

Received on:

Acknowledged on:

Application no:

Grandfathering and/or Certification Application Form for ECF on Compliance (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 Grandfathering Application for ECF-Compliance" (COM-G-017) and "Guidelines of Certification Application for ACOP/CCOP(GC)/CCOP(IIC)" (COM-G-022) **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 Particulars¹

Title: <input type="checkbox"/> Mr <input type="checkbox"/> Ms <input type="checkbox"/> Dr <input type="checkbox"/> Prof		HKIB Member: <input type="checkbox"/> Yes _____ <input type="checkbox"/> No <i>(Membership No.)</i>	
Name in English ² : <i>(Surname)</i> <i>(Given Name)</i>		Name in Chinese ² :	
HKID/Passport Number:		Date of Birth: <i>(DD/ MM/ YYYY)</i>	
Contact information			
(Primary) Email Address ³ :		Mobile Phone Number:	
(Secondary) Email Address:			
Correspondence Address:			
Employment information			
Name of Current Employer:		Office Telephone Number:	
Position/Functional Title:		Department:	
Office Address ⁴ :			
Academic and Professional Qualification			
Highest Academic Qualification Obtained:		University/Tertiary Institution:	Date of Award:
Other Professional Qualifications:		Professional Bodies:	

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 (Personal email preferred).
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.

<input type="checkbox"/> Type 1: Grandfathering Application for ECF-Compliance (Professional Level) only	
Role:	<input type="checkbox"/> Role 1: General Compliance (GC) and/ or <input type="checkbox"/> Role 2: Investment and/or Insurance Compliance (IIC)
Eligibility*:	<ul style="list-style-type: none"> • 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.
<input type="checkbox"/> Type 2: Certification Application for CCOP(GC) and/or CCOP(IIC)	
Certification:	<input type="checkbox"/> CCOP(GC) and/or <input type="checkbox"/> CCOP(IIC)
Eligibility*:	<input type="checkbox"/> Option I: <ul style="list-style-type: none"> • With grandfathered status of ECF-Compliance (Professional Level); and • Employed by an AI at the time of application. <input type="checkbox"/> Option II (for CCOP(GC)): <ul style="list-style-type: none"> • 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. <input type="checkbox"/> Option III (for CCOP(IIC)): <ul style="list-style-type: none"> • 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)** form.

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

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

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

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

<p>1. Have you ever been reprimanded, censured, disciplined by any professional or regulatory authority?</p>	<p><input type="checkbox"/> Yes <input type="checkbox"/> No</p>
<p>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?</p>	<p><input type="checkbox"/> Yes <input type="checkbox"/> No</p>
<p>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?</p>	<p><input type="checkbox"/> Yes <input type="checkbox"/> No</p>
<p>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?</p>	<p><input type="checkbox"/> Yes <input type="checkbox"/> No</p>
<p>5. Have you ever been adjudged bankrupt, or served with a bankruptcy petition?</p>	<p><input type="checkbox"/> Yes <input type="checkbox"/> No</p>

Section E: Payment

Payment amount	
<input type="checkbox"/> Type 1: Grandfathering application (Professional Level)	
<input type="checkbox"/> General Compliance (GC)	HKD1,100
<input type="checkbox"/> Investment and/or Insurance Compliance (IIC)	HKD1,100
<input type="checkbox"/> Both General Compliance (GC) and Investment and/or Insurance Compliance (IIC)	HKD2,150
<input type="checkbox"/> Type 2: 1st Year Certification Fee for CCOP(GC) and/or CCOP(IIC)(<i>valid until 31 December 2024</i>)	
<input type="checkbox"/> Not currently a HKIB member	HKD1,800
<input type="checkbox"/> <u>Current and valid</u> HKIB Ordinary member	HKD620
<input type="checkbox"/> <u>Current and valid</u> HKIB Professional member	Waived
<input type="checkbox"/> HKIB Default member	HKD3,800*
Total amount: HKD _____	
<i>*HKD2,000 reinstatement fee + HKD1,800 certification fee</i>	
Payment method	
<input type="checkbox"/> Paid by Employer	
<input type="checkbox"/> Company cheque (cheque no: _____)	
<input type="checkbox"/> Company invoice (_____)	
<input type="checkbox"/> 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 .	
<input type="checkbox"/> Credit card	
<input type="checkbox"/> Visa	
<input type="checkbox"/> Master	
Card no:	<div style="display: flex; justify-content: space-around; align-items: center;"> <div style="border: 1px solid black; width: 30px; height: 20px; display: flex; justify-content: space-between;">□□□□</div> - <div style="border: 1px solid black; width: 30px; height: 20px; display: flex; justify-content: space-between;">□□□□</div> - <div style="border: 1px solid black; width: 30px; height: 20px; display: flex; justify-content: space-between;">□□□□</div> - <div style="border: 1px solid black; width: 30px; height: 20px; display: flex; justify-content: space-between;">□□□□</div> </div>
Expiry date (MM/YY):	<div style="display: flex; justify-content: center; align-items: center; gap: 10px;"> <div style="border: 1px solid black; width: 25px; height: 25px; display: flex; justify-content: space-between;">□□</div> / <div style="border: 1px solid black; width: 25px; height: 25px; display: flex; justify-content: space-between;">□□</div> </div>
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 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 ⁵
- 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).

Signature of Applicant

(Name:

)

Date

THIS PAGE IS INTENTIONALLY LEFT BLANK

**Grandfathering and/or Certification Application Form for
ECF-Compliance (Professional 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 should contain p.1-7 plus this **HR Verification Annex (Professional Level)** form(s) (p.AP1-AP4).
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

Name of the applicant:	
HKID/passport number:	
Job number (as stated in Section C in P.3):	Current/Job no:
Position/functional title:	
Name of employer:	
Business division/department:	
Employment period of the stated position/functional title: (DD/MM/YYYY)	From: To:
Key roles/ responsibilities in relation to the stated position/functional title: (Tick the appropriate box(es); Application will be processed based on the role(s) ticked)	<input type="checkbox"/> Role 1 – General Compliance <input type="checkbox"/> Role 2 – Investment and Insurance
Total number of years and months of carrying compliance function in the stated position	_____years_____months

Applicant please self-declares by ticking the appropriate “Key Roles/Responsibilities” in relation to your position/functional title stated on **p.AP1 of this HR Verification Annex (Professional Level) form.**

Key Roles/Responsibilities	Please “✓” where Appropriate
<input type="checkbox"/> Role 1 - General Compliance	
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	

Applicant please self-declares by ticking the appropriate “Key Roles/Responsibilities” in relation to your position/functional title stated on **p.AP1 of this HR Verification Annex (Professional Level)** form.

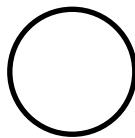
Key Roles/Responsibilities		Please “√” where Appropriate
11.	Maintain regular communication and interaction with operational risk, market risk and credit risk colleagues to understand current areas of heightened operational risk, market risk and credit risk	
12.	Liaise with local regulators on a regular 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 type="checkbox"/> Role 2 - Investment and Insurance Compliance		
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	

Applicant please self-declares by ticking the appropriate “Key Roles/Responsibilities” in relation to your position/functional title stated on **p.AP1 of this HR Verification Annex (Professional Level)** form.

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).



Signature & Company Chop

Name: _____

Department: _____

Position: _____

Date

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 (Professional Level)”
to _____ (*applicant’s bank name*) for HR and Internal Record.

Signature

HKIB Membership No./HKID No.*

Date

Contact Phone No.

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

Important notes:

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