FPS or PayMe at our E-Tech Centre Campus or via our online store (<https://store.kaplan.com.hk/>).

Enrollment Policy

1. Enrollment will only be recognized when accompanied by FULL payment.
2. Class materials are available in Printable soft copy only, they can be printed as needed for your convenience.
3. Student will receive their username and password one day before the indicated start date of the online subscription. (Kaplan office working days: Mon – Fri, 9am -6pm)
4. Activation of your online account takes 2 business days. Do not choose a start date that falls on weekend or Hong Kong's public holiday <http://goo.gl/O6zRtw>. Inappropriate start date chosen will be postponed to the earliest start date available without notice.

Deferral, Cancellation Policy

5. No refunds will be issued for cancellation.
6. For the course package, no deferral or no transferal can be arranged.

Attendance Policy (applicable to Full package only)

7. Certificate of course completion will be issued upon request if achieved at least 70% completion progress of video content.
8. Kaplan Financial (HK) Ltd. reserves the right not to issue the certificate of course completion for the applicants who do not have 70% of above attendance rate according to our record and no refund will be given.

Online Access

9. You agree to meet the minimum system requirements set forth for all online features included in your registered course or product.
10. Activation of online account takes 2 business days. Inappropriate start date chosen will be postponed by Kaplan without notice.
11. Expired subscription, users who have left the employment of a company or change of exam date(s) are not eligible for refund, cancellation or extension of any kind, regardless of time spent in the course, time remaining, or whether or not users have accessed the course.
12. All online subscriptions commence on 00:00 of starting date and expire at 23:59 of ending date (all in HK time).
13. Subscription period starts to run from the indicated start date. No alteration of the start date is allowed, regardless of time spent in the course and whether or not you have accessed the course.
14. Printable soft copy of the course materials will be provided only, it will not be available for download after the course's subscription period.

System Validation

15. User system validation is required which aims to give you the opportunity to fully test eLearning and Online Question Bank and ensure satisfactory viewing result. The process should take no more than 5 minutes. Kaplan will put on hold your enrollment until you have fully tested eLearning and the result was satisfactory. View <https://bit.ly/3xR1Tnz> on the computer which you will access eLearning and Question Bank.

Personal Data Protection

16. Your personal data is collected and used by us for processing your application of admission, and for registration, administrative, verification, research, statistical and direct marketing purpose. We may also collect personal information required to satisfy legal, government and statutory obligations. Provision of personal data is necessary, and without your personal data, we may not be able to provide you with services you require. We may share and transfer your personal data with other members of the Kaplan group and/or authorized third parties providing services to us in relation to the above purposes and/or other prescribed purposes as allowed by law from time to time. In all such circumstances, data will be treated in strict confidence.
17. Under the provision of the Personal Data (Privacy) Ordinance, applicants have rights to request access to, and to request correction of his or her personal data. Applicants wishing to amend his or her data should fill out the prescribed form and submit it to Kaplan. Applicants may opt-out from receiving our direct marketing materials at any time.

Others

18. Kaplan Financial (HK) Ltd reserves the right to vary or change any of the course content, lecturer or venue should circumstance so require.
19. For any technical problem and enquiry for online platform, please contact us at hkle@kaplan.com.
20. HKSI Public Exam should be registered by course participants themselves, further information can be obtained at: <http://www.hksi.org> or by calling HKSI enquiry hotline at: (+852) 31206220.
21. The fees printed on this brochure are not eligible for Continuing Education Fund (CEF) reimbursement.
22. Holders of valid working visas or dependency visas are welcomed to consult Kaplan for admissions to live class(es). If the existing visa does not indicate your eligibility for staying and / or studying in Hong Kong, please further consult the Immigration Department of the HKSAR Government. Kaplan's acceptance of your application for the live class(es) does not warrant for successful visa approval from the Immigration Office. Visa holder applicants and students should be careful of their full compliance with the relevant immigration laws and ordinances during their staying and studying in

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