ASIFMA FINANCIAL INSTITUTION MEMBERSHIP APPLICATION FOR 2026-2027

Firm Name* _____

Address _____

City _____ State/Province _____

Zip/Postal Code_____ Country _____

Web Site Address _____

Is your firm a registered institution at the regulatory body of your jurisdiction?

☐ Yes (Please specify the regulator _____)

☐ No (More details and supporting documents may be requested by ASIFMA.)

NOMINATED REPRESENTATIVE**

Name _____

Title _____

Department _____

Phone _____ Fax _____

E-mail Address _____

MEMBER DUES CONTACT

Name _____

Title _____

Department _____

Phone _____ Fax _____

E-mail Address _____

RELATED ORGANIZATIONS:

Please list parent company, if any:

_____

*Membership includes any and all majority owned group affiliates of a member firm at no additional cost.

Please specify other related associated companies, (i.e., JVs), if any:

_____

_____

**The Nominated Representative will exercise the member's voting rights and otherwise be responsible for speaking or acting on behalf of the member, as applicable.

How are you familiar with ASIFMA? Please specify: _____

MEMBER DUES

A current list of dues and dues categories is contained in Appendix I of this application (please note this is subject to review at the end of each financial year being 31 October). Dues are payable in Hong Kong dollars and shall be paid gross without withholding or deduction for taxes, levies, duties, bank charges or any other deductions of any nature.

TERMS AND CONDITIONS

Late payments

- Late payments will incur a fee of 1% for every 30 days past the payment deadline.

Subscriptions

- The membership year shall, unless otherwise determined by the Board, run from 1 November to 31 October.
- An institution joining during the year will pay a pro-rata amount equivalent to the remaining part of the membership year.

Resignation & Removal from Membership, Right of Appeal

- Each member firm is entitled to terminate ASIFMA membership by giving 6 months' prior written notice. ASIFMA membership is deemed to be renewed automatically on 1 November unless written notice has been received by 1 May of that year.
- Member firms are liable for their pro-rata share of any financial or other obligations entered into prior to the date of their resignation from ASIFMA.
- No paid membership dues shall be refunded to any member who resigns or whose membership is terminated.

MEMBERSHIP AGREEMENT

As the duly authorized representative of _____ (the "Applicant") and acting on behalf

Insert Firm/Company Name

of the Applicant, I the undersigned hereby apply for membership in the Asia Securities Industry and Financial Markets Association (ASIFMA) and, if admitted, agree: (1) To comply with ASIFMA's By-Laws and advance its purposes; and (2) To pay such initial dues and assessments that are agreed to by the Applicant and other dues, assessments and charges in the manner and amount as shall from time to time be fixed by the ASIFMA's Board of Directors pursuant to the By-Laws. Dues once paid are not refundable and resignation from membership is only effective at the end of each financial year.

I hereby certify that the statements made herein are true and complete. I understand that in the event false information is given in this application or there are omissions of material facts, the Applicant's request to join ASIFMA may be denied; or, if admission has previously been granted, such false information may be grounds for termination of membership.

I acknowledge that information provided in this application form will be used by ASIFMA to process the application request. Once approved, I hereby authorize and allow ASIFMA to indicate the Applicant's membership on ASIFMA's website and in its various marketing materials. I consent to the release of the Applicant's membership status and information provided herein to ASIFMA, its employees and agents and other trade associations at ASIFMA's sole discretion.

I have read and understood ASIFMA's Personal Information Collection Statement contained in Appendix II of this application.

By _____ Title _____

Signature_____ Date_____

PLEASE DIRECT ALL INQUIRIES AND COMPLETED APPLICATION FORMS TO:

The Asia Securities Industry and Financial Markets Association Limited

Unit 3603, Tower 2

Lippo Centre

89 Queensway

Admiralty, Hong Kong

Tel: 852 2531 6500

Fax: 852 2537 1673

E-mail: wwong@asifma.org

Appendix I – DUES and DUES CATEGORIES[1]
2026-2027

Dues structure:

Financial Institutions (FIs) are categorized according to a set of criteria based on the footprint relevant to ASIFMA's business coupled with the relevant amount of time/effort put on the 11 APAC jurisdictions which ASIFMA covers. A firm's suggested category will be provided by ASIFMA based on this methodology and may require further discussion to determine.

All member applications, including the tier designation, will be reviewed for approval by the Board; otherwise, they will remain confidential.

Category	**HKD$[2]**
Banks/Securities Dealers/Market Makers Tiers	
A	**$1,684,100** ☐
B1	**$1,275,125** ☐
B2	**$842,000** ☐
B3	**$690,000** ☐
B4	**$540,000** ☐
B5	**$390,000** ☐
B6	**$250,000** ☐
B7	**$135,000** ☐

[1] Subject to change at the end of each financial year (31 October) or at other times as determined by the Board of Directors.
[2] Net amount, excludes bank transaction fees.

Appendix II – Personal Information Collection Statement

This Personal Information Collection Statement is made by the Asia Securities Industry and Financial Markets Association Limited in accordance with the Personal Data (Privacy) Ordinance of the Hong Kong Special Administrative Region (the "**Ordinance"**) and contains details of how ASIFMA may collect, hold, process and use the personal data collected from you or relevant representatives of your firm or company. "Personal data" means any personally identifying information as more particularly defined in the Ordinance.

WHAT ASIFMA GATHERS

ASIFMA collects and keeps information about how to reach you or relevant representatives (such as names, titles, firms, mailing and e-mail addresses, and phone and fax numbers) and information about the specific markets, functional areas, and types of information pertinent to you or relevant representatives. ASIFMA uses this data to help provide useful information to you or relevant representatives and to avoid providing information that isn't useful.

WHAT ASIFMA DOES WITH THE DATA

- Order Forms and Registration Forms: ASIFMA keeps track of addresses to facilitate re-registration or reordering. Other information is gathered to facilitate billing, product shipment or other relevant services.
- Password Requests: Information gathered in the course of an application for a password access to members-only pages is only used to generate and communicate the password, as appropriate.
- Webpage Subscriptions: A subscriber's email address will be used only to notify the subscriber when the page is updated.
- Member Survey Responses: From time to time ASIFMA updates its member database and address list through a member survey in order to keep members properly informed and to tailor ASIFMA's Website based and printed materials to suit member preferences.
- Information collected by IP address and Cookies: This information is used by ASIFMA for broad demographic data, to produce aggregated information about the number and types of visitors to the Website and to ensure ASIFMA delivers the information members want.
- In a few carefully considered cases ASIFMA will provide personal data to reputable organizations (including other trade associations in Hong Kong or overseas and ASIFMA's global alliance partners: the Global Financial Markets Association (GFMA), the Securities Industry and Financial Markets Association (SIFMA) and the Association for Financial Markets in Europe (AFME)) that it believes may provide information of interest to industry participants. In very rare circumstances ASIFMA may be judicially compelled to produce such data to authorities.

HOW TO CONTROL YOUR INFORMATION

Should you or any representative wish to be removed from ASIFMA's member database at any time, or if you or any representative feels ASIFMA has inaccurate or outdated information about you, please contact us at wwong@asifma.org.