

The Hong Kong Chartered Governance Institute

Application Form for Re-election to Membership/Graduateship

To: The Committee for China of The Chartered Governance Institute (“CGI”) and The Council of The Hong Kong Chartered Governance Institute (“HKCGI” or “the Institute”)

1. I hereby apply for re-election of membership/graduateship of CGI and the Institute and, in support of my application, set out relevant details of my career and other information on the following pages.
2. If there is any ongoing investigation I cannot lawfully disclose, I hereby undertake to notify the Institute of the results within 14 days of the result of the investigation and in any event not later than the following renewal of your membership/graduateship.
3. I undertake to notify the Institute of any future conviction of any criminal offence or finding of breach of regulations and/or professional rules of any authority, regulations and/or professional body locally or overseas as soon as practicable and in any event not later than the following renewal of your membership/graduateship.
4. Upon being elected, I hereby undertake to observe and be bound by the provisions of the Charter and Byelaws of CGI and the Articles of Association of the Institute for the time being in force.
5. I agree that the personal data provided herein be used for the purpose of administration and communication, assessment of qualifications and experience, and provision of services and benefits by CGI and the Institute.
6. I understand that the re-election fee is non-refundable, and agree to pay all future fees and subscriptions for which I become liable.
7. I confirm that I have read and fully comprehend the “Notes on completing the application form” for the application for the election to Membership/Graduateship of CGI and the Institute.

Statement on Collection of Personal Data

- (i) Your supply of personal data to The Hong Kong Chartered Governance Institute (“HKCGI”) is on a voluntary basis. However, failure to provide any requested personal data may render HKCGI unable to perform its contemplated functions, and/or the delivery of goods and services to the applicant.
- (ii) The information provided by you to HKCGI will be used by HKCGI for the purposes of performing its contemplated functions under the provisions of the Charter and Byelaws of The Chartered Governance Institute and the Articles of Association of HKCGI (collectively “the Rules”) for the time being in force including without limitation to membership, graduateship, studentship and/or stakeholder administration, activities and/or communications; registrations, examinations, assessments of qualifications and/or experiences; Continuing Professional Development (“CPD”) programmes; research and/or analysis; members’, graduates’ and/or students’ benefits; promotion of events supported by HKCGI and/or other functions and activities; the delivery of other goods or services; enforcement of compliance and/or discipline relating to non-compliance of the Rules; and for any other legitimate purposes as may be required, authorised or permitted by law, regulations or judicial orders.
- (iii) The information provided by you herein may be made available to the related companies or associates, group sister associations, agents, contractors, universities, business associates or service providers of HKCGI or other professional bodies or government bodies or regulators, as may be necessary for any of the above purposes.
- (iv) Apart from the purposes stated above, your personal information will not be transferred to any other parties, unless such parties are authorised by law and request the information.
- (v) HKCGI provides members/graduates/students with the choice of opting out from the receipt of marketing/promotional materials from HKCGI. You can opt out or opt in at any time from receiving such materials by emailing to unsubscribe@hkcgi.org.hk with your request.
- (vi) Under the Personal Data (Privacy) Ordinance (“PDPO”), you have a right to request access to and correction of your personal data. Such requests may be made in writing to our Data Protection Officer at 3/F, Hong Kong Diamond Exchange Building, 8 Duddell Street, Central, Hong Kong or by email to us at privacyofficer@hkcgi.org.hk.
- (vii) HKCGI is committed to protecting the privacy, confidentiality and security of the personal information by complying with the requirements of the PDPO. We have established a policy for the handling and management of personal data which is accessible at HKCGI’s website, i.e. hkcgi.org.hk.

I have read, understood and agreed to the above including the ‘Statement on Collection of Personal Data’. I hereby declare that all the information and/or documents submitted by me are true, correct, up-to-date and complete to the best of my knowledge and belief, and I undertake to provide any further information and/or documents as required and in respect of any changes thereto. I further acknowledge that any violation of such is ground for disciplinary action and may lead to cancellation and invalidation of membership/graduateship status and/or services.

Name of Applicant: _____ Previous Membership/
Graduate Number: _____

Signature of Applicant: _____ Date of Application: _____

PERSONAL PARTICULARS

Name: _____ (English) _____ (Chinese) (Mr/Mrs/Ms)

(Please state your name as per your identification document.)

