



Received on:

Acknowledged on:

Application no:

## Grandfathering and/or Certification Application Form for ECF on Fintech (Professional 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<sup>1</sup>

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 <i>(Membership No.)</i>	
Name in English: <sup>2</sup>  <i>(Surname) (Given Name)</i>		Name in Chinese: <sup>2</sup>	
HKID/Passport Number:		Date of Birth: <i>(DD/MM/YYYY)</i>	
<b>Contact information</b>			
Mobile Phone Number:		(Primary) Email Address <sup>3</sup> :	
		(Secondary) Email Address:	
Correspondence Address:			
<b>Employment information</b>			
Name of Current Employer:		Office Telephone Number:	
Position/Functional Title:		Department:	
Office Address: <sup>4</sup>			
<b>Academic and Professional Qualifications</b>			
Highest Academic Qualification Obtained:		University/Tertiary Institution:	Date of Award:
Other Professional Qualifications:		Professional Bodies:	

<sup>1</sup> Put a "✓" in the appropriate box(es)

<sup>2</sup> Information as shown on identity document

<sup>3</sup> All the HKIB communication will be sent to the Primary Email Address

<sup>4</sup> 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 (Professional Level)

Track:  ECF on Fintech (Professional Level) -- Management Track and/or

ECF on Fintech (Professional Level) -- Specialist Track

Please indicate your stream(s):

(I): AI and Big Data Stream

(II): Distributed Ledger Technology Stream

(III): Open Banking and API Stream

(IV): Regtech Stream

Eligibility\*: Possessing at least 6 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 (Professional Level)** form (p.AP2–AP4), of which at least 3 years are gained from respective Professional Level job roles; and employed by an AI at the time of application.

### Type 2: Certified Fintech Professional (Management Track) (CPFinT(M)) and/or Certified Fintech Professional (Specialist Track) (CPFinT(S)) Certification Application

Professional Qualification:  CPFinT(M) - Management Track and/or  CPFinT(S) - Specialist Track

Eligibility\*:  CPFinT(M) - Management Track:

Option I:

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

(Con't)



**Option II:**

- Completion of Modules 5, 9 and 10 of the HKIB ECF-Fintech Professional Level training programme on top of the Core Level qualification; and
- 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 2 and Role 3 of the **HR Verification Annex (Professional Level)** form (p.AP2-AP4).

**CPFinT(S) - Specialist Track:**

**Option I:**

- With grandfathered status of ECF on Fintech (Professional Level) of the respective stream(s) of the Specialist Track; and
- Employed by an AI at the time of application.

**Option II:**

- Completion of Module 5 of the HKIB ECF-Fintech Professional Level training programme and one of the modules in Module 6, 7, 8, or 11 to fulfill the technical specialist stream(s) on top of Core Level qualification; and
- 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 and/or Role 4 of the **HR Verification Annex (Professional Level)** form (p.AP2-AP4).

*\*Application will be processed based on the option(s) you chose.*



### Section C: Relevant Employment History

List all the relevant employment history in the Fintech or related function in **reverse chronological order**. Work experience does not need to be continuous. Each position listed requires completing a separate **HR Verification Annex (Professional Level)** form (p.AP2–AP4).

Job Number	Employer	Position	Employment Period for the position (DD/MM/YYYY)
<b>Current</b>			From To
<b>Job 2</b>			From To
<b>Job 3</b>			From To
<b>Job 4</b>			From To
<b>Job 5</b>			From To
<b>Job 6</b>			From To
<b>Job 7</b>			From To
<b>Job 8</b>			From To
<b>Job 9</b>			From To

Total relevant work experience: \_\_\_\_\_ year(s) \_\_\_\_\_ month(s)

Total number of **HR Verification Annex (Professional 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 required by law?	<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

- Grandfathering application (Professional Level)
  - Management Track only HKD1,050
  - Specialist Track (1 Stream) only HKD1,050
  - Both Management Track and Specialist Track (1 Stream) HKD1,550
  - Specialist Track (2 Streams) HKD1,550
  - Management Track and Specialist Track (2 Streams or above) HKD2,050
  - Specialist Track (3 Streams or above) HKD2,050
- 1<sup>st</sup> Certification Fee for CPFInT(M) and/or CPFInT(S) (valid until 31 December 2022)
  - Not currently a HKIB member HKD1,650
  - Current and valid HKIB Ordinary Member HKD570
  - Current and valid HKIB Professional Member Waived
  - Current and valid 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 (Professional Level) Grandfathering and Certification” under “remarks” and email with the completed application form to [cert.gf@hkib.org](mailto: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): \_\_\_\_\_



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](mailto: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 (Professional Level)** fulfilling the requirements as stipulated for grandfathering and/or certification application
- Certified true copies of your HKID/Passport<sup>5</sup>
- Payment or evidence of payment enclosed (e.g. cheque or completed Credit Card Payment Instructions)

<sup>5</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.
- 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 (Professional Level)

HR Department Verification Form (Professional Level) on Key Roles/Responsibilities for Fintech Practitioner

