(For office use only)
Received on:
Acknowledged on:
Application no:

Grandfathering and/or Certification Application Form for ECF on Fintech (Core Level)

Important notes:

1. The application is only for the **Relevant Practitioner** engaged by Authorized Institutions (AIs) at the time of application **ONLY**.

2. Read carefully the Guidelines for ECF on Fintech Grandfathering (FIN-G-007) or Guidelines for ECF on Fintech Certification (FIN-G-008) **BEFORE** completing this application form.

3. Only the **completed application form** with all valid supporting documents, including the HR verification forms, will be processed.

Section A: Personal Particulars[1]

Title: ☐ Mr ☐ Ms ☐ Dr ☐ Prof	HKIB Member: ☐ Yes _____ ☐ No *(Membership No.)*
Name in English:[2] *(Surname)* *(Given Name)*	Name in Chinese:[2]
HKID/Passport Number*:*	Date of Birth: *(DD/ MM/ YYYY)*

Contact information	
Mobile Phone Number:	(Primary) Email Address[3]: (Secondary) Email Address:
Correspondence Address:	

Employment information	
Name of Current Employer:	Office Telephone Number:
Position/Functional Title:	Department:
Office Address:[4]	

Academic and Professional Qualification		
Highest Academic Qualification Obtained:	University/Tertiary Institution:	Date of Award:
Other Professional Qualifications:	Professional Bodies:	

1. Put a "✓" in the appropriate box(es).
2. Information as shown on identity document.
3. All the HKIB communication will be sent to the Primary Email Address
4. Provide if not the same as the correspondence address above

Section B: Indication of Application Types

Indicate the type(s) of application by putting a "✓" in the appropriate box.

Put a "✓" in both boxes for Type 1 and Type 2 if you would like to apply for both grandfathering and certification.

☐ **Type 1: Grandfathering Application for ECF on Fintech (Core Level)**

Eligibility: Possessing at least 3 years of relevant work experience in Fintech projects and/or any of the functions as specified in the "Key Roles/Responsibilities" of Role 1 to Role 4 of the **HR verification Annex (Core Level)** (p.AC2–AC3); and employed by an AI at the time of application.

☐ **Type 2: Associate Fintech Professional (CPFinT(A)) Certification Application**

Eligibility: ☐ **Option I:**

- With grandfathered status of ECF on Fintech (Core Level); and
- Employed by an AI at the time of application.

☐ **Option II:**

- Completion of Module 1 to Module 4 of ECF-Fintech Core Level training programme; and
- Possessing at least 1 year of relevant work experience in Fintech projects and/or any of the functions as specified in the "Key Roles/Responsibilities" of Role 1 to Role 4 of the **HR verification Annex (Core Level)** (p.AC2-AC3).

Section C: Relevant Employment History

List all the relevant employment history in the Fintech or related functions in **reverse chronological order**. Work experience does not need to be continuous. Each position listed requires completing a separate **HR Verification Annex (Core Level)** form (p.AC2–AC3).

Job Number	Employer	Position	Employment Period for the position *(DD/ MM/ YYYY)*
Current			From To
Job 2			From To
Job 3			From To

Total relevant work experience: _____ year(s) _____ month(s)

Total number of **HR Verification Annex (Core Level)** form submitted: _____

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Section D: Declaration related to Disciplinary Actions, Investigations for Non-compliance, and Financial Status

Put a "✓" in the appropriate box(es). If you have answered "Yes" to any of the questions, provide details by attaching all relevant documents relating to the matter(s).

1.	Have you ever been reprimanded, censured, disciplined by any professional or regulatory authority?	☐ Yes ☐ 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?	☐ Yes ☐ No
3.	Have you ever been investigated about offences involving fraud or dishonesty, or adjudged by a court to be criminally or civilly liable for fraud, dishonesty, or misfeasance?	☐ Yes ☐ 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	☐ Yes ☐ No
5.	Have you ever been adjudged bankrupt, or served with a bankruptcy petition?	☐ Yes ☐ No

Section E: Payment

Payment amount	
☐ Grandfathering application (Core Level)	HKD1,050
☐ 1st Certification Fee for CPFinT(A) *(valid until 31 December 2022)*	
☐ Not currently a HKIB member	HKD1,650
☐ <u>Current and valid</u> HKIB Ordinary member	HKD570
☐ <u>Current and valid</u> HKIB Professional member	Waived
☐ <u>Current and valid</u> Senior member	HKD1,450
☐ HKIB Default member	HKD3,650*
Total amount: HKD _____	
*HKD2,000 reinstatement fee + HKD1,650 certification fee	

