



**Section B: Indication of Application Types**

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

<input type="checkbox"/> <b>Type 1: Grandfathering Application for ECF-Compliance (Core Level)</b>	
<b>Eligibility:</b>	<ul style="list-style-type: none"> <li>Possessing at least 3 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) as specified in the "Key Roles/Responsibilities" of the HR Verification Annex (Core Level) (p.AC2-AC3); and</li> <li>Employed by an AI at the time of application.</li> </ul>
<input type="checkbox"/> <b>Type 2: Certification Application for Associate Compliance Professional (ACOP)</b>	
<b>Eligibility:</b>	<div style="margin-left: 20px;"> <input type="checkbox"/> <b>Option I:</b> <ul style="list-style-type: none"> <li>With grandfathered status of ECF-Compliance (Core Level); and</li> <li>Employed by an AI at the time of application.</li> </ul> </div> <div style="margin-left: 20px;"> <input type="checkbox"/> <b>Option II:</b> <ul style="list-style-type: none"> <li>Completion of Module 1 to Module 3 of ECF-Compliance Core Level training programme; and</li> <li>Employed by an AI at the time of application.</li> </ul> </div>

**Section C: Relevant Employment History**

List all the relevant employment history in **reverse chronological order**. Work experience does not need to be continuous. Each position listed requires a **separate HR Verification Annex (Core Level)** form.

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

Total relevant work experience: \_\_\_\_\_ year(s) \_\_\_\_\_ month(s)  
 Total number of **HR Verification Annex (Core Level)** form submitted: \_\_\_\_\_

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

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

1. Have you ever been reprimanded, censured, disciplined by any professional or regulatory authority?	<input type="checkbox"/> Yes <input type="checkbox"/> No
2. Have you ever had a record of non-compliance with any non-statutory codes, or been censured, disciplined, or disqualified by any professional or regulatory body in relation to your profession?	<input type="checkbox"/> Yes <input type="checkbox"/> No
3. Have you ever been investigated about offences involving fraud or dishonesty or adjudged by a court to be criminally or civilly liable for fraud, dishonesty, or misfeasance?	<input type="checkbox"/> Yes <input type="checkbox"/> No
4. Have you ever been refused or restricted from the right to carry on any profession for which a specific license, registration, or other authorization is 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 (Core Level) HKD1,100
- 1st Year Certification Fee for ACOP (*valid until 31 December 2024*)
  - Not currently a HKIB member HKD1,800
  - Current and valid HKIB Ordinary member HKD620
  - Current and valid HKIB Professional member Waived
  - HKIB Default member HKD3,800\*

**Total amount: HKD** \_\_\_\_\_

*\*HKD2,000 reinstatement fee + HKD1,800 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-Compliance (Core Level) 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-017) and "Guidelines of Certification Application for ACOP/CCOP(GC)/ CCOP(IIC)" (COM-G-022).

### **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)

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).

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**Signature of Applicant**

(Name: \_\_\_\_\_)

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**Date**

) \_\_\_\_\_

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

**HR Department Verification Form on Employment Information for Compliance Practitioner**

**Important notes:**

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

**Employment Information**

<b>Name of the applicant:</b>	
<b>HKID/passport number:</b>	
<b>Job number (as stated in Section C of P.2):</b>	Current/Job no:
<b>Position/functional title:</b>	
<b>Name of employer:</b>	
<b>Business division/department:</b>	
<b>Employment period of the <u>stated</u> position /functional title:</b> (DD/MM/YYYY)	From:  To:
<b>Key roles/responsibilities in relation to the <u>stated</u> position/functional title:</b> (Tick the appropriate box(es); Application will be processed based on the role(s) ticked)	<input type="checkbox"/> Role 1 – General Compliance  <input type="checkbox"/> Role 2 – Investment and Insurance Compliance
<b>Total number of years and months of carrying compliance function in the <u>stated</u> position</b>	_____years_____months

Applicant please self-declares by ticking the appropriate “Key Roles/Responsibilities” in relation to your position/functional title stated on **p.AC1 of this HR Verification Annex (Core Level)** form.

<b>Key Roles/ Responsibilities</b>		Please “✓” where appropriate
<input type="checkbox"/> <b>Role 1 - General Compliance</b>		
<input type="checkbox"/> <b>Role 2 - Investment and Insurance Compliance</b>		
1.	Assist in drafting, revising and updating 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.	Assist in performing compliance testing and other reviews according to the compliance monitoring programmes to ensure the AI’s compliance with applicable legal and regulatory requirements, and codes of conduct	
3.	Assist in performing compliance assessments and reviews on business activities as mandated by the compliance function to identify, assess and monitor compliance risk and mitigate any conduct and reputational risk issues	
4.	Assist in compiling reports on compliance related matters and/or transactions monitoring to senior management	
5.	Conduct initial analysis and facilitate the investigation of suspicious activities and report any possible breaches of laws and regulations in business activities	
6.	Conduct initial investigation of non-compliance issues and monitor the status of remedial actions taken	
7.	Assist in providing general advice on laws, rules and standards to the business units and senior management	
8.	Assist in drafting, revising and updating whistleblowing policies and procedures for identifying and reporting potential and actual non-compliance issues	

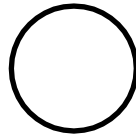


Applicant please self-declares by ticking the appropriate “Key Roles/Responsibilities” in relation to your position/functional title stated on **p.AC1 of this HR Verification Annex (Core Level)** form.

<b>Key Roles/ Responsibilities</b>		Please “√” where appropriate
9.	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. Assist line managers in maintaining these relationships to ensure a coordinated approach to managing risk in the organisation	
10.	Assist in liaising with local regulators on a regular basis to ensure open lines of communication, maintain reporting obligations and handle requests	
11.	Handle information requests from local regulators and coordinate with respective business units in responding to regulatory enquiries	
12.	Perform research and gap analysis on key legal and regulatory changes both in Hong Kong and relevant overseas jurisdictions	
13.	Prepare training materials on compliance related matters and assist in providing training to business departments/operation units in HongKong	

**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: \_\_\_\_\_

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## 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-Compliance (Core Level)” to  
\_\_\_\_\_ (*applicant’s bank name*) for HR and Internal Record.

\_\_\_\_\_  
Signature

\_\_\_\_\_  
HKIB Membership No./HKID No.\*

\_\_\_\_\_  
Date

\_\_\_\_\_  
Contact Phone No.

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

### Important notes:

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