HKID No.: _____ Date of Birth: _____ (dd/mm/yyyy)

Email Address: _____

Correspondence Address: _____

Res. Tel.: _____ Mobile No. _____

Please stick your recent photo here

(1.5" X 2")

EMPLOYMENT – CURRENT POSITION

Job Title: _____ Date of Commencement: _____

Organisation: _____ Tel. No.: _____

Registered Address: _____

EMPLOYMENT RECORD since lapse of membership/graduateship, starting with current position

Current employment:				
Name of Organisation	Position(s)	Employment Period (Date/Month/Year)	Certification (Notes)	
			Referee	Attachment(s)
1		From	Name	a. Reference letter <input type="checkbox"/> Yes <input type="checkbox"/> No b. Others (please specify): _____
			Job Title	
		To	Signature	
			Date	
Previous employment: (in chronological order)				
Name of Organisation	Position(s)	Employment Period (Date/Month/Year)	Certification (Notes)	
			Referee	Attachment(s)
2		From	Name	a. Reference letter <input type="checkbox"/> Yes <input type="checkbox"/> No b. Others (please specify): _____
			Job Title	
		To	Signature	
			Date	
3		From	Name	a. Reference letter <input type="checkbox"/> Yes <input type="checkbox"/> No b. Others (please specify): _____
			Job Title	
		To	Signature	
			Date	

Previous employment: (in chronological order)				
Name of Organisation	Position(s)	Employment Period (Date/Month/Year)	Certification (Notes)	
			Referee	Attachment(s)
4		From	Name	a. Reference letter <input type="checkbox"/> Yes <input type="checkbox"/> No
			Job Title	
		To	Signature	b. Others (please specify): _____
			Date	

Note 1: The date of referee's signature/reference letter covering the applicant's current employment should not be more than three months prior to the date of submission of the application.

Note 2: Employment records can either be certified by (1) signature of appropriate referee; and/or (2) provision of certified true copies of employment testimonials (e.g. reference letters) showing clearly the position(s) held and the exact dates (i.e. day, month and year) that the employment started and finished.

The referee in each case should be a senior officer of the organisation such as a Director, Partner, Proprietor, the head of the Personnel Department or the manager of the applicant. The referee is asked to certify from personal knowledge that the information given by the applicant in the section next to the referee's signature and designation is correct. The referee is invited to provide any relevant remark or amplification in a supporting letter, as appropriate.

Note 3: If the job duties performed are not self-evident from the title, a brief outline of duties should be included, and/or complete the M007 Supplementary Form - Associateship Application with the signature of an appropriate referee.

Note 4: If you have held more than one position in the same organisation, specify the details of each position i.e. the job titles and the respective exact employment period (the day, month and year) etc.

Note 5: If you had any employment gap for more than three months, you need to complete the M008 Explanation for Employment Gaps Form.

CHARACTER AND STANDING

(Please refer to Note 4 and 5 of "Notes on completing the application form" for details.)

For any 'yes' box ticked below, applicants are required to provide details in writing (enclosing supporting documents) to the Institute as appropriate and as practicable.

	(please tick as appropriate)	Signature
1. Are you an undischarged bankrupt, or is any of your affairs currently subject to an arrangement or compromise with creditors or any external receiver or administrator? Or is there any current proceeding against or threatened against you because of your inability to pay any sums as they fall due?	Yes <input type="checkbox"/> No <input type="checkbox"/>	
2. Have you been convicted of any offence of such a nature that, had you been a member/graduate of CGI and/or the Institute at the time of the conviction, might have given rise to the possibility of any disciplinary action taken against you under CGI's Byelaws 21 to 25 and the Institute's Articles 23 to 28?	Yes <input type="checkbox"/> No <input type="checkbox"/>	
3. Have you conducted yourself, whether by act or default, in a manner that had you been a member/graduate of CGI and/or the Institute at the time of the act or default, might or is likely to have been discreditable to CGI and/or the Institute having regard to the Code of Professional Ethics and Conduct of CGI and/or the Institute and any other CGI and/or the Institute's professional rules and regulations (collectively the 'Rules')?	Yes <input type="checkbox"/> No <input type="checkbox"/> Unanswered (Note) <input type="checkbox"/>	

