

## Grandfathering and/or Certification Application Form for ECF on Compliance (Core 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 checked="" 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 <small>(Membership No.)</small>	
Name in English: <sup>2</sup> <div style="text-align: center;">CHAN Tai Man</div> <small>(Surname) (Given Name)</small>	Name in Chinese: <sup>2</sup> <div style="text-align: center;">陳大文</div>	
HKID/Passport Number: <div style="text-align: center;">A123456(7)</div>	Date of Birth: (DD/MM/YYYY) <div style="text-align: center;">14/02/1980</div>	
<b>Contact information</b>		
Mobile Phone Number: <div style="text-align: center;">(Area Code) 9292-9292</div>	(Primary) Email Address <sup>3</sup> : <div style="text-align: center;">taimanchan@gmail.com</div> (Secondary) Email Address: <div style="text-align: center;">peterchan@abc.com</div>	
Correspondence Address: <div style="text-align: center;">Flat 8, 18/F, Block A, Hong Kong Garden, Wanchai, Hong Kong</div>		
<b>Employment information</b>		
Name of Current Employer: <div style="text-align: center;">ABC Bank</div>	Office Telephone Number: <div style="text-align: center;">(Area Code) 2121-2121</div>	
Position/Functional Title: <div style="text-align: center;">Compliance Assistant Manager</div>	Department: Compliance Department	
Office Address: <sup>4</sup> <div style="text-align: center;">8/F, ABC Bank Tower, 8 Garden Road, Central</div>		
<b>Academic and Professional Qualification</b>		
Highest Academic Qualification Obtained: <div style="text-align: center;">MSc in System Analyst</div>	University/Tertiary Institution: <div style="text-align: center;">University of Hong Kong</div>	Date of Award: <div style="text-align: center;">07/2008</div>
Other Professional Qualifications: <div style="text-align: center;">N.A.</div>	Professional Bodies: <div style="text-align: center;">N.A.</div>	

- 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 (Option I) if you would like to apply for both grandfathering and certification.

<input checked="" type="checkbox"/>	<b>Type 1: Grandfathering Application for ECF-Compliance (Core Level)</b>
Eligibility:	<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 <b>HR Verification Annex (Core Level)</b> (p.AC2-AC3); and</li> <li>• Employed by an AI at the time of application.</li> </ul>
<input checked="" type="checkbox"/>	<b>Type 2: Certification Application for Associate Compliance Professional (ACOP)</b>
Eligibility:	<p><input checked="" type="checkbox"/> <b>Option I:</b></p> <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> <p><input type="checkbox"/> <b>Option II:</b></p> <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>

### 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).

Job Number	Employer	Position	Employment Period for the position (DD/MM/YYYY)
<b>Current</b>	ABC Bank	Compliance Assistant Manager	From 01/01/2022 To 31/01/2023 or current
<b>Job 2</b>	ABC Bank	Compliance Senior Officer	From 01/01/2020 To 31/12/2021
<b>Job 3</b>	BCB Bank	Compliance Officer	From 01/01/2018 To 31/12/2019
<b>Job 4</b>			From To

Total relevant work experience: 5 year(s) 1 month(s)  
 Total number of HR Verification Annex (Core 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	
<input checked="" type="checkbox"/> Grandfathering application (Core Level)	HKD1,100
<input checked="" type="checkbox"/> 1st Year Certification Fee for ACOP ( <i>valid until 31 December 2023</i> )	
<input checked="" type="checkbox"/> Not currently a HKIB member	HKD1,730
<input type="checkbox"/> <u>Current and valid</u> HKIB Ordinary member	HKD600
<input type="checkbox"/> <u>Current and valid</u> HKIB Professional member	Waived
<input type="checkbox"/> <u>Current and valid</u> Senior member	HKD1,530
<input type="checkbox"/> HKIB Default member	HKD3,730*
<b>Total amount: HKD \$2,830</b>	
<small>*HKD2,000 reinstatement fee + HKD1,730 certification fee</small>	
Payment method	
<input checked="" type="checkbox"/> Paid by Employer	
<input type="checkbox"/> Company cheque (cheque no: _____)	
<input checked="" type="checkbox"/> Company invoice ( <b>Filled by HKIB</b> )	
<input type="checkbox"/> A cheque/ e-Cheque made payable to “ <b>The Hong Kong Institute of Bankers</b> ” (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 <a href="mailto:cert.gf@hkib.org">cert.gf@hkib.org</a> .	
<input type="checkbox"/> Credit card	
<input type="checkbox"/> Visa	
<input type="checkbox"/> Master	
Card no:	<input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> - <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> - <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> - <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/>
Expiry date (MM/ YY):	<input type="text"/> <input type="text"/> / <input type="text"/> <input type="text"/>
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](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 "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).

