

ECF FinTech Module 11 Exam

Examination Format and Duration

- Three-hour computer-based examination
- Essay Type Questions (Open-book; choose 4 out of 5 questions)
- Pass mark: 50%

Scope

- From Chapter 1 to Chapter 7 (class and case slides, and essential readings)
- Expectation / tips to prepare for the exam.....

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Expectation / tips to prepare for the exam (Open-book; choose 4 out of 5 questions)

- You should know the fundamental concepts and the key rationales/enabling factors/driving forces for RegTech, and from RegTech 1.0 to RegTech 2.0
- As this is an open book exam, do not just give an answer. You should have examples, use cases and your thoughts/ideas/analyses/justifications to support your answers.

Fundamentally, you should know:

- The roles and responsibility of AIs/banks/financial institutes, etc.
- The roles and responsibility of the government, regulator, legislative framework, etc.
- What is the purpose/intent/goal/reason/etc. for such roles and responsibilities?
- What is the strategy/policy approach for regulatory/regtech in HK and globally?

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You should present your answers/arguments/designs/solutions/etc:

- What are the changes from the existing RegTech 1.0 to the next phase RegTech 2.0?
- The impact of CBDC/Open Banking/BaaS/BaaP/etc. to the existing regtech strategy/approach? How to cope with the change? What would be your recommendations?
- Analyze the case studies we covered in class and propose your recommendations to improve/enhance the regtech solution(s).
- Critically review an AI-driven or DLT-enabled RegTech tool.

The Hong Kong Institute of Bankers