



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 Particulars¹

Title: <input type="checkbox"/> Mr <input type="checkbox"/> Ms <input type="checkbox"/> Dr <input type="checkbox"/> Prof		HKIB Member: <input type="checkbox"/> Yes _____ <input type="checkbox"/> 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.

<input type="checkbox"/> 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.
<input type="checkbox"/> Type 2: Associate Fintech Professional (CPFinT(A)) Certification Application
Eligibility: <input type="checkbox"/> Option I: <ul style="list-style-type: none"> • With grandfathered status of ECF on Fintech (Core Level); and • Employed by an AI at the time of application. <input type="checkbox"/> Option II: <ul style="list-style-type: none"> • 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: _____



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?	<input type="checkbox"/> Yes <input 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 type="checkbox"/> 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?	<input type="checkbox"/> Yes <input 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	<input type="checkbox"/> Yes <input type="checkbox"/> No
5. Have you ever been adjudged bankrupt, or served with a bankruptcy petition?	<input type="checkbox"/> Yes <input type="checkbox"/> No



Section E: Payment

Payment amount	
<input type="checkbox"/> Grandfathering application (Core Level)	HKD1,050
<input type="checkbox"/> 1 st Certification Fee for CPFInT(A) (valid until 31 December 2022)	
<input type="checkbox"/> Not currently a HKIB member	HKD1,650
<input type="checkbox"/> <u>Current and valid</u> HKIB Ordinary member	HKD570
<input type="checkbox"/> <u>Current and valid</u> HKIB Professional member	Waived
<input type="checkbox"/> <u>Current and valid</u> Senior member	HKD1,450
<input type="checkbox"/> HKIB Default member	HKD3,650*
Total amount: HKD _____	
<i>*HKD2,000 reinstatement fee + HKD1,650 certification fee</i>	
Payment method	
<input type="checkbox"/> Paid by Employer <ul style="list-style-type: none"> <input type="checkbox"/> Company cheque (cheque no: _____) <input type="checkbox"/> Company invoice (_____) 	
<input type="checkbox"/> 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 .	
<input type="checkbox"/> Credit card <ul style="list-style-type: none"> <input type="checkbox"/> Visa <input type="checkbox"/> Master 	
Card no:	<div style="display: flex; justify-content: space-around; align-items: center;"> <div style="border: 1px solid black; width: 30px; height: 20px;"></div> <div style="border: 1px solid black; width: 30px; height: 20px;"></div> <div style="border: 1px solid black; width: 30px; height: 20px;"></div> <div style="border: 1px solid black; width: 30px; height: 20px;"></div> - <div style="border: 1px solid black; width: 30px; height: 20px;"></div> <div style="border: 1px solid black; width: 30px; height: 20px;"></div> <div style="border: 1px solid black; width: 30px; height: 20px;"></div> <div style="border: 1px solid black; width: 30px; height: 20px;"></div> - <div style="border: 1px solid black; width: 30px; height: 20px;"></div> <div style="border: 1px solid black; width: 30px; height: 20px;"></div> <div style="border: 1px solid black; width: 30px; height: 20px;"></div> <div style="border: 1px solid black; width: 30px; height: 20px;"></div> </div>
Expiry date (MM/YY):	<div style="display: flex; justify-content: center; align-items: center;"> <div style="border: 1px solid black; width: 30px; height: 20px;"></div> / <div style="border: 1px solid black; width: 30px; height: 20px;"></div> </div>
Name of Cardholder (as on credit card):	_____
Signature (as on credit card):	_____



香 港 銀 行 學 會

The Hong Kong Institute of Bankers

Section F: Privacy Policy Statement

It is our policy to meet fully the requirements of the Personal Data (Privacy) Ordinance. HKIB recognises the sensitive and highly confidential nature of much of the personal data which that it handles, and maintains a high level of security in its work. HKIB does its best to ensure compliance with the Ordinance by providing guidelines to and monitoring the compliance of the relevant parties.

For more details, please refer to this [Privacy Policy Statement](#) or contact us at the address and telephone number below:

The Hong Kong Institute of Bankers

3/F Guangdong Investment Tower, 148 Connaught Road Central, Hong Kong

Tel.: (852) 21537800

Fax: (852) 25449946

Email: cs@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.



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 [Privacy Policy Statement](http://www.hkib.org) 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/Passport⁵
- Payment or evidence of payment enclosed (e.g., cheque or completed Credit Card Payment Instructions)

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

(Name: _____)

Date

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)	<input type="checkbox"/> Role 1 – Fintech Solution Development (fill in p.AC2) <input type="checkbox"/> Role 2 – Fintech Product Design (fill in p.AC2) <input type="checkbox"/> Role 3 – Fintech Strategy and Management (fill in p.AC3) <input type="checkbox"/> 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

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.

