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 of ECF on Fintech Grandfathering (FIN-G-007) or Guidelines of Certification Application for ECF on Fintech (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] Wong Siu Man *(Surname)* *(Given Name)*	Name in Chinese:[2] 黃小敏
HKID/Passport Number: Y111222(3)	Date of Birth: *(DD/MM/YYYY)* 31/Dec/1975

Contact information	
Mobile Phone Number.: 9222-9222	(Primary) Email Address[3]: siumanwong@gmail.com (Secondary) Email Address: marywong@abc.com
Correspondence Address: Flat 8, 18/F, Block A, Health Garden, North Point, Hong Kong	

Employment information	
Name of Current Employer: ABC Bank	Office Telephone Number: 2211-2211
Position/Functional Title: Assistant Vice President - IT	Department: System and Data
Office Address:[4] 8/F, ABC Bank Tower, 8 Garden Road, Central	

Academic and Professional Qualifications		
Highest Academic Qualification Obtained: MSc in Data Analyst	University/Tertiary Institution: Oxford University	Date of Award: July 2003
Other Professional Qualifications: N.A.	Professional Bodies: N.A.	

[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 (Professional Level)**

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

Please indicate your stream(s) of Specialist Track:

☑ (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: Certification Application for**
  Certified Fintech Professional (Management Track) (CPFinT(M)) and/or
  Certified Fintech Professional (Specialist Track) (CPFinT(S))

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 9 and 10 of the HKIB ECF on Fintech Professional Level training programme on top of the Core Level qualification and

- Possessing at least 3 years of relevant work experience in Fintech pro ects 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).

and or

☑ **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 of the HKIB ECF on Fintech Professional Level training programme and one of the modules in Module 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 pro ects 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)	
Current	ABC Bank	Assistant Vice President - IT	From	01 Jan 2020
			To	30 Sep 2022
Job 2	ABC Bank	Senior Manager - IT	From	01 Jan 2014
			To	31 Dec 2019
Job 3	BCB Bank	Data Manager	From	01 Jan 2011
			To	31 Dec 2013
Job 4	BCB Bank	Data Analyst	From	01 Jan 2008
			To	31 Dec 2010
Job 5			From	
			To	
Job 6			From	
			To	
Job 7			From	
			To	
Job 8			From	
			To	
Job 9			From	
			To	

Total relevant work experience: _____14_____ year(s) _____9_____ month(s)

Total number of **HR Verification Annex (Professional Level)** form submitted: _____4_____

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 required by law?	☐ Yes	☑ No
5.	Have you ever been adjudged bankrupt, or served with a bankruptcy petition?	☐ Yes	☑ 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
☑ 1st Year Certification Fee for CPFinT(M) and/or CPFinT(S) *(valid until 31 December 2023)*	
☑ Not currently a HKIB member	HKD1,730
☐ <u>Current and valid</u> HKIB Ordinary Member	HKD600
☐ <u>Current and valid</u> HKIB Professional Member	Waived
☐ <u>Current and valid</u> Senior Member	HKD1,530
☐ HKIB Default Member	HKD3,730*

Total amount: HKD __$3,280_____

*HKD2,000 reinstatement fee + HKD1,730 certification fee

Payment method
☑ Paid by Employer
☐ Company cheque (cheque no: _____)
☑ Company invoice (Filled by HKIB)
☐ 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.
☐ Credit card
☐ Visa   ☐ Master

Card no: ☐☐☐☐ - ☐☐☐☐ - ☐☐☐☐ - ☐☐☐☐

Expiry date (MM/YY): ☐☐ / ☐☐

Name of Cardholder (as on credit card): _____

Signature (as on credit card): _____

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 of which 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) 2153 7800

Fax: (852) 2544 9946

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 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 "Guidelines of ECF on Fintech Grandfathering" (FIN-G-007) and "Guidelines of Certification Application for ECF on Fintech" (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[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
- Associateship/Fellowship of Chartered Governance Hong Kong.
- 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).