(Note: If there is any ongoing investigation against you which may not be lawfully disclosed, you may tick 'unanswered' and no details are required to be provided until 14 days after the result of the investigation. In case of an adverse finding against you, the Institute will assess whether you have conducted yourself, whether by act or default, in a manner that had you been a member/graduate of CGI and/or the Institute at the time of the act or default, might or is likely to have been discreditable to CGI and/or the Institute having regard to the Code of Professional Ethics and Conduct of CGI and/or the Institute and any other CGI and/or the Institute's professional rules and regulations (collectively the 'Rules'). If so, the Institute reserves the right to terminate your membership/graduateship.)

FULFILMENT OF CONTINUING PROFESSIONAL DEVELOPMENT (CPD) REQUIREMENT

(Please refer to Note 6 of "Notes on completing the application form" for details.)

Former members and graduates must have accumulated **at least 15 CPD hours, including 6 Enhanced CPD hours** through the Institute's trainings or seminars or events **within a 12-month period prior to the date of application**. Attendance record of the 15 CPD hours must be provided to the Institute for inspection. (Note: Confirmation of enrolment does not serve as a valid certification of attendance.)

Please list out the trainings/seminars that you attended in the previous 12 months.

Date	Time	Event Name	Organiser

For applicant who is retired **AND** have reached age 60, no CPD requirement is needed prior to application. You must complete the following declaration:

I, _____ (full name) declared that:

- I have reached age 60 and am fully retired from employment.
- I hereby undertake that I will comply with the Institute's CPD Policy and requirements if I return to employment (either full-time or part-time) in the future.

I hereby undertake that I will comply with the Institute's CPD Policy and requirements for the time being in force upon successful re-election

Signature : _____

Date of Signature : _____

RECOMMENDATION

We, the undersigned, having known the applicant (Name of applicant: _____) for the period set against our names (of at least one year), hereby recommend him/her from personal knowledge as a fit and proper person for re-election as a member/graduate of CGI and the Institute.

*There must be two signatories of professional status, one of whom must be a Member of CGI and/or the Institute, who have known the applicant for at least one year.

Referee one (Member of CGI and/or HKCGI)		CGI/HKCGI Membership no: _____	
Full Name _____		have known the applicant for ____ years	
Company Name _____		Job title _____	
Other Professional Qualification:			
<input type="checkbox"/> HKICPA	Membership Number _____	<input type="checkbox"/> CPA Australia	Membership Number _____
<input type="checkbox"/> ACCA	_____	<input type="checkbox"/> The Law Society of Hong Kong	_____
<input type="checkbox"/> CIMA	_____	<input type="checkbox"/> Others: _____	_____
Signature _____		Date of Signature _____	

Referee two			
Full Name _____		have known the applicant for ____ years	
Company Name _____		Job title _____	
Professional Qualification:			
<input type="checkbox"/> CGI/HKCGI	Membership Number _____	<input type="checkbox"/> CPA Australia	Membership Number _____
<input type="checkbox"/> HKICPA	_____	<input type="checkbox"/> The Law Society of Hong Kong	_____
<input type="checkbox"/> ACCA	_____	<input type="checkbox"/> Others: _____	_____
<input type="checkbox"/> CIMA	_____		
Signature _____		Date of Signature _____	

FEES

Fees include:		Amount
<i>Non-refundable</i>	(i) Re-Election Application Fee <ul style="list-style-type: none"> • For Fellow: HK\$3,470 • For Associate: HK\$3,150 • For Graduate: HK\$2,630 	HK\$ _____
	(ii) Subscription for the current financial year	HK\$ _____
<i>Refundable if application is rejected by Membership Committee</i>	(iii) Subscription for the lapsed year (at full-rate of current year)	HK\$ _____
	(iv) an additional year of subscription to cover the year(s) in between ii) and iii) above regardless of the length of the lapsed period (at full-rate of current year)	HK\$ _____
Total		HK\$ _____

PAYMENT METHOD (please tick as appropriate)

Fees in total: HK\$ _____

Proper form completion and full payment made required prior to the Institute acceptance and arrangement of requested matters.

