

Received on:

Acknowledged on:

Application no:

SAMPLE  
ONLY

## Grandfathering and/or Certification Application Form for ECF on Fintech (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 ECF on Fintech Grandfathering (FIN-G-007) or Guidelines of Certification Application for ECF on Fintech (FIN-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 <i>(Membership No.)</i>	
Name in English: <sup>2</sup> <div style="text-align: center;">CHAN Tai Man</div> <i>(Surname) (Given Name)</i>	Name in Chinese: <sup>2</sup> <div style="text-align: center;">陳大文</div>	
HKID/Passport Number: A123456(7)	Date of Birth: <i>(DD/MM/YYYY)</i> <div style="text-align: right;">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: right;">taimanchan@gmail.com</div> (Secondary) Email Address: <div style="text-align: right;">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: ABC Bank	Office Telephone Number: (Area Code) 2121-2121	
Position/Functional Title: IT Manager	Department: Information Technology	
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 if you would like to apply for both grandfathering and certification.

<input checked="" type="checkbox"/> <b>Type 1: Grandfathering Application for ECF on Fintech (Core Level)</b>
<p>Eligibility: Possessing at least 3 years of relevant work experience in Fintech projects and/or any of the functions as specified in the "Key Roles/Responsibilities" of Role 1 to Role 4 of the <b>HR Verification Annex (Core Level)</b> (p.AC2-AC3); and employed by an AI at the time of application.</p>
<input checked="" type="checkbox"/> <b>Type 2: Associate Fintech Professional (CPFinT(A)) Certification Application</b>
<p>Eligibility: <input checked="" type="checkbox"/> <b>Option I:</b></p> <ul style="list-style-type: none"> <li>• With grandfathered status of ECF on Fintech (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 4 of ECF on Fintech Core Level training programme; and</li> <li>• Possessing at least 1 year of relevant work experience in Fintech projects and/or any of the functions as specified in the "Key Roles/Responsibilities" of Role 1 to Role 4 of the <b>HR Verification Annex (Core Level)</b> (p.AC2-AC3).</li> </ul>

## Section C: Relevant Employment History

List all the relevant employment history in the Fintech or related functions in **reverse chronological order**. Work experience does not need to be continuous. Each position listed requires completing a separate **HR Verification Annex (Core Level)** form (p.AC2-AC3).

Job Number	Employer	Position	Employment Period for the position (DD/MM/YYYY)
<b>Current</b>	ABC Bank	IT Manager	From 01/01/2022 To 30/09/2022 or current
<b>Job 2</b>	ABC Bank	Assistant IT Manager	From 01/01/2020 To 31/12/2021
<b>Job 3</b>	BCB Bank	IT Analyst	From 01/01/2018 To 31/12/2019

Total relevant work experience:   4   year(s)   9   month(s)

Total number of **HR Verification Annex (Core Level)** form 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)	HKD1,050
<input checked="" type="checkbox"/> 1st Year Certification Fee for CPFinT(A) ( <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 <u>\$2,780</u></b>	
<i>*HKD2,000 reinstatement fee + HKD1,730 certification fee</i>	
Payment method	
<input checked="" type="checkbox"/> Paid by Employer	
<input type="checkbox"/> Company cheque (cheque no: _____)	
<input checked="" type="checkbox"/> Company invoice ( <span style="color: red;">Filled by HKIB</span> )	
<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 <b>“ECF on Fintech (Core Level) Grandfathering and Certification”</b> under <b>“remarks”</b> 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:	<div style="display: flex; justify-content: space-around; align-items: center;"> <div style="border: 1px solid black; width: 30px; height: 30px;"></div> <span style="font-size: 20px;">-</span> <div style="border: 1px solid black; width: 30px; height: 30px;"></div> <span style="font-size: 20px;">-</span> <div style="border: 1px solid black; width: 30px; height: 30px;"></div> <span style="font-size: 20px;">-</span> <div style="border: 1px solid black; width: 30px; height: 30px;"></div> </div>
Expiry date (MM/YY):	<div style="display: flex; justify-content: center; align-items: center;"> <div style="border: 1px solid black; width: 30px; height: 30px;"></div> <span style="font-size: 20px; margin: 0 5px;">/</span> <div style="border: 1px solid black; width: 30px; height: 30px;"></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](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 ECF on Fintech Grandfathering” (FIN-G-007) and “Guidelines of Certification Application for ECF on Fintech” (FIN-G-008).

