

Received on:

Acknowledged on:

Application no:

**SAMPLE  
ONLY**

## Grandfathering and/or Certification Application Form for ECF on Compliance (Professional Level)

**Important notes:**

- The application is only for the **Relevant Practitioner** engaged by Authorized Institutions (AIs) at the time of application **ONLY**.
- Read carefully the "Guidelines of Grandfathering Application for ECF-Compliance" (COM-G-007) and "Guidelines of Certification Application for ACOP/CCOP(GC)/CCOP(IIC)" (COM-G-008) **BEFORE** completing this application form.
- 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 checked="" 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> Wong Siu Man <i>(Surname) (Given Name)</i>		Name in Chinese: <sup>2</sup> 黃小敏	
HKID/Passport Number: Y111222(3)		Date of Birth: (DD/MM/YYYY) 31/12/1975	
<b>Contact information</b>			
Mobile Phone Number: (Area Code) 9222-9222		(Primary) Email Address: <sup>3</sup> siumanwong@gmail.com (Secondary) Email Address: marywong@abc.com	
Correspondence Address: Flat 8, 18/F, Block A, Health Garden, North Point, Hong Kong			
<b>Employment information</b>			
Name of Current Employer: ABC Bank		Office Telephone Number: (Area Code) 2211-2211	
Position/Functional Title: Assistant Vice President		Department: Compliance Department	
Office Address: <sup>4</sup> 8/F, ABC Bank Tower, 8 Garden Road, Central			
<b>Academic and Professional Qualification</b>			
Highest Academic Qualification Obtained: MSc in Data Analyst		University/Tertiary Institution: Oxford University	Date of Award: 07/2003
Other Professional Qualifications: N.A.		Professional Bodies: N.A.	

- Put a "✓" in the appropriate box(es).
- Information as shown on identity document.
- All the HKIB communication will be sent to the Primary Email Address.
- 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-Compliance (Professional Level) only

Role:  **Role 1: General Compliance (GC)** and/ or  
 **Role 2: Investment and/or Insurance Compliance (IIC)**

Eligibility\*:

- Possessing at least 8 years of relevant work experience in the general compliance function (for Role 1) or in the investment and/or insurance compliance function (for Role 2) which is related to the tasks as specified in the "**Key Roles/Responsibilities**" of the **HR Verification Annex (Professional Level)** (p.AC2-AC4), of which at least 3 years must be gained from respective Professional Level job roles; and
- Employed by an AI at the time of application.

### Type 2: Certification Application for CCOP(GC) and/or CCOP(IIC)

Certification:  CCOP(GC) and/or  CCOP(IIC)

Eligibility\*:  Option I:

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

Option II (for CCOP(GC)):

- Completion of Module 4 of the ECF-Compliance Professional Level training programme on top of the Core Level certification; and
- 5 year's relevant work experience in the general compliance function within 10 years immediately prior to the date of application for certification, but does not need to be continuous; and
- Employed by an AI at the time of application.

Option III (for CCOP(IIC)):

- Completion of Module 4 and Module 5 of the ECF-Compliance Professional Level training programme on top of the Core Level certification; and
- 5 year's relevant work experience in the investment and/or insurance compliance function within 10 years immediately prior to the date of application for certification, but does not need to be continuous; and
- Employed by an AI at the time of application.

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

### Section C: Relevant Employment History

List all the relevant employment history in the general compliance function or in the investment and/or insurance compliance function in **reverse chronological order**. Work experience does not need to be continuous. Each position listed requires a separate HR Verification Annex (Core/ Professional Level).

Job Number	Employer	Position	Employment Period for the position (DD/MM/YYYY)
<b>Current</b>	ABC Bank	Assistant Vice President	From 01/01/2020 To 31/01/2023 or current
<b>Job 2</b>	ABC Bank	Senior Manager	From 01/01/2014 To 31/12/2019
<b>Job 3</b>	BCB Bank	Senior Officer	From 01/01/2007 To 31/12/2013
<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: 16 year(s) 1 month(s)  
 Total number of HR Verification Annex (Core/Professional Level) submitted: 3

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

**Section E: Payment**

**Payment amount**

- Type 1: Grandfathering application (Professional Level)
  - General Compliance (GC) HKD1,100
  - Investment and/or Insurance Compliance (IIC) HKD1,100
  - Both General Compliance (GC) and Investment and/or Insurance Compliance (IIC) HKD2,150
  
