



## Application Form for Certified AML Professional (CAMLPA) Certification (with HKIB Professional Membership)

Please read carefully the "**Guidelines of Application for Certified AML Professional (CAMLPA) Certification**" BEFORE completing this application form.

This application form is ONLY for Relevant Staff of an **Authorized Institution (AI)** supervised by the Hong Kong Monetary Authority (HKMA).

Please obtain endorsement from HR department for the verification on Key Roles/ Responsibilities for AML/CFT practitioners (Annex) before submission to HKIB.

### Section A: Personal Particulars

(Please use block letters to complete the information requested below. The name should match that on your HKID / passport)

**Note: Related personal data in your examination and membership records (if you already have membership record(s) kept in HKIB) will also be updated with the information provided in this form.**

Title: <input type="checkbox"/> Mr <input checked="" type="checkbox"/> Ms <input type="checkbox"/> Dr		HKIB Membership: <input type="checkbox"/> Yes _____ (Please specify the Membership No.) <input checked="" type="checkbox"/> No	
Name in English: (as shown on identity document) LEE CHI NAN (Surname) (Given Name)		Name in Chinese: (as shown on identity document) 李智能	
HKID / Passport Number* (please delete where inappropriate): C 668 668 (E)			
Name of Employer (Authorized Institution): XYZ Bank			
Mobile Phone No.: 9876 5432		Office Telephone No.: 2345 6789	
Primary Email Address <sup>1</sup> : leechinan@xyzbank.com		Secondary Email Address (if any):	
Position / Job Title: Compliance Manager		Department: Legal and Compliance	
Office Address: 30/F, XYZ Bank Building, 20 Compliance Road, Hong Kong			
Residential Address: Flat A, 36/F, Home Towers, 78 Family Road, Central, Hong Kong			
Correspondence Address: <input checked="" type="checkbox"/> Office Address <input type="checkbox"/> Residential Address			
Division (for customized service): <input type="checkbox"/> Asset Management <input checked="" type="checkbox"/> Commercial / Corporate Banking <input type="checkbox"/> Compliance & Risk Management <input type="checkbox"/> General Management <input type="checkbox"/> Investment Banking		<input type="checkbox"/> Operations & Support <input type="checkbox"/> Private Banking <input type="checkbox"/> Retail Banking <input type="checkbox"/> Treasury <input type="checkbox"/> Others: _____	
Highest Academic Qualification Obtained: Master of Business Administration		University / Tertiary Institution: ABC University	Year of Completion: 2011
Other Professional Qualifications:		Professional Bodies: /	
Total Number of Years and Months of Work Experience in the AML / CFT Compliance Position 10 Years 3 Months			

<sup>1</sup> Note: All HKIB designations and membership related communication will be sent via email by using the Primary Email Address. Please "✓" the appropriate boxes.



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**Section B: Disciplinary Actions and Investigations,  
Financial Status and Character**

You are required to answer the following questions by selecting "Yes" or "No".

1. Have you ever been reprimanded, censured or disciplined by any professional or regulatory authority?	<input type="checkbox"/> Yes <input checked="" type="checkbox"/> No
2. Have you ever had a record of non-compliance with any non-statutory codes, or been censured, disciplined or disqualified by any professional or regulatory body in relation to your profession?	<input type="checkbox"/> Yes <input checked="" type="checkbox"/> No
3. Have you ever been investigated about offences involving fraud or dishonesty, or been adjudged by a court to be criminally or civilly liable for fraud, dishonesty or misfeasance?	<input type="checkbox"/> Yes <input checked="" type="checkbox"/> No
4. Have you ever been refused or restricted from the right to carry on any profession for which a specific license, registration or other authorization is required by law?	<input type="checkbox"/> Yes <input checked="" type="checkbox"/> No
5. Have you ever been adjudged bankrupt, or served with a bankruptcy petition?	<input type="checkbox"/> Yes <input checked="" type="checkbox"/> No

Notes: If you have answered "Yes" to any of the above questions, please provide more details by attaching all relevant documents relating to the matter(s) at issue.

N/A



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### Section C: Application Fee

Non-refundable Certification Fee for CAMLP (Valid until 31 December 2020):

- Non-HKIB Member: HKD1,650
- HKIB Student Member: HKD1,650
- HKIB Ordinary Member: HKD570
- HKIB Professional Member: Waived
- HKIB Default Member: HKD3,650

☐ Paid by Employer

☒ A cheque / e-Cheque\* made payable to "The Hong Kong Institute of Bankers"  
(Cheque no. 123456)

\* For e-Cheques, please state the programme code under 'remarks' and email, together with the completed application form, to [ecf.aml@hkib.org](mailto:ecf.aml@hkib.org)