### Document Checklist

To facilitate the application process, please check the following items before submitting them to the HKIB. Failure to submit the documents may cause delays or termination of the application. Please “✓” the appropriate box(es).

- All necessary fields on this application form filled in including your signature
- The completed form(s) of **HR Verification Annex (Core Level)** 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*

01/10/2022

Signature of Applicant

Date

(Name: Chan Tai Man )

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## Grandfathering and/or Certification Application Form for ECF on Fintech (Core Level)

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

**(For entry-level and junior level staff with 0-5 years of experience)**

**Important notes:**

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

Employment Information	
<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>	<span style="border: 2px solid red; border-radius: 50%; padding: 2px;">Current/</span> Job no:
<b>Position/Functional title:</b>	IT Manager
<b>Name of employer:</b>	ABC Bank
<b>Business division/department:</b>	Information Technology
<b>Employment period of the stated position/functional title:</b> <i>(DD/ MM/ YYYY)</i>	From: 01/01/2022 To: 30/09/2022
<b>Key roles/responsibilities in relation to the stated position/functional title:</b> <i>(Tick the appropriate box(es); Application will be processed based on the role(s) ticked)</i>	<input checked="" type="checkbox"/> Role 1 – Fintech Solution Development <i>(fill in p.AC2)</i> <input checked="" type="checkbox"/> Role 2 – Fintech Product Design <i>(fill in p.AC2)</i> <input checked="" type="checkbox"/> Role 3 – Fintech Strategy and Management <i>(fill in p.AC3)</i> <input type="checkbox"/> Role 4 – Regtech <i>(fill in p.AC3)</i>
<b>Total number of years and months of carrying out any of the above specified role(s) function in the stated position</b>	--- years <u>9</u> months

Tick in the appropriate “Key Roles/Responsibilities” in relation to your position/functional title stated on p.AC1 of the **HR Verification Annex (Core Level)** form.

Key Roles/Responsibilities	Please “✓” where appropriate
<input checked="" type="checkbox"/> <b>Role 1 – Fintech Solution Development</b>	
1. Keep abreast of latest Fintech developments including Fintech products, innovative tools and solutions, emerging technologies, and best practices	✓
2. Analyse Fintech application use cases and business requirements, and formulate technical specifications for Fintech applications and solutions	✓
3. Develop Proof-of-Concept and coordinate the evaluation process	✓
4. Assist in technical design, development, integration, and implementation of Fintech solutions and applications	
5. Use some advanced and specialized skills in support of test plan, test cases/scripts, test environments, test data, and perform testing	✓
6. Work closely in a team environment and meet Fintech project schedules	
Key Roles/Responsibilities	Please “✓” where appropriate
<input checked="" type="checkbox"/> <b>Role 2 – Fintech Product Design</b>	
1. Design and develop Fintech products in response to the rapidly changing business environment and user needs	✓
2. Use some advanced and specialised skills to analyse the needs and opportunities for new Fintech products to improve user experience	✓
3. Propose Fintech product development strategies and participate in the product management cycle	✓
4. Compile metrics to meet business needs and objectives	
5. Collaborate with different business units to understand their priorities and elaborate requirements on features and functionalities for Fintech products	✓
6. Exercise appropriate judgment in recommending applicable regulatory and business requirements for product compliance	

Key Roles/Responsibilities		Please "✓" where appropriate
<input checked="" type="checkbox"/> <b>Role 3 – Fintech Strategy and Management</b>		
1. Study the capabilities of emerging technologies and identify opportunities to improve banking operations and products by formulating and demonstrating use cases of technologies		✓
2. Keep abreast of the latest Fintech regulatory requirements, industry initiatives, and best practices		✓
3. Analyse and study business objectives and requirements on Fintech development		✓
4. Follow up, monitor, and support the AI's Fintech strategic initiatives and business/partnership development		✓
5. Drive Fintech initiatives/projects and act as the key interface between external parties, business users, and technical teams in support of project co-ordination		
Key Roles/Responsibilities		Please "✓" where appropriate
<input type="checkbox"/> <b>Role 4 – Regtech</b>		
1. Observe the development around best practices for the use of Regtech		
2. Assist in drafting and revising policies and guidelines taking into account regulatory requirements and technology development to ensure adherence to the best practices for Regtech application		
3. Keep abreast of the capabilities of emerging technologies and identify opportunities and use cases for Regtech to transform risk management and regulatory compliance		
4. Assist in performing gap analysis of Regtech maturity, taking into consideration the advancement in innovative technologies		
5. Conduct Regtech vendor solution assessment and regulatory and business requirement conversion		
6. Assist in the development of Regtech solutions/proof-of-concepts		