- By EPS/ UnionPay - in person
- By cheque - in person/by post (Payable to '**The Hong Kong Chartered Governance Institute**'. Post-dated cheque will NOT be accepted)

Bank: _____ Cheque No.: _____
 (Please specify your membership/graduate no. and payment description at the back)

- By Credit Card - Please fill in the below information if payment is made by email/by post.
 (I, as the cardholder, authorise the Institute to debit the payment from my credit card)

HKCGI American Express VISA MasterCard

Name of Cardholder (block letters): _____

Credit Card No.: _____ Card Expiry Date: _____ (mm)/ _____ (yy)

Signature _____ Date: _____
 (as with credit card)

If the cardholder and the applicant are not the same person, please explain basis for third party payments (e.g. employer payment). Applicant to bear consequences for unauthorised third-party payments: _____

To facilitate payment, credit cards should not expire in less than one month.

FOR OFFICE USE ONLY

Credit card authorisation code: _____ A/C Ref. no.: _____
 Handled on _____ by _____ Data updated on: _____ by _____
 Confirmation sent on: _____
 Application approved/ rejected on: _____

The Hong Kong Chartered Governance Institute
Application for Re-election to Membership/Graduateship

Notes on completing the application form

1. Incorrect or Misleading Information

If information is revealed to be inaccurate or misleading before/after election, applicant may be subject to disciplinary action under Byelaws 21 to 25 of CGI and Articles 23 to 28 of the Institute.

2. Explanation on reasons for lapsed membership/graduateship

Applicant is required to provide an explanation to Membership Committee about the reasons for lapsed membership/graduateship and grounds for applying for re-elections. The Institute has the absolute and sole discretion to approve the application and the decision should be final.

3. Career History

- a. You are required to give a CAREER RECORD since lapse of membership/graduateship (completing this on additional sheets if necessary), with any gaps being accounted for.
- b. Please note the following with regard to the individual sections of this page of the form:

Name of organisation:	In the case of a holding company, a group, or subsidiary companies, it is important to specify the particular company in which you hold office.
Job position:	<ul style="list-style-type: none">• If the duties performed are not self-evident from the title, a brief outline of duties should be attached, and/or complete the M007 Supplementary Form with the signature of an appropriate referee.• If you have held more than one position in the same organisation, specify the details of each position i.e. the exact employment period, etc.
Date:	Date, month and year to be given.

- c. Certification:
All current and previous employments provided in the application form since lapse of membership/graduateship must be certified. The date of referee's signature/reference letter covering your current employment should NOT be more than 3 months prior to the date of submission of application.

Certification can be in the form of either:-

- i) The signature of referees who should be a senior officer of the organisation (the date of referee's signature must be given); or
- ii) Original employment testimonials/reference letters from employers (showing the position(s) held and the exact dates (i.e. day, month and year) that the employment started and finished. Letters merely offering the post, or confirming the employment, are insufficient for this purpose).
- d. You are required to provide an explanatory letter for not able to provide the required supporting documentation (e.g. employment reference letters).
- e. Current/previous employment without the required employment reference letters or verification from your current/recent employers will not be included or counted for your re-election to membership/graduateship.
- f. If you had any employment gap for more than three months between jobs, you need to complete the M008 Explanation for Employment Gaps Form.

4. Standard of Professional Conduct

Pursuant to Article 21 of the Institute, every Member on election to Membership and so long as he remains a Member shall be deemed to have undertaken strictly to observe the standard of professional conduct and practice required by the Council and comply with any code of conduct, rules of professional ethics, practice directions, rules and regulations governing professional conduct and practice including the conditions for the issue of practising certificates by the Council. The past and present conduct of a successfully elected member will be taken into account.

5. Character and Standing

For any “yes” box ticked in this application, applicants are required to provide details in writing (enclosing supporting documents) to the Institute as appropriate and as practicable.

- Applicant must be recommended as fit and proper for re-election as a graduate/member of HKCGI.
- The term “fit and proper” contained in the Byelaws 5 and 6 of CGI and the Articles 5 and 6 of HKCGI relates directly to the character of an applicant and includes the concepts of honesty, solvency and competence. However, the Council does not link the term “fit and proper” to a subjective view an applicant may hold of his own conduct and methods. As a result, the Council requires all applicants to answer all the questions there as to their character.
- The Institute is obliged to supervise the standard of professional conduct of its members and it is important to emphasise that the examples given below are not intended to be exhaustive or definitive, the concept of fit and proper is inherently open-ended.