<input type="checkbox"/> Credit Card: ( <input type="checkbox"/> VISA <input type="checkbox"/> Mastercard) Cardholder's Name: _____ Card No.: _____	Amount: HKD _____ Signature: _____ Expiry Date: _____ <div style="text-align: right;"><small>(mm/yy)</small></div>
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### Section D: Statement on Collection of Personal Data

1. It is necessary for applicants to supply their personal data and to provide all the information requested in the application documents, as otherwise HKIB may be unable to process and consider their applications.
2. The personal data provided in this form will be used for processing your application for membership, programme and examination, statistical and marketing (including direct marketing) purposes. The data will be solely handled by HKIB staff but may be transferred to an authorised third party providing services to HKIB in relation to the above purposes and prescribed purposes as allowed by the law from time to time.
3. When the processing and consideration of all the applications for a particular programme have been completed: (a) the application papers of unsuccessful candidates will be destroyed (if you have indicated to receive our promotional materials in Paragraph 6 then your contact details and related papers would be retained for such purposes); and (b) the application papers of successful candidates will serve as part of the applicant's official student records and will be handled by HKIB staff or by staff of an authorised third party providing services to HKIB in relation to the stated purposes. In all such circumstances, please be assured that any personal information you supply will be kept strictly confidential.
4. Applicants understand that they have the right to check whether HKIB holds personal data about me and that, if so, they have a right of access to their personal data. They can request HKIB to correct any inaccurate personal data and if they need to obtain a copy of their personal data or have it corrected, they can write to the HKIB. They understand that HKIB is permitted by law to charge a reasonable fee for the processing of any data access request.
5. Personal data provided on the application form will be used by HKIB for the purpose relating to application and admission. For details of the Policy of Personal Data Protection Statement, please refer to the website: <http://www.hkib.org>

☐ Please tick if you DO NOT WISH to receive our latest updates and promotional materials through the communication channels as stated above, including discounts, promotion and offers from time to time.

Please "✓" the appropriate boxes.



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### Section E: Acknowledgement and Declaration

- I declare that all information I have provided in this form is true and correct and will be used for the purpose of administration and communication by The Hong Kong Institute of Bankers (HKIB).
- I understand that the fees paid are non-refundable and non-transferable.
- I authorise HKIB to obtain and the relevant authorities to release, any information about my qualifications and / or employment as required for my application.
- I acknowledge that HKIB has the right to withdraw AAMLPA Certification if I do not meet the requirements.
- I understand that as a member of the HKIB, I shall be bound by the prevailing rules and regulations of the Institute. I agree to abide by HKIB's rules and regulations in HKIB Members' Handbook.
- I agree to notify HKIB of any material changes to my responses to any of the questions in this application, including my contact details. I understand and agree that HKIB may investigate the statements I have made with respect to this application, and that I may be subject to disciplinary actions for any misrepresentation (whether fraudulent and otherwise) in this application.
- I understand and agree to comply with all conditions, requirements, policies and procedures established by HKIB as may be amended from time to time.
- I confirm that I have read and understood the Policy of Personal Data Protection set out on the HKIB website at <https://www.hkib.org/>, and consent to the terms set out therein. I also understand that the Institute will use the information provided and personal data collected for administration and communication purposes.
- I understand that Professional Membership shall run from 1 January to 31 December in each calendar year. Members who fail to pay their subscription/certification fees by 31 January of each calendar year will be treated as default members and the reinstatement policy will therefore be applied.
- I understand that it is compulsory for all individuals to maintain a valid membership status with HKIB if the applicants want to be certified and maintain HKIB professional designations (e.g. CB, CB (Stage II), CB (Stage I), CFMP, AAMLPA, CAMLPA, ACsP, ACRP, CCRP(CL) and CCRP(CPM)). For all professional designation holders, they have to maintain HKIB professional membership status and fulfill annual CPD requirement.
- I attach herewith copies of "Certified for ECF on Anti-Money Laundering and Counter-Financing of Terrorism [AML/CFT]" or grandfathering approval letter.
- I have read and agreed to comply with the "Guidelines of Application for Certified AML Professional (CAMLPA) Certification" BEFORE completing this application form.

Lee  
**Signature of Applicant**  
 (Name: Lee Chi Nan) )

1 Feb 2020  
**Date**

Please "✓" the appropriate boxes.



## Application Form for Certified AML Professional (CAMLPA) Certification (with HKIB Professional Membership)

### HR Department Verification on Key Roles / Responsibilities for AML / CFT Practitioners

Note:

1. Please fill in ONE form for each relevant functional title / position in your application.
2. Please use BLOCK LETTERS for completion of the information requested below.
3. Criteria for CAMLP Certification Application: **3 years** of relevant work experience in AML/CFT compliance of AI.