**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

01/10/2022

Signature & Company Chop

Date

Name: Jimmy Wong

Department & Position: HR ( Head of HR)

AC3

## Grandfathering and/or Certification Application Form for ECF on Fintech (Core Level)

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

**(For entry-level and junior level staff with 0-5 years of experience)**

**Important notes:**

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

Employment Information	
<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, <span style="border: 1px solid red; border-radius: 50%; padding: 2px;">Job no:</span> 2
<b>Position/Functional title:</b>	Assistant IT Manager
<b>Name of employer:</b>	ABC Bank
<b>Business division/department:</b>	Information Technology
<b>Employment period of the stated position/functional title:</b> <i>(DD/ MM/ YYYY)</i>	From: 01/01/2020 To: 31/12/2021
<b>Key roles/responsibilities in relation to the stated position/functional title:</b> <i>(Tick the appropriate box(es); Application will be processed based on the role(s) ticked)</i>	<input checked="" type="checkbox"/> Role 1 – Fintech Solution Development <i>(fill in p.AC2)</i> <input checked="" type="checkbox"/> Role 2 – Fintech Product Design <i>(fill in p.AC2)</i> <input checked="" type="checkbox"/> Role 3 – Fintech Strategy and Management <i>(fill in p.AC3)</i> <input type="checkbox"/> Role 4 – Regtech <i>(fill in p.AC3)</i>
<b>Total number of years and months of carrying out any of the above specified role(s) function in the stated position</b>	2 _____ years --- _____ months

Tick in the appropriate “Key Roles/Responsibilities” in relation to your position/functional title stated on p.AC1 of the **HR Verification Annex (Core Level)** form.

Key Roles/Responsibilities	Please “✓” where appropriate
<input checked="" type="checkbox"/> <b>Role 1 – Fintech Solution Development</b>	
1. Keep abreast of latest Fintech developments including Fintech products, innovative tools and solutions, emerging technologies, and best practices	✓
2. Analyse Fintech application use cases and business requirements, and formulate technical specifications for Fintech applications and solutions	✓
3. Develop Proof-of-Concept and coordinate the evaluation process	
4. Assist in technical design, development, integration, and implementation of Fintech solutions and applications	✓
5. Use some advanced and specialized skills in support of test plan, test cases/scripts, test environments, test data, and perform testing	
6. Work closely in a team environment and meet Fintech project schedules	
Key Roles/Responsibilities	Please “✓” where appropriate
<input checked="" type="checkbox"/> <b>Role 2 – Fintech Product Design</b>	
1. Design and develop Fintech products in response to the rapidly changing business environment and user needs	✓
2. Use some advanced and specialised skills to analyse the needs and opportunities for new Fintech products to improve user experience	✓
3. Propose Fintech product development strategies and participate in the product management cycle	
4. Compile metrics to meet business needs and objectives	✓
5. Collaborate with different business units to understand their priorities and elaborate requirements on features and functionalities for Fintech products	✓
6. Exercise appropriate judgment in recommending applicable regulatory and business requirements for product compliance	

Key Roles/Responsibilities	Please "✓" where appropriate
<input checked="" type="checkbox"/> <b>Role 3 – Fintech Strategy and Management</b>	
1. Study the capabilities of emerging technologies and identify opportunities to improve banking operations and products by formulating and demonstrating use cases of technologies	✓
2. Keep abreast of the latest Fintech regulatory requirements, industry initiatives, and best practices	✓
3. Analyse and study business objectives and requirements on Fintech development	
4. Follow up, monitor, and support the AI's Fintech strategic initiatives and business/partnership development	✓
5. Drive Fintech initiatives/projects and act as the key interface between external parties, business users, and technical teams in support of project co-ordination	
Key Roles/Responsibilities	Please "✓" where appropriate
<input type="checkbox"/> <b>Role 4 – Regtech</b>	
1. Observe the development around best practices for the use of Regtech	
2. Assist in drafting and revising policies and guidelines taking into account regulatory requirements and technology development to ensure adherence to the best practices for Regtech application	
3. Keep abreast of the capabilities of emerging technologies and identify opportunities and use cases for Regtech to transform risk management and regulatory compliance	
4. Assist in performing gap analysis of Regtech maturity, taking into consideration the advancement in innovative technologies	
5. Conduct Regtech vendor solution assessment and regulatory and business requirement conversion	
6. Assist in the development of Regtech solutions/proof-of-concepts	