Payment method
☐ Paid by Employer
☐ Company cheque (cheque no: _____)
☐ Company invoice (_____)
☐ A cheque/ e-Cheque made payable to "**The Hong Kong Institute of Bankers**" (cheque no. _____). For e-Cheque, please state "ECF on Fintech (Core Level) Grandfathering and Certification" under "remarks" and email together with the completed application form to cert.gf@hkib.org .
☐ Credit card
☐ Visa
☐ Master
Card no: ☐☐☐☐ - ☐☐☐☐ - ☐☐☐☐ - ☐☐☐☐
Expiry date (MM/YY): ☐☐ / ☐☐
Name of Cardholder (as on credit card): _____
Signature (as on credit card): _____

Section F: Statement on Collection of Personal Data

- It is necessary for applicants to supply their personal data and to provide all the information requested in the application documents, otherwise, the HKIB may be unable to process and consider their applications.

- The personal data provided in this form will be used for processing your application for membership, training, examination, exemption, certification, statistical, and programme information update purposes. The data will be solely handled by the HKIB staff but may be transferred to an authorized third-party providing services to the HKIB in relation to the above purposes and prescribed purposes as allowed by the law from time to time.

- When the processing and consideration of all the applications for particular training, examination, membership enrolment, exemption, and certification have been completed, the application papers of successful candidates will serve as part of the applicant's official records and will be handled by the HKIB staff in relation to the stated purposes. For unsuccessful applications, we only keep your personal data for as long as we reasonably require and, in any event only for as long as the law allows. In all such circumstances, please be assured that any personal information you supply will be kept strictly confidential.

- Applicants understand that they have the right to check whether the HKIB holds personal data about them and that, if so, they have a right of access to their personal data. They can request the 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 the HKIB is permitted by law to charge a reasonable fee for the processing of any data access request.

- Personal data provided on the application form will be used by the 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.

☐ *The HKIB would like to provide the latest information to you via weekly eNews. If you do not wish to receive it, please tick the box.*

The Hong Kong Institute of Bankers
香　港　銀　行　學　會

Section G: Acknowledgement and Declaration

- I declare that all information I have provided in this form is true and correct.

- I understand that the fees paid are non-refundable and non-transferable.

- I authorize the HKIB to obtain the relevant authorities to release, any information about my qualifications and/ or employment as required for my application.

- I acknowledge that the HKIB has the right to withdraw approval of grandfathering and/or certification status if I do not meet the requirements. I understand and agree that the 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 or otherwise) in this application.

- I confirm that I have read and understood the Policy of Personal Data Protection Statement set out on the HKIB website at http://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 have read and agreed to comply with the "Guideline for ECF on Fintech Grandfathering" (FIN-G-007) and "Guideline for ECF on Fintech Certification" (FIN-G-008).

Document Checklist

To facilitate the application process, please check the following items before submitting them to the HKIB. Failure to submit the documents may cause delays or termination of the application. Please "✓" the appropriate box(es).

☐   All necessary fields on this application form filled in including your signature
☐   The completed form(s) of **HR Verification Annex (Core Level)** fulfilling the requirements as stipulated for grandfathering and/or certification application
☐   Certified true copies of your HKID/Passport[5]
☐   Payment or evidence of payment enclosed (e.g., cheque or completed Credit Card Payment Instructions)

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[5] 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.
- The certifier must sign and date the copy document (printing his/her name clearly in capital letters underneath) and clearly indicate his/her position on it. The certifier must state that it is a true copy of the original (or words to similar effect).

Signature of Applicant   Date
(Name:)

Grandfathering and/or Certification Application Form for ECF on Fintech (Core Level)

HR Department Verification Form on Key Roles/Responsibilities for Fintech Practitioner

(For entry-level and junior level staff with 0-5 years of experience)

Important notes:
1. All information filled in including company chop must be true and original.
2. Fill in **ONE** completed HR Verification Annex (Core Level) form for **EACH** relevant position/functional title in your application.   A completed Application Form for ECF on Fintech (Core Level) should contain p.1-6 plus the **HR Verification Annex (Core Level)** form.   You can make copies of the **HR Verification Annex (Core Level)** form (p.AC1-AC3) for your use.
3. Use BLOCK LETTERS to complete the **HR Verification Annex (Core Level)** form.
4. The same set of HR verification document(s) can support both applications of grandfathering and certification in one submission.   Separate submissions of grandfathering or certification applications will require another set of original HR verification document(s) even if the information contained is identical.