Mary Wong   01 October 2022

_____   _____
Signature of Applicant   Date

(Name: Wong Siu Man   )

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:
1. All information filled in including company chop must be true and original.
2. 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.
3. Use BLOCK LETTERS to complete the **HR Verification Annex (Professional 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:	Wong Siu Man
HKID/Passport number:	Y111222(3)
Job number (as stated in Section C of p.4):	(Current)/Job no:
Position/Functional title:	Assistant Vice President - IT
Name of employer:	ABC Bank
Business division/department:	System and Data
Employment period of the stated functional title/position: (DD/MM/YYYY)	From: 01 Jan 2020 To: 30 Sep 2022
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.AP2)* ☑ Role 2 – Fintech Product Design *(fill in p.AP2-AP3)* ☑ Role 3 – Fintech Strategy and Management *(fill in p.AP3)* ☐ Role 4 – Regtech *(fill in p.AP3-AP4)*
Total number of years and months of carrying out any of the above specified role(s) function in the stated position	2 years 9 months

AP1

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
☑ **Role 1 – Fintech Solution Development** Please indicate your stream(s): ☑ AI and Big Data Stream (CPFinT(S-AIBD)) ☑ Distributed Ledger Technology Stream (CPFinT(S-DLT)) ☑ Open Banking and API Stream (CPFinT(S-OBAPI))	
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
☑ **Role 2 – Fintech Product Design**	
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	✓

AP2

	Key Roles/Responsibilities	Please "✓" where appropriate
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	✓

Key Roles/Responsibilities	Please "✓" where appropriate

☑ **Role 3 – Fintech Strategy and Management**	
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	

Key Roles/Responsibilities	Please "✓" where appropriate

☐ **Role 4 – Regtech**	
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	

AP3

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).

Jimmy Wong   ABC Bank

01 October 2022

Signature & Company Chop   Date

Name: _____Jimmy Wong_____

Department & Position: ___Head of HR_____

AP4

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:
1. All information filled in including company chop must be true and original.
2. 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.
3. Use BLOCK LETTERS to complete the **HR Verification Annex (Professional 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:	Wong Siu Man
HKID/Passport number:	Y111222(3)
Job number (as stated in Section C of p.4):	**Current/Job no:** 2
Position/Functional title:	Senior Manager - IT
Name of employer:	ABC Bank
Business division/department:	System and Data
Employment period of the stated functional title/position: *(DD/MM/YYYY)*	From: 01 Jan 2014 To: 31 Dec 2019
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.AP2)* ☑ Role 2 – Fintech Product Design *(fill in p.AP2-AP3)* ☑ Role 3 – Fintech Strategy and Management *(fill in p.AP3)* ☐ Role 4 – Regtech *(fill in p.AP3-AP4)*
Total number of years and months of carrying out any of the above specified role(s) function in the stated position	6 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.
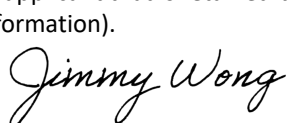
Key Roles/Responsibilities	Please "✓" where appropriate
☑ **Role 1 – Fintech Solution Development** Please indicate your stream(s): ☑ AI and Big Data Stream (CPFinT(S-AIBD)) ☑ Distributed Ledger Technology Stream (CPFinT(S-DLT)) ☑ Open Banking and API Stream (CPFinT(S-OBAPI))	
1. Take ownership of know-how 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
☑ **Role 2 – Fintech Product Design**	
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	✓

AP2

	Key Roles/Responsibilities	Please "✓" where appropriate
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	✓

Key Roles/Responsibilities	Please "✓" where appropriate

☑ **Role 3 – Fintech Strategy and Management**

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	

Key Roles/Responsibilities	Please "✓" where appropriate

☐ **Role 4 – Regtech**

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).