**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**

01/01/2022

Signature & Company Chop

Date

Name: Jimmy Wong

Department & Position: HR (Head of HR)

AC3

## Grandfathering and/or Certification Application Form for ECF on Fintech (Core Level)

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

**(For entry-level and junior level staff with 0-5 years of experience)**

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3. Use BLOCK LETTERS to complete the **HR Verification Annex (Core Level)** form.
4. The same set of HR verification document(s) can support both applications of grandfathering and certification in one submission. Separate submissions of grandfathering or certification applications will require another set of original HR verification document(s) even if the information contained is identical.

Employment Information	
<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/ <span style="border: 1px solid red; border-radius: 50%; padding: 2px;">Job no:</span> 3
<b>Position/Functional title:</b>	IT Analyst
<b>Name of employer:</b>	BCB Bank
<b>Business division/department:</b>	Data Analyst
<b>Employment period of the stated position/functional title:</b> <i>(DD/ MM/ YYYY)</i>	From: 01/01/2018 To: 31/12/2019
<b>Key roles/responsibilities in relation to the stated position/functional title:</b> <i>(Tick the appropriate box(es); Application will be processed based on the role(s) ticked)</i>	<input checked="" type="checkbox"/> Role 1 – Fintech Solution Development <i>(fill in p.AC2)</i> <input checked="" type="checkbox"/> Role 2 – Fintech Product Design <i>(fill in p.AC2)</i> <input checked="" type="checkbox"/> Role 3 – Fintech Strategy and Management <i>(fill in p.AC3)</i> <input type="checkbox"/> Role 4 – Regtech <i>(fill in p.AC3)</i>
<b>Total number of years and months of carrying out any of the above specified role(s) function in the stated position</b>	2 _____ years _____ months

Tick in the appropriate “Key Roles/Responsibilities” in relation to your position/functional title stated on p.AC1 of the **HR Verification Annex (Core Level)** form.

Key Roles/Responsibilities	Please “✓” where appropriate
<input checked="" type="checkbox"/> <b>Role 1 – Fintech Solution Development</b>	
1. Keep abreast of latest Fintech developments including Fintech products, innovative tools and solutions, emerging technologies, and best practices	✓
2. Analyse Fintech application use cases and business requirements, and formulate technical specifications for Fintech applications and solutions	✓
3. Develop Proof-of-Concept and coordinate the evaluation process	✓
4. Assist in technical design, development, integration, and implementation of Fintech solutions and applications	✓
5. Use some advanced and specialized skills in support of test plan, test cases/scripts, test environments, test data, and perform testing	
6. Work closely in a team environment and meet Fintech project schedules	
Key Roles/Responsibilities	Please “✓” where appropriate
<input checked="" type="checkbox"/> <b>Role 2 – Fintech Product Design</b>	
1. Design and develop Fintech products in response to the rapidly changing business environment and user needs	✓
2. Use some advanced and specialised skills to analyse the needs and opportunities for new Fintech products to improve user experience	✓
3. Propose Fintech product development strategies and participate in the product management cycle	✓
4. Compile metrics to meet business needs and objectives	✓
5. Collaborate with different business units to understand their priorities and elaborate requirements on features and functionalities for Fintech products	
6. Exercise appropriate judgment in recommending applicable regulatory and business requirements for product compliance	

Key Roles/Responsibilities	Please "✓" where appropriate
<input checked="" type="checkbox"/> <b>Role 3 – Fintech Strategy and Management</b>	
1. Study the capabilities of emerging technologies and identify opportunities to improve banking operations and products by formulating and demonstrating use cases of technologies	✓
2. Keep abreast of the latest Fintech regulatory requirements, industry initiatives, and best practices	✓
3. Analyse and study business objectives and requirements on Fintech development	
4. Follow up, monitor, and support the AI's Fintech strategic initiatives and business/partnership development	✓
5. Drive Fintech initiatives/projects and act as the key interface between external parties, business users, and technical teams in support of project co-ordination	
Key Roles/Responsibilities	Please "✓" where appropriate
<input type="checkbox"/> <b>Role 4 – Regtech</b>	
1. Observe the development around best practices for the use of Regtech	
2. Assist in drafting and revising policies and guidelines taking into account regulatory requirements and technology development to ensure adherence to the best practices for Regtech application	
3. Keep abreast of the capabilities of emerging technologies and identify opportunities and use cases for Regtech to transform risk management and regulatory compliance	
4. Assist in performing gap analysis of Regtech maturity, taking into consideration the advancement in innovative technologies	
5. Conduct Regtech vendor solution assessment and regulatory and business requirement conversion	
6. Assist in the development of Regtech solutions/proof-of-concepts	