Employment Information	
Name of the applicant:	
HKID/Passport number:	
Job number (as stated in Section C of p.2):	Current/Job no:
Position/Functional title:	
Name of employer:	
Business division/department:	
Employment period of the stated position/ functional title: *(DD/ MM/ YYYY)*	From: To:
Key roles/responsibilities in relation to the stated position/functional title: *(Tick the appropriate box(es); Application will be processed based on the role(s) ticked)*	☐ Role 1 – Fintech Solution Development *(fill in p.AC2)* ☐ Role 2 – Fintech Product Design *(fill in p.AC2)* ☐ Role 3 – Fintech Strategy and Management *(fill in p.AC3)* ☐ Role 4 – Regtech *(fill in p.AC3)*
Total number of years and months of carrying out any of the above specified role(s) function in the stated position	_____years _____months

AC1

Tick in the appropriate "Key Roles/Responsibilities" in relation to your position/functional title stated on p.AC1 of the **HR Verification Annex (Core Level)** form.

Key Roles/Responsibilities	Please "✓" where appropriate
☐ **Role 1 – Fintech Solution Development**	
1. Keep abreast of latest Fintech developments including Fintech products, innovative tools and solutions, emerging technologies, and best practices	
2. Analyse Fintech application use cases and business requirements, and formulate technical specifications for Fintech applications and solutions	
3. Develop Proof-of-Concept and coordinate the evaluation process	
4. Assist in technical design, development, integration, and implementation of Fintech solutions and applications	
5. Use some advanced and specialized skills in support of test plan, test cases/scripts, test environments, test data, and perform testing	
6. Work closely in a team environment and meet Fintech project schedules	
Key Roles/Responsibilities	Please "✓" where appropriate
☐ **Role 2 – Fintech Product Design**	
1. Design and develop Fintech products in response to the rapidly changing business environment and user needs	
2. Use some advanced and specialised skills to analyse the needs and opportunities for new Fintech products to improve user experience	
3. Propose Fintech product development strategies and participate in the product management cycle	
4. Compile metrics to meet business needs and objectives	
5. Collaborate with different business units to understand their priorities and elaborate requirements on features and functionalities for Fintech products	
6. Exercise appropriate judgment in recommending applicable regulatory and business requirements for product compliance	

AC2

Key Roles/Responsibilities	Please "✓" where appropriate
☐ **Role 3 – Fintech Strategy and Management**	
1. Study the capabilities of emerging technologies and identify opportunities to improve banking operations and products by formulating and demonstrating use cases of technologies	
2. Keep abreast of the latest Fintech regulatory requirements, industry initiatives, and best practices	
3. Analyse and study business objectives and requirements on Fintech development	
4. Follow up, monitor, and support the AI's Fintech strategic initiatives and business/partnership development	
5. Drive Fintech initiatives/projects and act as the key interface between external parties, business users, and technical teams in support of project co-ordination	

Key Roles/Responsibilities	Please "✓" where appropriate
☐ **Role 4 – Regtech**	
1. Observe the development around best practices for the use of Regtech	
2. Assist in drafting and revising policies and guidelines taking into account regulatory requirements and technology development to ensure adherence to the best practices for Regtech application	
3. Keep abreast of the capabilities of emerging technologies and identify opportunities and use cases for Regtech to transform risk management and regulatory compliance	
4. Assist in performing gap analysis of Regtech maturity, taking into consideration the advancement in innovative technologies	
5. Conduct Regtech vendor solution assessment and regulatory and business requirement conversion	
6. Assist in the development of Regtech solutions/proof-of-concepts	