Question 1

This relates directly to the solvency of the applicant and would include any sequestration order, compromise or deed of arrangement with the applicant’s creditors.

Question 2

This relates to:-

- i) any offence, whether or not in Hong Kong or in the Divisional Territory of People’s Republic of China, involving fraud or other dishonesty under legislation relating to companies, building societies, credit unions, friendly societies, insurance, banking or other financial services, insolvency, consumer credit or consumer protection.
- ii) any other offence, whether or not in Hong Kong or in the Divisional Territory of People’s Republic of China, not in a) above including criminal convictions in a civilian or military court, involving fines, suspended sentences or terms of imprisonment. The applicant may exclude non-criminal traffic offences.

Question 3

This relates to:-

- i) disqualification by a court or other statutory or regulatory body from acting as a director of a company, or from acting in the management or conduct of the affairs of any company, partnership or incorporated association.
- ii) disciplinary action including criticism, censure, fine, or exclusion from membership of any professional body or organisation (whether or not in Hong Kong or in the Divisional Territory of People’s Republic of China).
- iii) all known investigations, findings and sanctions by an authority, regulator or professional body locally or overseas.

(Note: If there is any ongoing investigation against you which may not be lawfully disclosed, you may tick ‘unanswered’ and no details are required to be provided until 14 days after the result of the investigation. In case of an adverse finding against you, the Institute will assess whether you have conducted yourself, whether by act or default, in a manner that had you been a member/graduate of CGI and/or the Institute at the time of the act or default, might or is likely to have been discreditable to CGI and/or the Institute having regard to the Code of Professional Ethics and Conduct of CGI and/or the Institute and any other CGI and/or the Institute’s professional rules and regulations (collectively the ‘Rules’). If so, the Institute reserves the right to terminate your membership/graduateship.)

6. Compliance of CPD Requirements prior to application for re-election

In general, applicants for re-election should have accumulated **15 CPD points, including 6 ECPD points from the seminars or events organised by the Institute within 12 months prior to the date of application** for re-election. Applicants must submit the attendance record together with the application for inspection. Confirmation of enrolment does not serve as a valid certification of attendance.

Example:

If an applicant submits an application for re-election on 1 January 2023, he/she should submit the attendance records of CPD seminars arranged from 1 January 2022 to 31 December 2022 (a 12-month period prior to the date of application). Any CPD seminars attended before such period will not be counted.

In respect of retirees who have reached age 60, no CPD points is required but they must submit a declaration containing an undertaking to comply with applicable future CPD requirements to support the application.

7. Recommendation

All applicants must be recommended by two referees who:

- are holders of professional qualifications;
- Have known the applicant for at least one year.

One of the referees must be a member (Fellow or Associate) of CGI and/or the Institute.

Personal information including the professional qualification membership number of the referees must be provided as appropriate.

8. Payment

Re-election application fee is non-refundable while subscriptions for the current financial year, lapsed year and an additional year of subscription to cover the year(s) between the current financial year and lapsed year are refundable if the application is rejected by Membership Committee.

9. Additional Notes

- a. Admission to membership of the Institute is conditional upon the Council first being satisfied that an applicant is a member of CGI and being ordinarily resident in the Divisional Territory of People's Republic of China subject to Article 6.1 of the Institute.
- b. Eligibility to remain a member of the Institute to be at all times conditional upon the member remaining as a member of CGI. An individual's membership of the Institute automatically cease if that individual for any reason ceases to be a member of CGI subject to the Article 18 of the Institute.
- c. Every member and graduates shall be bound absolutely by the Charter and Byelaws of CGI and the Articles of Association of the Institute for the time being in force, and any disciplinary regulations made thereafter. Members and graduates must read both documents carefully which can be obtained by logging into the Institute user account on the website (hkcgi.org.hk).