*Peter Chan*

01/02/2023

Signature of Applicant

Date

(Name: Chan Tai Man )

## Grandfathering and/or Certification Application Form for ECF-Compliance (Core 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.1-6. You can make sufficient copies of HR Verification Annex (Core Level) (p.AC1-AC3).
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. 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>	Chan Tai Man
<b>HKID/passport number:</b>	A123456(7)
<b>Job number (as stated in Section C of P.2):</b>	Current/Job no:
<b>Position/functional title:</b>	Compliance Assistant Manager
<b>Name of employer:</b>	ABC Bank
<b>Business division/department:</b>	Compliance Department
<b>Employment period of the <u>stated</u> functional title/position:</b> <i>(DD/MM/YYYY)</i>	From: 01/01/2022 To: 31/01/2023 or current
<b>Key roles/responsibilities in relation to the <u>stated</u> functional title/position:</b> <i>(Tick the appropriate box(es); Application will be processed based on the role(s) ticked)</i>	<input checked="" 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>	1 years 1 months

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

Key Roles/ Responsibilities		Please "✓" where Appropriate
<input checked="" 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	



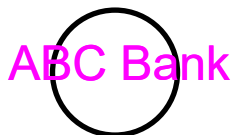
Tick the appropriate key roles/responsibilities in relation to your functional title/position stated on p.AC1 of **HR Verification Annex (Core Level)**.

Key Roles/ Responsibilities	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 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

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

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

**Important notes:**

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4. 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>	Chan Tai Man
<b>HKID/passport number:</b>	A123456(7)
<b>Job number (as stated in Section C of P.2):</b>	Current/Job no: 2
<b>Position/functional title:</b>	Compliance Senior Officer
<b>Name of employer:</b>	ABC Bank
<b>Business division/department:</b>	Compliance Department
<b>Employment period of the <u>stated</u> functional title/position:</b> (DD/MM/YYYY)	From: 01/01/2020 To: 31/12/2021
<b>Key roles/responsibilities in relation to the <u>stated</u> 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 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>	2 years --- months

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

Key Roles/ Responsibilities		Please "✓" where Appropriate
<input checked="" 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	✓

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

Key Roles/ Responsibilities	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 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*

**ABC Bank**

01/02/2023

\_\_\_\_\_  
**Signature & Company Chop**

\_\_\_\_\_  
**Date**

Name: Jimmy Wong  
 Department: Human Resources  
 Position: Head of HR

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

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

**Important notes:**

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Employment Information	
<b>Name of the applicant:</b>	Chan Tai Man
<b>HKID/passport number:</b>	A123456(7)
<b>Job number (as stated in Section C of P.2):</b>	Current Job no: 3
<b>Position/functional title:</b>	Compliance Officer
<b>Name of employer:</b>	BCB Bank
<b>Business division/department:</b>	Compliance Department
<b>Employment period of the <u>stated</u> functional title/position:</b> (DD/MM/YYYY)	From: 01/01/2018 To: 31/12/2019
<b>Key roles/responsibilities in relation to the <u>stated</u> 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 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>	2 years --- months

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

Key Roles/ Responsibilities		Please "✓" where Appropriate
<input checked="" 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	

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

Key Roles/ Responsibilities	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 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*  **ABC Bank**

01/02/2023

\_\_\_\_\_  
**Signature & Company Chop**

\_\_\_\_\_  
**Date**

Name: Jimmy Wong  
 Department: \_\_\_\_\_  
                   Human Resources  
 Position: \_\_\_\_\_  
                   Head of HR

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

I, Chan Tai 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-Compliance (Core Level)” to ABC Bank (*applicant’s bank name*) for HR and Internal Record.

Signature:

*Peter Chan*

HKIB Membership No./HKID No.\*:

A123456(7)

Date:

01/02/2023

Contact Phone No.:

(Area Code) 9292-9292

*\*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.