

Section B: Indication of Certification Applied

Please indicate the certification applied for by putting a "✓" in the appropriate box(es).

Certification Application for

☐ **Certified Fintech Professional (Management Track) (CPFinT(M)) ***

Eligibility (*Applicant must be employed by an AI at the time of application*):

- ☐ Have completed **Modules 5, 9 and 10** of the ECF on Fintech (Professional Level) training programmes and passed the examinations on top of the Core Level qualification; or
 - ☐ Possessing the ECF Affiliate of CPFinT(M) designation;
- and

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 the **HR Verification Annex (Professional Level)** form (p.AP2-AP3).

☐ **Certified Fintech Professional (Specialist Track) (CPFinT(S)) ***

Eligibility (*Applicant must be employed by an AI at the time of application*):

☐ **(I): AI and Big Data Stream (CPFinT (S-AIBD))**

- ☐ Have completed **Modules 5 and Module 6** of the ECF on Fintech (Professional Level) training programmes and passed the examinations to fulfill the technical specialist stream(s) on top of Core Level qualification; or
 - ☐ Possessing the ECF Affiliate of CPFinT(S-AIBD) designation;
- and

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 the **HR Verification Annex (Professional Level)** form (p.AP2-AP3).

☐ **(II): Distributed Ledger Technology Stream (CPFinT (S-DLT))**

- ☐ Have completed **Modules 5 and Module 7** of the ECF on Fintech (Professional Level) training programmes and passed the examinations to fulfill the technical specialist stream(s) on top of Core Level qualification; or
 - ☐ Possessing the ECF Affiliate of CPFinT(S-DLT) designation;
- and

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 the **HR Verification Annex (Professional Level)** form (p.AP2-AP3).

☐ **(III): Open Banking and API Stream (CPFinT (S-OBAPI))**

☐ Have completed **Modules 5 and Module 8** of the ECF on Fintech (Professional Level) training programmes and passed the examinations to fulfill the technical specialist stream(s) on top of Core Level qualification; or

☐ Possessing the ECF Affiliate of CPFinT(S-OBAPI) designation;

and

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 the **HR Verification Annex (Professional Level)** form (p.AP2-AP3).

☐ **(IV): Regtech Stream (CPFinT (S-RT))**

☐ Have completed **Modules 5 and Module 11** of the ECF on Fintech (Professional Level) training programmes and passed the examinations to fulfill the technical specialist stream(s) on top of Core Level qualification; or

☐ Possessing the ECF Affiliate of CPFinT(S-RT) designation;

and

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 the **HR Verification Annex (Professional Level)** form (p.AP2-AP3).

** Application will be processed based on the option(s) you chose.*

Section C: Relevant Employment History

Please list all the relevant employment history in the Fintech or related function in **reverse chronological order**. Work experience does not need to be continuous. For Professional Level applications, 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
Job 4			From To
Job 5			From To

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

Total number of **HR Verification Annex (Professional 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 D: Payment

Payment Amount

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

1st Year Certification Fee for (CPFinT(M)) and/or (CPFinT(S))

(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(M)/CPFinT(S) 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 (Professional Level)** form(s), fulfilling the requirements as stipulated for certification application
- ☐ Copy of your HKID/Passport
- ☐ Copies of your ECF-Fintech examinations 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 (Professional Level)

HR Department Verification Form on Employment Information for Fintech Practitioner

Important Notes:

1. A completed Certification Application Form for ECF on Fintech (Professional Level) should p.1-9 plus the relevant **HR Verification Annex (Professional Level)** form(s) (p.AP1-AP3).
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.4):	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.AP2) ☐ Role 2 – Fintech Product Design (fill in p.AP2) ☐ Role 3 – Fintech Strategy and Management (fill in p.AP3) ☐ Role 4 – Regtech (fill in p.AP3)
Total Time Spent in the above Specified Functional Role(s) for the Stated Position:	_____ Year(s) _____ Month(s)

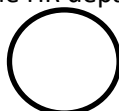
Please declare the “Key Roles/Responsibilities” in relation to your position/functional title stated on **p.AP1** of this **HR Verification Annex (Professional Level)** form by ticking the appropriate box(es).

Key Roles/Responsibilities	Please “✓” where appropriate
☐ Role 1 – Fintech Solution Development Please indicate your stream(s): ☐ AI and Big Data Stream (CPFinT(S-AIBD)) ☐ Distributed Ledger Technology Stream (CPFinT(S-DLT)) ☐ Open Banking and API Stream (CPFinT(S-OBAPI))	
1. Take ownership of know-how on specific Fintech domain(s), techniques, models, and frameworks	
2. Provide advice on the architecture design of Fintech projects across the AI	
3. Guide the technical requirements and design of Fintech solutions for Fintech projects	
4. Lead the development and implementation of in-house Fintech solutions for Fintech projects	
5. Work closely with product team, risk team and end users to ensure technical compatibility, compliance with standards (such as internal coding standards and security standards), sound risk control and good customer experience	
6. Ensure software development life cycle is in compliance with the information security and cyber resilience standards of the AI	
Key Roles/Responsibilities	Please “✓” where appropriate
☐ Role 2 – Fintech Product Design	
1. Keep abreast of latest market trends, analyse customers’ behavior, key financial drivers and competitors’ strategy to maintain competitiveness in the market	
2. Drive Fintech product development and enhancement to meet business objectives and user needs	
3. Formulate Fintech product strategy and create key metrics to track outcome after product release	
4. Work closely with different business units to prioritise Fintech product features and formulate product roadmap	
5. Ensure the development of Fintech products is in compliance with the information security and cyber resilience standards of the AI	
6. Provide risk control advice on applicable regulatory and business requirements	

Key Roles/Responsibilities		Please "✓" where appropriate
☐ Role 3 – Fintech Strategy and Management		
1. Formulate strategic directions for the AI's future growth		
2. Drive Fintech initiatives and lead a team to act as interface between cross-functional teams in Fintech implementation projects		
3. Collaborate with development team and business units in the planning, design, development, and deployment of Fintech solutions across the AI		
4. Lead cost-benefit and return on investment analyses for proposed solutions to assist senior management in making implementation decisions		
5. Engage with the external Fintech ecosystem to explore potential collaborations and opportunities		
6. Ensure the development of Fintech products is in compliance with the information security and cyber resilience standards of the AI		
Key Roles/Responsibilities		Please "✓" where appropriate
☐ Role 4 – Regtech		
1. Define, implement and be accountable for the Regtech adoption life cycle (e.g. RegTech strategy and governance)		
2. Lead the change management and transformation to accomplish the successful Regtech initiative delivery in areas including but not limited to data analytics, agile practices, vendor selection, and IT infrastructure integration. In particular, identify and collaborate with internal and external stakeholders to ensure successful implementation of Regtech solutions		
3. Keep abreast of emerging technologies and best practices development in different application areas (e.g. technology-related risk management, conduct risk management, and customer protection) relevant to Regtech adoption of AIs		
4. Advise risk and compliance function on robust organisational risk management policies and guidelines and best professional practices in areas including but not limited to cyber risk, market and liquidity risk, credit risk and customer data and privacy		
5. Advise on the potential Regtech application areas (e.g. maintaining obligation inventory, cross-border and local regulatory compliance, horizon scanning, and operational resilience) which could present opportunities to realise benefits for AIs' risk management and regulatory compliance		

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: _____

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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 (Professional
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.