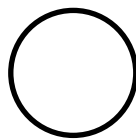
Key Roles/Responsibilities	Please “√” where appropriate
<input type="checkbox"/> Role 1 – Fintech Solution Development	
1. Keep abreast of latest Fintech developments including Fintech products, innovative tools and solutions, emerging technologies, and best practices	
2. Analyse Fintech application 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
<input type="checkbox"/> 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	



Key Roles/Responsibilities		Please "✓" where appropriate
<input type="checkbox"/> 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
<input type="checkbox"/> 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).

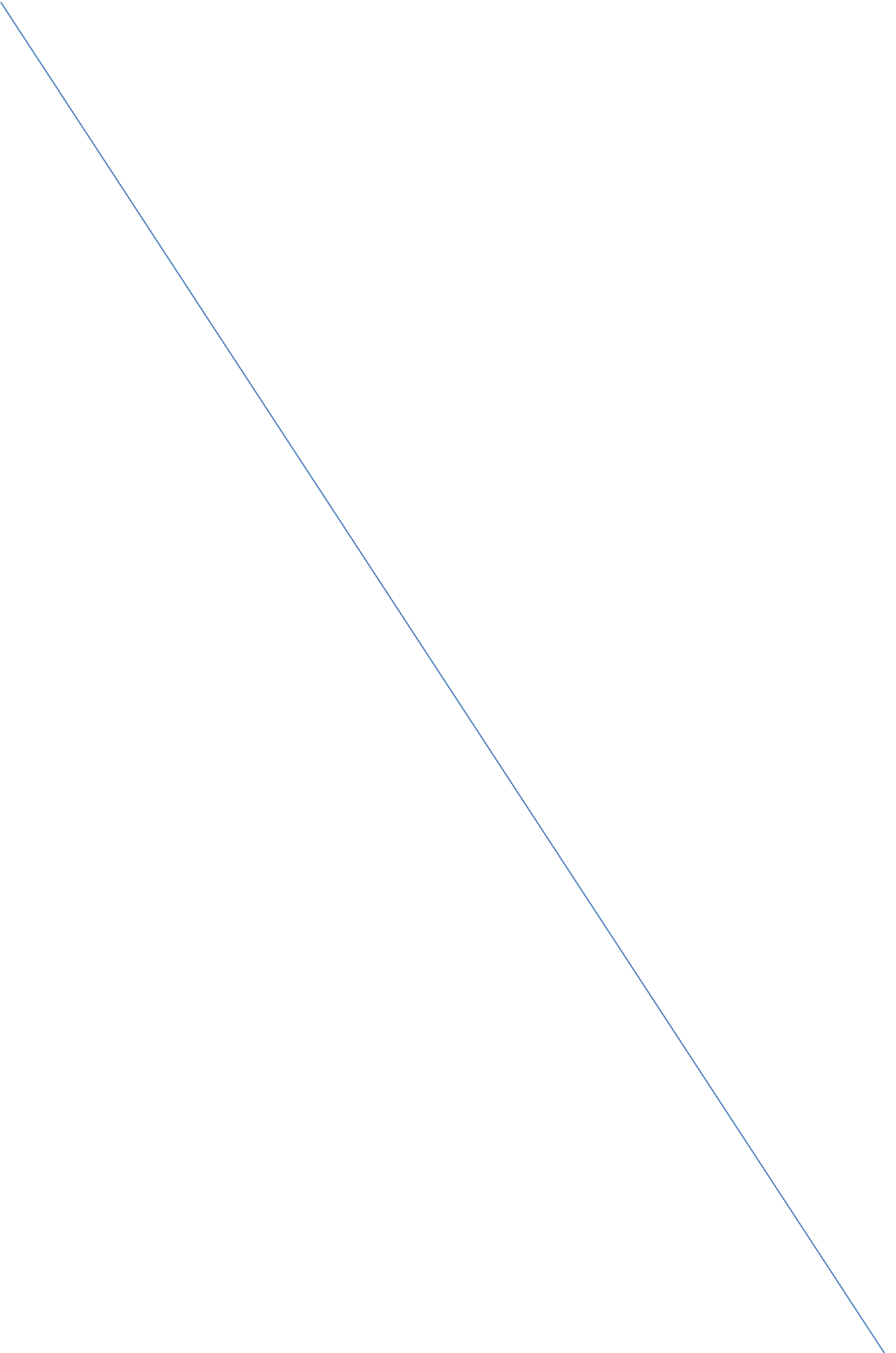


Signature & Company Chop

Date

Name: _____

Department & Position: _____





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.