**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

01/10/2022

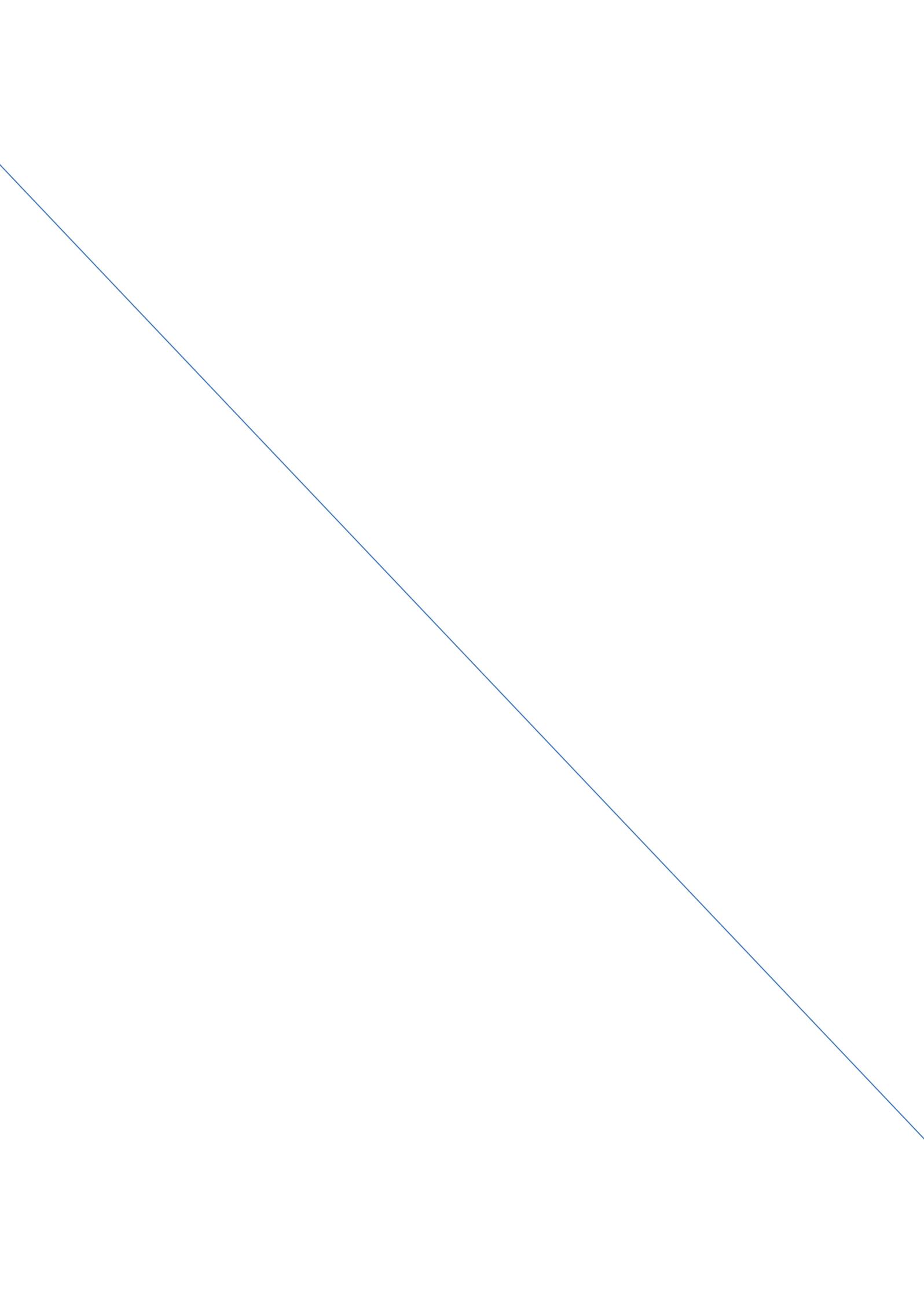
Signature & Company Chop

Date

Name: Jimmy Wong

Department & Position: HR (Head of HR)

AC3



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

Chan Tai 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 on Fintech (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:

01/10/2022

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.