- Type 2: 1st Year Certification Fee for CCOP(GC) and/or CCOP(IIC)(*valid until 31 December 2023*)
  - Not currently a HKIB member HKD1,730
  - Current and valid HKIB Ordinary member HKD600
  - Current and valid HKIB Professional member Waived
  - Current and valid Senior member HKD1,530
  - HKIB Default member HKD3,730\*

**Total amount: HKD 3,880**

*\*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-Compliance Grandfathering and Certification” under ‘remarks’ and email together 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): \_\_\_\_\_

## 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](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](#) 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 Grandfathering Application for ECF- Compliance" (COM-G-007) and "Guidelines of Certification Application for ACOP/CCOP(GC)/ CCOP(IIC)" (COM-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
- Completed form(s) of HR Verification Annex 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
- 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*

01/02/2023

Signature of Applicant

Date

(Name: Wong Siu Man )

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**Grandfathering and/or Certification Application Form  
for ECF-Compliance (Professional Level)**

**HR Department Verification Form on Key Roles/Responsibilities for Compliance Practitioner**

**Important notes:**

1. All information filled in including company chop must be true and original.
2. Fill in **ONE complete HR Verification Annex form for EACH relevant position/ functional title** in your application. A completed application form should contain p.1-7. You can make sufficient copies of HR Verification Annex (Core Level) (p.AC1-AC4).
3. Use BLOCK LETTERS to complete HR Verification Annex (Core Level).
4. Same set of HR verification document(s) can support both application of grandfathering and certification in one submission.

Employment Information	
<b>Name of the applicant:</b>	Wong Siu Man
<b>HKID/passport number:</b>	Y111222(3)
<b>Job number (as stated in Section C in P.3):</b>	<b>Current/Job no:</b>
<b>Position/functional title:</b>	Assistant Vice President
<b>Name of employer:</b>	ABC Bank
<b>Business division/department:</b>	Compliance Department
<b>Employment period of the stated functional title/position:</b> (DD/MM/YYYY)	From: 01/01/2020 To: 31/01/2023 or current
<b>Key roles/ responsibilities in relation to the stated functional title/ position:</b> (Tick the appropriate box(es); Application will be processed based on the role(s) ticked)	<input checked="" type="checkbox"/> Role 1 – General Compliance  <input checked="" type="checkbox"/> Role 2 – Investment and Insurance
<b>Total number of years and months of carrying compliance function in the stated position</b>	3 years 1 months

Tick the appropriate key roles/responsibilities in relation to your functional title/position stated on p.AC1 of **HR Verification Annex (Professional Level)**.

Key Roles/Responsibilities	Please "✓" where Appropriate
<input checked="" type="checkbox"/> <b>Role 1 - General Compliance</b>	
1. Develop, review, evaluate and update the AI's compliance policies, procedures, guidelines and compliance related documents to ensure congruence with its legal and regulatory obligations and the AI's internal requirements	<input checked="" type="checkbox"/>
2. Establish and review compliance monitoring programmes to ensure the AI's compliance with applicable legal and regulatory requirements, and codes of conduct	<input checked="" type="checkbox"/>
3. Conduct independent compliance assessments and reviews as mandated by the compliance function to identify, assess and monitor compliance risk and mitigate any conduct and reputational risk issues	<input checked="" type="checkbox"/>
4. Report to and advise senior management on compliance related matters	<input type="checkbox"/>
5. Investigate suspicious activities and report any possible breaches of laws and regulations in business activities	<input checked="" type="checkbox"/>
6. Analyse areas of non-compliance and identify actions for improvement	<input type="checkbox"/>
7. Monitor the effectiveness of any remedial actions taken	<input checked="" type="checkbox"/>
8. Provide advice and recommendations on laws, rules and standards to the business units	<input type="checkbox"/>
9. Maintain a strong understanding of new and emerging products and services and the compliance implications on the AI of such products and services	<input checked="" type="checkbox"/>
10. Develop, review, evaluate and update escalation and whistleblowing policies and procedures for identifying and reporting potential and actual non-compliance issues	<input checked="" type="checkbox"/>

Tick the appropriate key roles/responsibilities in relation to your functional title/position stated on p.AC1 of **HR Verification Annex (Professional Level)**.