**(For middle-level and senior positions in the fintech function with 6+ years of experience)**

**Important notes:**

- All information filled in including company chop must be true and original.
- Fill in **ONE completed HR Verification Annex (Professional Level) form for EACH relevant position/functional title** in your application. A completed Application Form for ECF on Fintech (Professional Level) should contain p.1-8 plus the **HR Verification Annex (Professional Level) form**. You can make copies of the **HR Verification Annex (Professional Level) form** (p.AP1-AP4) for your use.
- Use BLOCK LETTERS to complete the **HR Verification Annex (Professional Level) form**.
- 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.4):	Current/Job no:
Position/Functional title:	
Name of employer:	
Business division/department:	
Employment period of the stated functional title/position: (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 ( <i>fill in p.AP2</i> ) <input type="checkbox"/> Role 2 – Fintech Product Design ( <i>fill in p.AP2-AP3</i> ) <input type="checkbox"/> Role 3 – Fintech Strategy and Management ( <i>fill in p.AP3</i> ) <input type="checkbox"/> Role 4 – Regtech ( <i>fill in p.AP3-AP4</i> )
Total number of years and months of carrying out any of the above specified role(s) function in the stated position	_____ years _____ months



Tick the appropriate “Key Roles/Responsibilities” in relation to your position/functional title stated on p.AP1 of the **HR Verification Annex (Professional Level)** form.

Key Roles/Responsibilities	Please “√” where appropriate
<input type="checkbox"/> <b>Role 1 – Fintech Solution Development</b> Please indicate your stream(s): <ul style="list-style-type: none"> <li><input type="checkbox"/> AI and Big Data Stream (CPFinT(S-AIBD))</li> <li><input type="checkbox"/> Distributed Ledger Technology Stream (CPFinT(S-DLT))</li> <li><input type="checkbox"/> Open Banking and API Stream (CPFinT(S-OBAPI))</li> </ul>	
1. Take ownership of know-how on specific Fintech domain(s), techniques, models, and frameworks	
2. Provide advice on the architecture design of Fintech projects across the AI	
3. Guide the technical requirements and design of Fintech solutions for Fintech projects	
4. Lead the development and implementation of in-house Fintech solutions for Fintech projects	
5. Work closely with product team, risk team and end users to ensure technical compatibility, compliance with standards (such as internal coding standards and security standards), sound risk control and good customer experience	
6. Ensure software development life cycle is in compliance with the information security and cyber resilience standards of the AI	
Key Roles/Responsibilities	Please “√” where appropriate
<input type="checkbox"/> <b>Role 2 – Fintech Product Design</b>	
1. Keep abreast of latest market trends, analyse customers’ behavior, key financial drivers and competitors’ strategy to maintain competitiveness in the market	
2. Drive Fintech product development and enhancement to meet business objectives and user needs	
3. Formulate Fintech product strategy and create key metrics to track outcome after product release	
4. Work closely with different business units to prioritise Fintech product features and formulate product roadmap	



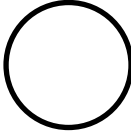
5. Ensure the development of Fintech products is in compliance with the information security and cyber resilience standards of the AI	
6. Provide risk control advice on applicable regulatory and business requirements	
<b>Key Roles/Responsibilities</b>	Please “√” where appropriate
<input type="checkbox"/> <b>Role 3 – Fintech Strategy and Management</b>	
1. Formulate strategic directions for the AI’s future growth	
2. Drive Fintech initiatives and lead a team to act as interface between cross-functional teams in Fintech implementation projects	
3. Collaborate with development team and business units in the planning, design, development, and deployment of Fintech solutions across the AI	
4. Lead cost-benefit and return on investment analyses for proposed solutions to assist senior management in making implementation decisions	
5. Engage with the external Fintech ecosystem to explore potential collaborations and opportunities	
6. Ensure the development of Fintech products is in compliance with the information security and cyber resilience standards of the AI	
<b>Key Roles/Responsibilities</b>	Please “√” where appropriate
<input type="checkbox"/> <b>Role 4 – Regtech</b>	
1. Define, implement and be accountable for the Regtech adoption life cycle (e.g. RegTech strategy and governance)	
2. Lead the change management and transformation to accomplish the successful Regtech initiative delivery in areas including but not limited to data analytics, agile practices, vendor selection, and IT infrastructure integration. In particular, identify and collaborate with internal and external stakeholders to ensure successful implementation of Regtech solutions	



3. Keep abreast of emerging technologies and best practices development in different application areas (e.g. technology-related risk management, conduct risk management, and customer protection) relevant to Regtech adoption of AIs	
4. Advise risk and compliance function on robust organisational risk management policies and guidelines and best professional practices in areas including but not limited to cyber risk, market and liquidity risk, credit risk and customer data and privacy	
5. Advise on the potential Regtech application areas (e.g. maintaining obligation inventory, cross-border and local regulatory compliance, horizon scanning, and operational resilience) which could present opportunities to realise benefits for AIs' risk management and regulatory compliance	

**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 (Professional 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.