Jimmy Wong   ABC Bank

01 October 2022

Signature & Company Chop   Date

Name: ___Jimmy Wong_____

Department & Position: ___Head of HR_____

AP4

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:
1. All information filled in including company chop must be true and original.
2. 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.
3. Use BLOCK LETTERS to complete the **HR Verification Annex (Professional 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:	Wong Siu Man
HKID/Passport number:	Y111222(3)
Job number (as stated in Section C of p.4):	Current/Job no: 3
Position/Functional title:	Data Manager
Name of employer:	BCB Bank
Business division/department:	System and Big Data
Employment period of the stated functional title/position: *(DD/MM/YYYY)*	From: 01 Jan 2011 To: 31 Dec 2013
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.AP2)* ☑ Role 2 – Fintech Product Design *(fill in p.AP2-AP3)* ☑ Role 3 – Fintech Strategy and Management *(fill in p.AP3)* ☐ Role 4 – Regtech *(fill in p.AP3-AP4)*
Total number of years and months of carrying out any of the above specified role(s) function in the stated position	3 years --- months

AP1

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

☑ **Role 1 – Fintech Solution Development**
 Please indicate your stream(s):
   ☑ AI and Big Data Stream (CPFinT(S-AIBD))
   ☑ Distributed Ledger Technology Stream (CPFinT(S-DLT))
   ☑ Open Banking and API Stream (CPFinT(S-OBAPI))	

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
☑ **Role 2 – Fintech Product Design**	
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	✓

AP2

Key Roles/Responsibilities	Please "✓" where appropriate
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	✓

Key Roles/Responsibilities	Please "✓" where appropriate
☑ **Role 3 – Fintech Strategy and Management**	
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	

Key Roles/Responsibilities	Please "✓" where appropriate
☐ **Role 4 – Regtech**	
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	

AP3

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).

Jimmy Wong   ABC Bank   01 October 2022

Signature & Company Chop   Date

Name: _____Jimmy Wong_____

Department & Position: ____Head of HR_____

AP4

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:
1. All information filled in including company chop must be true and original.
2. Fill in **ONE completed HR Verification Annex (Professional Level) form** for **EACH relevant position/functional title** in your application. A completed <u>Application Form for ECF on Fintech (Professional Level)</u> 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.
3. Use BLOCK LETTERS to complete the **HR Verification Annex (Professional 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:	Wong Siu Man
HKID/Passport number:	Y111222(3)
Job number (as stated in Section C of p.4):	Current/Job no: 4
Position/Functional title:	Data Analyst
Name of employer:	BCB Bank
Business division/department:	System and Big Data
Employment period of the stated functional title/position: *(DD/MM/YYYY)*	From: 01 Jan 2008 To: 31 Dec 2010
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.AP2)* ☑ Role 2 – Fintech Product Design *(fill in p.AP2-AP3)* ☑ Role 3 – Fintech Strategy and Management *(fill in p.AP3)* ☐ Role 4 – Regtech *(fill in p.AP3-AP4)*
Total number of years and months of carrying out any of the above specified role(s) function in the stated position	3 _____years ---_____months

AP1

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

☑ **Role 1 – Fintech Solution Development**
Please indicate your stream(s):
    ☑ AI and Big Data Stream (CPFinT(S-AIBD))
    ☑ Distributed Ledger Technology Stream (CPFinT(S-DLT))
    ☑ Open Banking and API Stream (CPFinT(S-OBAPI))	

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
☑ **Role 2 – Fintech Product Design**	
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	✓

AP2

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	✓

Key Roles/Responsibilities	Please "✓" where appropriate
☑ **Role 3 – Fintech Strategy and Management**	
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	✓

Key Roles/Responsibilities	Please "✓" where appropriate
☐ **Role 4 – Regtech**	
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	

AP3

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).

Jimmy Wong   ABC Bank

01 October 2022

_____   _____
Signature & Company Chop   Date

Name: _____Jimmy Wong_____

Department & Position: _____Head of HR_____

AP4

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

Authorization for Disclosure of Personal Information to a Third Party

I, _____Wong Siu Man_____, *(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

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

Signature:

Mary Wong

_____

HKIB Membership No./HKID No.*:

Y111222(3)

_____

Date:

01 October 2022

_____

Contact Phone No.:

9222-9222

_____

*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.