Key Roles/ Responsibilities	Please "✓" where Appropriate
11. Maintain regular communication and interaction with operational risk, market risk and credit risk colleagues to understand current areas of heightened operational risk, market risk and credit risk	
12. Liaise with local regulators on a regular basis to ensure open lines of communication, maintain reporting obligations and handle requests	✓
13. Develop and implement transactions monitoring and surveillance infrastructure on general banking activities	✓
14. Track and capture key legal and regulatory changes both in Hong Kong and relevant overseas jurisdictions and notify relevant stakeholders to ensure the business operations of the AI could meet the relevant requirements	✓
15. Provide advice and compliance related training to business units in Hong Kong	
Key Roles/ Responsibilities	Please "✓" where Appropriate
<input checked="" type="checkbox"/> <b>Role 2 - Investment and Insurance Compliance</b>	
1. Develop, review, evaluate and update the AI's compliance policies, procedures, guidelines and compliance related documents to ensure congruence with its legal and regulatory obligations and the AI's internal requirements	✓
2. Establish and review compliance monitoring programmes to ensure the AI's compliance with applicable legal and regulatory requirements, and codes of conduct covering the selling process	✓
3. Report to and advise senior management on compliance related matters including sales suitability, financial need analysis and cross border selling restrictions	
4. Investigate suspicious activities and report any possible non-compliance incidents related to AI's investment and insurance business activities	✓

Tick the appropriate key roles/responsibilities in relation to your functional title/position stated on p.AC1 of **HR Verification Annex (Professional Level)**.

Key Roles/ Responsibilities	Please "✓" where Appropriate
5. Identify and handle non-compliance issues and monitor the effectiveness of any remedial actions taken	✓
6. Provide advice on business initiatives, product development, and review and approve marketing materials for dissemination	✓
7. Provide advice and guidance on compliance related matters to relationship managers and investment and insurance product managers	
8. Liaise with local regulators on a regular basis to ensure open lines of communication, maintain reporting obligations and handle requests	✓
9. Develop and implement transactions monitoring and surveillance infrastructure on investment and insurance business activities	✓
10. Track and capture key local and regulatory changes both in Hong Kong and relevant overseas jurisdictions and notify relevant stakeholders to ensure the business operations of the AI could meet the relevant requirements	✓
11. Provide advice and training on investment and insurance compliance to business units in Hong Kong	

**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*



01/02/2023

Signature & Company Chop

Date

Name: Jimmy Wong

Department: Human Resources

Position: Head of HR

AC4

**Grandfathering and/or Certification Application Form  
for ECF-Compliance (Professional Level)**








**HR Department Verification Form on Key Roles/Responsibilities for Compliance Practitioner**

**Important notes:**

1. All information filled in including company chop must be true and original.
2. Fill in **ONE complete HR Verification Annex form for EACH relevant position/ functional title** in your application. A completed application form should contain p.1-7. You can make sufficient copies of HR Verification Annex (Core Level) (p.AC1-AC4).
3. Use BLOCK LETTERS to complete HR Verification Annex (Core Level).
4. Same set of HR verification document(s) can support both application of grandfathering and certification in one submission.

Employment Information	
<b>Name of the applicant:</b>	Wong Siu Man
<b>HKID/passport number:</b>	Y111222(3)
<b>Job number (as stated in Section C in P.3):</b>	<b>Current/Job no:</b>
<b>Position/functional title:</b>	Senior Manager
<b>Name of employer:</b>	ABC Bank
<b>Business division/department:</b>	Compliance Department
<b>Employment period of the stated functional title/position:</b> (DD/MM/YYYY)	From: 01/01/2014 To: 31/12/2019
<b>Key roles/ responsibilities in relation to the stated functional title/ position:</b> (Tick the appropriate box(es); Application will be processed based on the role(s) ticked)	<input checked="" type="checkbox"/> Role 1 – General Compliance  <input checked="" type="checkbox"/> Role 2 – Investment and Insurance
<b>Total number of years and months of carrying compliance function in the stated position</b>	6 _____ years _____ months

Tick the appropriate key roles/responsibilities in relation to your functional title/position stated on p.AC1 of **HR Verification Annex (Professional Level)**.