Position / Functional Title	Compliance Manager
Full Name of Applicant (as set out on HKID / Passport)	Lee Chi Man
Name of Employer (Authorized Institution)	XYZ Bank
Business Division / Department	Legal and Compliance
Employment Period (DD / MM / YYYY)	From: 1 Feb 2016 To: 1 Feb 2020
Number of Years and Months in the AML / CFT Compliance Position	4 Years / Months (Please specify in the "Key Roles / Responsibilities" table)
Work Location	<input checked="" type="checkbox"/> Hong Kong <input type="checkbox"/> Others, please specify: _____

Please "✓" the appropriate boxes.



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Please tick the appropriate key roles / responsibilities in relation to your current and past functional title / position.

Key Roles / Responsibilities	Please ✓ where appropriate	
	Hong Kong	Others, please specify: _____
1. Develop, implement and periodically review the AML/CFT compliance risk management framework and the related controls for identification, management, monitoring and reporting of AML/CFT compliance risks and issues (including the operation of AML/CFT systems).	✓	
2. Review, analyse and communicate AML/CFT management information such as trends surrounding suspicious transactions / filed Suspicious Transaction Reports (STR) and sanctions screening hits. Report results of AML/CFT risk management reviews and identify key areas of improvements. Monitor remedial actions for identified weak AML/CFT controls that require corrective actions.	✓	
3. Evaluate and communicate new laws and regulations and stay abreast of all legislative and regulatory developments relating to AML/CFT, both at local and international levels.	✓	
4. Review suspicious activity that has been investigated and concluded as reportable and file STRs to the Joint Financial Intelligence Unit (JFIU) in accordance with regulatory requirements.	✓	
5. Plan periodic compliance tests on the bank's AML/CFT program against compliance testing policies, procedures and regulations.	✓	
6. Provide guidance and training to business units on AML/CFT related matters, including but not limited to transaction monitoring, filtering, sanctions screening, trade based money laundering and correspondent banking.		

Please "✓" the appropriate boxes.





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Key Roles / Responsibilities	Please ✓ where appropriate	
	Hong Kong	Others, please specify: _____
<b>7. Other Key Roles / Responsibilities related to AML / CFT compliance work (please specify):</b>  		

### Verification by HR Department

The employment information provided by the applicant in this form has been verified to be consistent with the information on the applicant which is retained by the HR department of the employer of the applicant where the firm has a record of this information.

Chan Tai Mun



Signature & Company Chop

31 Jan 2020

Date

Name: Chan Tai Mun

Department: HR Department

Position: HR Manager

**JOB EXPERIENCE WITHOUT  
COMPANY VERIFICATION  
WILL NOT BE COUNTED**



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**Document Checklist**

To facilitate the application process, please check the following items before submission to the Institute. Thank you.

- ☒ Completed and Signed Application Form
- ☒ Key Roles / Responsibilities verified by the HR/ relevant department of your organisation
- ☒ Certified true copies of your HKID / Passport enclosed<sup>2</sup>
- ☒ Copies of your examination result for ECF on Anti-Money Laundering and Counter-Financing of Terrorism [AML/CFT] (Professional Level)  
**OR** grandfathering approval letter enclosed **OR** letter of completion for bridging training programme
- ☒ Payment or evidence of payment enclosed (cheque or completed Credit Card Payment Instructions)

***We suggest that you keep a copy of all relevant documents for your own records, before submission.***

**FOR INSTITUTE USE ONLY**

Received by : \_\_\_\_\_ (Staff Name) \_\_\_\_\_ (Date)

Assessed by : \_\_\_\_\_ (Staff Name) \_\_\_\_\_ (Date)

Approved / Rejected : \_\_\_\_\_ (Staff Name) \_\_\_\_\_ (Date)

<sup>2</sup> Submitted copies of documents to the HKIB must be certified as true copies of the originals by:

- The HKIB staff; or
- HR/authorized staff of current employer(Authorized Institution); or
- A recognized certified public accountant / lawyer / banker / notary public; or
- Hong Kong Institute of Chartered Secretaries (HKICS) member.

Certifier must sign and date the copy document (printing his/her name clearly in capitals underneath) and clearly indicate his/her position on it. Certifier must state that it is a true copy of the original (or words to similar effect)

Please "✓" the appropriate boxes.



**SAMPLE**

香港永久性居民身份證

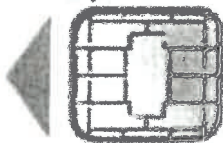
HONG KONG PERMANENT IDENTITY CARD

**COPY**

李 智 能

LEE, Chi Nan

樣本 SAMPLE



2621 2535 9174

出生日期 Date of Birth

01-01-1968

女 F

\*\*\*AZ

簽發日期 Date of issue

(01-79)

15-09-03

C668668(E)



CERTIFIED TRUE COPY

THE HONG KONG INSTITUTE OF BANKERS

→ Name of Org.  
(Company Chop)

陳太文

Signature

Staff Name: Chen Tai Man (HR Manager)

Date: 31 Jan 2020

**ID Copy without company or HKIB Verification will not be processed**