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 that is retained by the HR department of the applicant's employer (where the organisation has a record of this information).
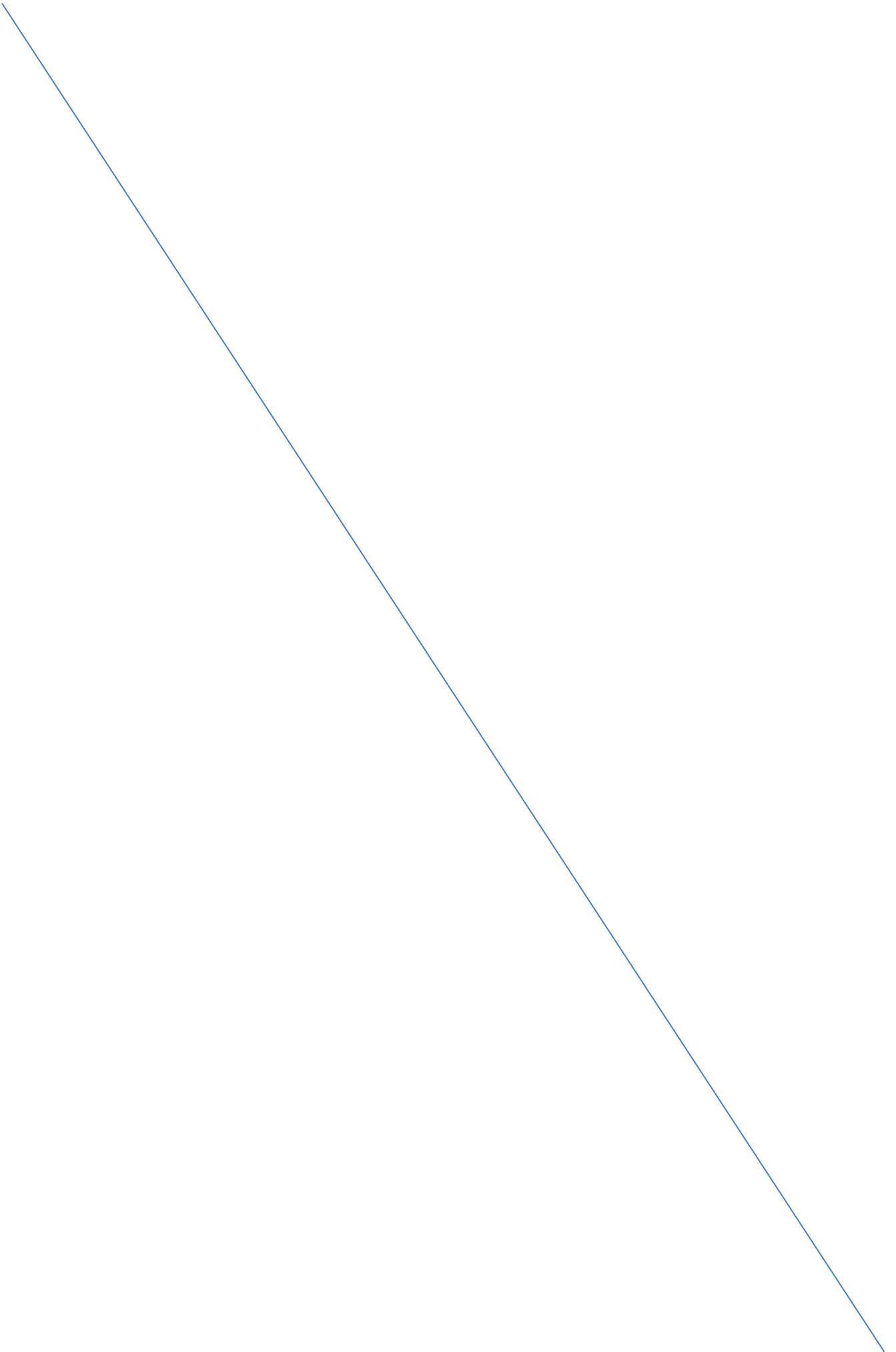
_____
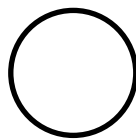
Signature & Company Chop

_____

Date

Name: _____

Department & Position: _____

AC3

The Hong Kong Institute of Bankers

Authorization for Disclosure of Personal Information to a Third Party

I, _____, *(name of applicant)* hereby authorize The Hong Kong

Institute of Bankers (HKIB) to disclose my results and progress of the "Grandfathering/Examination/

Certification/Exemption results for ECF on Fintech (Core Level)" to

_____ *(applicant's bank name)* for HR and Internal Record.

Signature: HKIB Membership No./HKID No.*:

_____   _____

Date: Contact Phone No.:

_____   _____

*The HKIB Membership No./HKID No. is needed to verify your identity. We may also need to contact you concerning the authorization.

Important notes:

1. Personal information includes but is not limited to grandfathering/examination/certification/exemption results of a module/designation and award(s) achieved.
2. Original copy of this signed authorization form must be submitted to the HKIB. Electronic or photocopied signatures are not acceptable.
3. Applicant may rescind or amend consent in writing to the HKIB at any time, except where action has been taken in reliance on this authorization.

AF1