Key Roles/Responsibilities	Please "✓" where Appropriate
<input checked="" type="checkbox"/> <b>Role 1 - General Compliance</b>	
1. Develop, review, evaluate and update the AI's compliance policies, procedures, guidelines and compliance related documents to ensure congruence with its legal and regulatory obligations and the AI's internal requirements	
2. Establish and review compliance monitoring programmes to ensure the AI's compliance with applicable legal and regulatory requirements, and codes of conduct	
3. Conduct independent compliance assessments and reviews as mandated by the compliance function to identify, assess and monitor compliance risk and mitigate any conduct and reputational risk issues	
4. Report to and advise senior management on compliance related matters	
5. Investigate suspicious activities and report any possible breaches of laws and regulations in business activities	
6. Analyse areas of non-compliance and identify actions for improvement	
7. Monitor the effectiveness of any remedial actions taken	
8. Provide advice and recommendations on laws, rules and standards to the business units	
9. Maintain a strong understanding of new and emerging products and services and the compliance implications on the AI of such products and services	
10. Develop, review, evaluate and update escalation and whistleblowing policies and procedures for identifying and reporting potential and actual non-compliance issues	

Tick the appropriate key roles/responsibilities in relation to your functional title/position stated on p.AC1 of **HR Verification Annex (Professional Level)**.

Key Roles/ Responsibilities	Please "✓" where Appropriate
11. Maintain regular communication and interaction with operational risk, market risk and credit risk colleagues to understand current areas of heightened operational risk, market risk and credit risk	✓
12. Liaise with local regulators on a regular basis to ensure open lines of communication, maintain reporting obligations and handle requests	✓
13. Develop and implement transactions monitoring and surveillance infrastructure on general banking activities	
14. Track and capture key legal and regulatory changes both in Hong Kong and relevant overseas jurisdictions and notify relevant stakeholders to ensure the business operations of the AI could meet the relevant requirements	
15. Provide advice and compliance related training to business units in Hong Kong	✓
Key Roles/ Responsibilities	Please "✓" where Appropriate
<input checked="" type="checkbox"/> <b>Role 2 - Investment and Insurance Compliance</b>	
1. Develop, review, evaluate and update the AI's compliance policies, procedures, guidelines and compliance related documents to ensure congruence with its legal and regulatory obligations and the AI's internal requirements	✓
2. Establish and review compliance monitoring programmes to ensure the AI's compliance with applicable legal and regulatory requirements, and codes of conduct covering the selling process	✓
3. Report to and advise senior management on compliance related matters including sales suitability, financial need analysis and cross border selling restrictions	✓
4. Investigate suspicious activities and report any possible non-compliance incidents related to AI's investment and insurance business activities	

Tick the appropriate key roles/responsibilities in relation to your functional title/position stated on p.AC1 of **HR Verification Annex (Professional Level)**.

Key Roles/ Responsibilities	Please "✓" where Appropriate
5. Identify and handle non-compliance issues and monitor the effectiveness of any remedial actions taken	✓
6. Provide advice on business initiatives, product development, and review and approve marketing materials for dissemination	
7. Provide advice and guidance on compliance related matters to relationship managers and investment and insurance product managers	✓
8. Liaise with local regulators on a regular basis to ensure open lines of communication, maintain reporting obligations and handle requests	✓
9. Develop and implement transactions monitoring and surveillance infrastructure on investment and insurance business activities	✓
10. Track and capture key local and regulatory changes both in Hong Kong and relevant overseas jurisdictions and notify relevant stakeholders to ensure the business operations of the AI could meet the relevant requirements	
11. Provide advice and training on investment and insurance compliance to business units in Hong Kong	✓

**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*



01/02/2023

Signature & Company Chop

Date

Name: Jimmy Wong

Department: Human Resources

Position: Head of HR

AC4



**Grandfathering and/or Certification Application Form  
for ECF-Compliance (Professional Level)**

**HR Department Verification Form on Key Roles/Responsibilities for Compliance Practitioner**

**Important notes:**

1. All information filled in including company chop must be true and original.
2. Fill in **ONE complete HR Verification Annex form for EACH relevant position/ functional title** in your application. A completed application form should contain p.1-7. You can make sufficient copies of HR Verification Annex (Core Level) (p.AC1-AC4).
3. Use BLOCK LETTERS to complete HR Verification Annex (Core Level).
4. Same set of HR verification document(s) can support both application of grandfathering and certification in one submission.

Employment Information	
<b>Name of the applicant:</b>	Wong Siu Man
<b>HKID/passport number:</b>	Y111222(3)
<b>Job number (as stated in Section C in P.3):</b>	<b>Current/Job no:</b>
<b>Position/functional title:</b>	Senior Officer
<b>Name of employer:</b>	BCB Bank
<b>Business division/department:</b>	Compliance Department
<b>Employment period of the stated functional title/position:</b> (DD/MM/YYYY)	From: 01/01/2007 To: 31/12/2013
<b>Key roles/ responsibilities in relation to the stated functional title/ position:</b> (Tick the appropriate box(es); Application will be processed based on the role(s) ticked)	<input checked="" type="checkbox"/> Role 1 – General Compliance  <input checked="" type="checkbox"/> Role 2 – Investment and Insurance
<b>Total number of years and months of carrying compliance function in the stated position</b>	7 years --- months

Tick the appropriate key roles/responsibilities in relation to your functional title/position stated on p.AC1 of **HR Verification Annex (Professional Level)**.

