

Section B: Certification Eligibility

Only applicants who fulfil the following criteria are eligible to apply. Please put a “✓” in the appropriate box:

☐ Have completed Modules 1 to 4 of the ECF on Fintech (Core Level) training programme and passed the corresponding examinations; or

☐ Possessing the ECF Affiliate of CPFint(A) designation;

and

- Possessing **at least 1 year** of relevant work experience in Fintech.
- Employed by an AI at the time of application

Section C: Relevant Employment History

Please list all the relevant employment history in the Fintech or related functions in **reverse chronological order**.

Work experience does not need to be continuous. A **separate HR Verification Annex (Professional Level)** form is required for each position listed.

Job Number	Employer	Position	Employment Period for the Position (DD/MM/YYYY)
Current			From To
Job 2			From To
Job 3			From To

Total relevant work experience: _____ Year(s) _____ Month(s)

Total number of **HR Verification Annex (Core Level)** form submitted: _____

Section D: Declaration Relating 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?	☐ Yes	☐ 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?	☐ Yes	☐ 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?	☐ Yes	☐ 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 authorisation is required by law?	☐ Yes	☐ No
5. Have you ever been adjudged bankrupt, or served with a bankruptcy petition?	☐ Yes	☐ No

Section E: Payment

Payment Amount

Please indicate the fee by putting a "✓" in the appropriate box.

1st Year Certification Fee for CPFinT(A) (Membership valid until 31 December 2027 ¹)

- | | |
|--|-----------------------|
| ☐ Not a HKIB member | HKD2,300 ² |
| ☐ <u>Current and valid</u> HKIB Ordinary Member | HKD2,300 ² |
| ☐ <u>Current and valid</u> HKIB Professional Member | Waived |

1. Current Professional Member excluded. Professional Member will be required to renew the membership for 2027.

2. The 1st Year Certification Fee includes a complimentary CPD course (up to 3 hours) that supports your professional growth and career progression. For more details of the CPD course, please contact our Customer Experience Team.

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 "CPFinT(A) Certification" under 'remarks' and email together with the completed application form to cert.gf@hkib.org.
- ☐ Credit Card
- ☐ Visa
- ☐ Mastercard

Card No:

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Expiry Date (MM/YY):

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Name of Cardholder (as on credit card): _____

Signature of Cardholder (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 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 the [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

Use of Personal Data in Direct Marketing

I do not wish HKIB to use my personal data in direct marketing relating to HKIB's training programmes, examinations, professional qualifications, membership services, events, publications and professional development opportunities through the following channel(s) (please "✓" to select):

☐ Weekly E-News ☐ Email ☐ Telemarketing ☐ WhatsApp

Unless otherwise indicated above, HKIB may continue to use your personal data for direct marketing through the relevant communication channels in accordance with its Privacy Policy Statement.

Digital Credential Verification Preference

HKIB operates a Digital Credential System (DCS) that enables authorised employers and other authorised verification parties to verify professional qualifications and certifications awarded by HKIB. Unless you opt out below, HKIB will make the following credential information available through the DCS for credential verification purposes:

- Qualification achieved
- Certification status
- Award date
- Certification validity status

The purpose of this disclosure is to facilitate professional credential verification.

Please note that if you opt out, authorised verification parties may not be able to verify your HKIB credentials through the DCS. You may change your preference at any time through MyHKIB.

☐ I do not wish HKIB to disclose or verify my credential information through the DCS.

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, regardless of the final application result.
- I authorise HKIB to obtain from the relevant authorities any information about my qualifications and/ or employment as required for my application.
- I acknowledge that HKIB has the right to withdraw approval of the certification if I do not meet the requirements. I understand and agree that HKIB may investigate the statements I have made with respect to this application, and that I may be subject to disciplinary action 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 HKIB will use the information provided and personal data collected for administration and communication purposes.
- I have read and agree to comply with the “Guidelines of Certification Application for ECF on Fintech” (FIN-G-022).

Document Checklist

To facilitate the application process, please check the following items before submitting them to HKIB. Failure to submit the required 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 **HR Verification Annex (Core Level)** form(s), fulfilling the requirements as stipulated for certification application
- ☐ Copy of your HKID/Passport
- ☐ Copies of your ECF-Fintech examination results
- ☐ Payment or evidence of payment enclosed (e.g., cheque or completed Credit Card Payment Instructions)

Signature of Applicant

(Name: _____)

Date

)

Certification Application Form for ECF on Fintech (Core Level)

HR Department Verification Form on Employment Information for Fintech Practitioner

Important Notes:

1. A completed Certification Application Form for ECF on Fintech (Core Level) should include p.1-7 plus the relevant **HR Verification Annex (Core Level)** form(s) (p.AC1-AC3).
2. Complete **ONE HR Verification Annex form for EACH relevant position/functional title** in your application. You may make additional copies of this blank form as required.
3. All information provided, including company chop, must be true and original.
4. Please complete this form in BLOCK LETTERS.

Employment Information	
Name of the Applicant:	
HKID/Passport Number:	
Job Number (as stated in Section C on p.2):	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)	☐ Role 1 – Fintech Solution Development (fill in p.AC2) ☐ Role 2 – Fintech Product Design (fill in p.AC2) ☐ Role 3 – Fintech Strategy and Management (fill in p.AC3) ☐ Role 4 – Regtech (fill in p.AC3)
Total Time Spent in the above Specified Functional Role(s) for the Stated Position:	_____ Year(s) _____ Month(s)

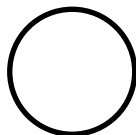
Please declare the “Key Roles/Responsibilities” in relation to your position/functional title stated on **p.AC1 of this HR Verification Annex (Core Level)** form by ticking the appropriate box(es).

Key Roles/Responsibilities		Please “✓” where appropriate
☐ Role 1 – Fintech Solution Development		
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
☐ Role 2 – Fintech Product Design		
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
☐ Role 3 – Fintech Strategy and Management		
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
☐ Role 4 – Regtech		
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 Bank.


Signature & Company Chop
Date

Name: _____

Department: _____

Position: _____

Authorisation for Disclosure of Personal Information to a Third Party

I, _____, (*name of applicant*) hereby authorise
The Hong Kong Institute of Bankers (HKIB) to disclose my results and/or progress of the
“Grandfathering/Examination/Certification/Exemption application for ECF-Fintech (Core Level)” to
any third party, including but not limited to my current employer and future employer(s), upon
request. HKIB shall try its best endeavours to ensure that the disclosure of the personal information
is proper and harmless to the applicant.

Signature

HKIB Membership No./HKID No.*

Date

Contact Phone No.

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

Important Notes:

1. Personal information includes, but is not limited to, grandfathering/examination/certification/exemption applications for a module/designation and award(s) achieved.
2. This authorisation form must be signed and submitted to HKIB.
3. Applicants may rescind or amend their consent in writing to HKIB at any time, except where action has been taken in reliance on this authorisation.