10. Checklist – Application for Re-election of Membership/Graduateship

Incomplete application will delay the processing procedure. Any changes and/or amendments of information provided on this form must be **duly countersigned and dated**. You are reminded to ensure that all documents are in order before submitting your application. The following checklist should be duly completed and submitted with your application form:

Items	Please put a “√” in the boxes below.
A. Fees	
1. Re-election fee (non-refundable, Fellow: HK\$3,470; Associate: HK\$3,150; Graduate: HK\$2,630)	
2. Subscription for the current financial year (refundable, if application is rejected)	
3. Subscription for the lapsed year, at full-rate of current year (refundable, if application is rejected)	
4. An additional year of subscription, at full-rate of current year to cover the year(s) in between 2. and 3. above regardless of the length of the lapsed period (refundable) [Payment can be made by EPS/ UnionPay in person; using a VISA/ MasterCard/ HKCGI American Express credit card; or cheque (made payable to “ The Hong Kong Chartered Governance Institute ”; post-dated cheques will NOT be accepted; please write your name, HKCGI Membership/Graduate no. and ‘Re-election fee’ on the back of the cheque)].	
B. Explanation in writing on reasons for lapsed membership/graduateship	
1. Enclosed explanation in writing	
C. Signature of Applicant	
1. Signed and dated on page 1 of the application form	
2. Any changes and/or amendment of information provided on this form must be duly countersigned and dated .	
D. Fulfilment Of Continuing Professional Development (CPD) Requirement	
1. Accumulated at least 15 CPD hours, including 6 Enhanced CPD hours through the Institute’s trainings or seminars or events within a 12-month period prior to the date of application .	
2. Enclosed attendance record of the 15 CPD hours.	
E. Character and Standing	
1. Answered and signed the section of “Character and Standing” on page 3 of the application form	
2. Enclosed full details in writing for any ‘yes’ box ticked in the “Character and Standing” section on page 3 (if applicable and as appropriate).	
F. Employment Record since lapse of membership/graduateship	
1. The date of the referee’s signature for certification and the date of the reference letter covering your current employment should not be more than three months prior to the date of submission of application. Current and previous employment since lapse of membership/graduateship can be certified by either one of the methods below:- i) As specified on this form, signatures of referees* are required from current and/or previous employments and should be duly dated. *A referee for each employment should be a senior officer of the organisation such as a Director, Partner, Proprietor, the head of human resources or your direct supervisor. ii) Reference letters (originals and photocopies) for all current and/or previous employments are enclosed*. *All reference letters <u>must state clearly the position(s) held and periods of employment with exact dates (i.e. day, month and year)</u> .	
2. Do you have any employment gap of over 3 months? <input type="checkbox"/> Yes <input type="checkbox"/> No If yes, you should complete and submit a M008 Explanation for Employment Gaps Form.	

G. Recommendations	
<p>1. Recommendations are signed by two signatories of professional status* and both of whom must have known you <u>for at least one year.</u></p> <p>* List of professional qualifications:</p> <ul style="list-style-type: none"> i) The Association of Chartered Certified Accountants (ACCA) ii) The Law Society of Hong Kong iii) The Hong Kong Institute of Certified Public Accountants (HKICPA) iv) The Chartered Institute of Management Accountants (CIMA) v) Institute of Chartered Accountants in England & Wales (ICAEW) vi) The Chartered Institute of Public Finance and Accountancy (CIPFA) vii) CPA Australia 	
<p>2. One of your referees <u>must be</u> a Member of CGI/HKCGI, who have known you for at least one year.</p>	
<p>3. The professional qualification(s) with membership number(s) of your referees <u>are provided.</u></p>	
H. Photo	
<p>1. Photo is enclosed. (Photo size: 1.5" x 2", no instant photo)</p>	

Note 1: Certification of the supporting documents

- All supporting documentations (including originals and photocopies) can be presented to the Secretariat for certification when you submit the application.
- The Institute also accepts certified true copies of documentations which **must be** certified by professionals (other than the applicant himself/herself), as listed below:
 - (i) Members of CGI/HKCGI;
 - (ii) Practicing Lawyers; and/or
 - (iii) Practicing CPAs.
- The full name, designatory letters and membership number of the certifier must be stated clearly.
- Applicants can also certify their documentations at the Government District Officer through statutory declaration.