Key Roles/Responsibilities	Please "✓" where Appropriate
<input checked="" type="checkbox"/> <b>Role 1 - General Compliance</b>	
1. Develop, review, evaluate and update the AI's compliance policies, procedures, guidelines and compliance related documents to ensure congruence with its legal and regulatory obligations and the AI's internal requirements	✓
2. Establish and review compliance monitoring programmes to ensure the AI's compliance with applicable legal and regulatory requirements, and codes of conduct	✓
3. Conduct independent compliance assessments and reviews as mandated by the compliance function to identify, assess and monitor compliance risk and mitigate any conduct and reputational risk issues	✓
4. Report to and advise senior management on compliance related matters	
5. Investigate suspicious activities and report any possible breaches of laws and regulations in business activities	
6. Analyse areas of non-compliance and identify actions for improvement	✓
7. Monitor the effectiveness of any remedial actions taken	
8. Provide advice and recommendations on laws, rules and standards to the business units	✓
9. Maintain a strong understanding of new and emerging products and services and the compliance implications on the AI of such products and services	
10. Develop, review, evaluate and update escalation and whistleblowing policies and procedures for identifying and reporting potential and actual non-compliance issues	

Tick the appropriate key roles/responsibilities in relation to your functional title/position stated on p.AC1 of **HR Verification Annex (Professional Level)**.

Key Roles/ Responsibilities	Please "✓" where Appropriate
11. Maintain regular communication and interaction with operational risk, market risk and credit risk colleagues to understand current areas of heightened operational risk, market risk and credit risk	✓
12. Liaise with local regulators on a regular basis to ensure open lines of communication, maintain reporting obligations and handle requests	
13. Develop and implement transactions monitoring and surveillance infrastructure on general banking activities	✓
14. Track and capture key legal and regulatory changes both in Hong Kong and relevant overseas jurisdictions and notify relevant stakeholders to ensure the business operations of the AI could meet the relevant requirements	
15. Provide advice and compliance related training to business units in Hong Kong	✓
Key Roles/ Responsibilities	Please "✓" where Appropriate
<input checked="" type="checkbox"/> <b>Role 2 - Investment and Insurance Compliance</b>	
1. Develop, review, evaluate and update the AI's compliance policies, procedures, guidelines and compliance related documents to ensure congruence with its legal and regulatory obligations and the AI's internal requirements	✓
2. Establish and review compliance monitoring programmes to ensure the AI's compliance with applicable legal and regulatory requirements, and codes of conduct covering the selling process	✓
3. Report to and advise senior management on compliance related matters including sales suitability, financial need analysis and cross border selling restrictions	✓
4. Investigate suspicious activities and report any possible non-compliance incidents related to AI's investment and insurance business activities	✓

Tick the appropriate key roles/responsibilities in relation to your functional title/position stated on p.AC1 of **HR Verification Annex (Professional Level)**.

Key Roles/ Responsibilities	Please "✓" where Appropriate
5. Identify and handle non-compliance issues and monitor the effectiveness of any remedial actions taken	
6. Provide advice on business initiatives, product development, and review and approve marketing materials for dissemination	✓
7. Provide advice and guidance on compliance related matters to relationship managers and investment and insurance product managers	
8. Liaise with local regulators on a regular basis to ensure open lines of communication, maintain reporting obligations and handle requests	✓
9. Develop and implement transactions monitoring and surveillance infrastructure on investment and insurance business activities	✓
10. Track and capture key local and regulatory changes both in Hong Kong and relevant overseas jurisdictions and notify relevant stakeholders to ensure the business operations of the AI could meet the relevant requirements	
11. Provide advice and training on investment and insurance compliance to business units in Hong Kong	✓

### 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*



01/02/2023

Signature & Company Chop

Date

Name: Jimmy Wong

Department: Human Resources

Position: Head of HR

AC4

### Authorization for Disclosure of Personal Information to a Third Party

Wong Siu Man

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-Compliance (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:

01/02/2023

Contact Phone No.:

(Area Code) 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.