

Received on:

Acknowledged on:

Application no:

Certification Application Form for ECF on Green and Sustainable Finance (ECF-GSF) (Professional Level)

Important Notes:

1. The application is applicable to **Relevant Practitioner (RP)** engaged by an Authorized Institution (AI) at the time of application.
2. Read carefully the "Guidelines of Certification Application for ECF on Green and Sustainable Finance" (GSF-G-022) **BEFORE** completing this application form.
3. Only **completed application forms** with all valid supporting documents, including the HR Verification Annexes, will be processed.

Section A: Personal Particulars ¹

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

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 Certification(s) Applied

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

Certification Application for

Eligibility *

(The application will be processed based on the option(s) selected by an applicant who is employed by an AI at the time of application.)

- ☐ **Certified Green Finance Professional (Green and Sustainable Finance Product) (CGFP(GSF-P))**
 - ☐ Have completed Modules 5 and 6[#] of the ECF on Green and Sustainable Finance (Professional Level) training programmes and passed the examinations on top of the Core Level qualification, and
 - ☐ Possessing at least 2 years of relevant work experience in any of the Professional Level functions as specified in the **HKMA Annex 1**;
- ☐ **Certified Green Finance Professional (Green and Sustainable Finance Investment) (CGFP(GSF-I))**
 - ☐ Have completed Module 5 and 7[#] of the ECF on Green and Sustainable Finance (Professional Level) training programmes and passed the examinations on top of the Core Level qualification, and
 - ☐ Possessing at least 2 years of relevant work experience in any of the Professional Level functions as specified in the **HKMA Annex 1**;
- ☐ **Certified Green Finance Professional (Sustainability Risk Management) (CGFP(SRM))**
 - ☐ Have completed Module 5 and 8[#] of the ECF on Green and Sustainable Finance (Professional Level) training programmes and passed the examinations on top of the Core Level qualification, and
 - ☐ Possessing at least 2 years of relevant work experience in any of the Professional Level functions as specified in the **HKMA Annex 1**;
- ☐ **Certified Green Finance Professional (Sustainability Disclosures and Reporting) (CGFP(SDR))**
 - ☐ Have completed Module 5 and 9[#] of the ECF on Green and Sustainable Finance (Professional Level) training programmes and passed the examinations on top of the Core Level qualification, and
 - ☐ Possessing at least 2 years of relevant work experience in any of the Professional Level functions as specified in the Possessing;
- ☐ **Certified Green Finance Professional (Sustainability Strategy, Compliance and Control) (CGFP(SSCC))**
 - ☐ Have completed Module 5 and 10[#] of the ECF on Green and Sustainable Finance (Professional Level) training programmes and passed the examinations on top of the Core Level qualification, and
 - ☐ Possessing at least 2 years of relevant work experience in any of the Professional Level functions as specified in the **HKMA Annex 1**;

[#] Modules 6, 7, 8, 9 & 10 could be exempted by completion of eligible training programmes offered by other training providers. Please refer to Section 8 of the Guide to Enhanced Competency Framework on Green and Sustainable Finance by the HKMA.

Section C: Relevant Employment History

Please list all the relevant employment history in the GSF 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 E: Payment

Payment Amount

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

1st Year Certification Fee for CGFP (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 "CGFP Certification" under 'remarks' and email together with the completed application form to cert.gf@hkib.org.
- ☐ Credit Card
- ☐ Visa
- ☐ Mastercard

Card No: - - -

Expiry Date (MM/YY): /

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 Green and Sustainable Finance " (GSF-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-GSF 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 Green and Sustainable Finance (Professional Level)

HR Department Verification Form on Employment Information for GSF Practitioner

Important Notes:

1. A completed Certification Application Form for ECF on Green and Sustainable Finance (Professional Level) should include p.1-8 plus the relevant **HR Verification Annex (Professional Level)** form(s) (p.AP1-AP8)/**HR Verification Annex (Core Level)** form(s) (p.AC1-AC9), where applicable). HR Verification Annex (Core Level) forms may be extracted from Certification Application Form (GSF-G-023).
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 and the core level form as required.
3. **The Annex for Current Job must be submitted by all Applicants.**
4. All information provided, including the company chop, must be true and original.
5. 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.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)	☐ Role 1 – Green and Sustainable Finance Product and Servicing ☐ Role 2 – Sustainability/ Climate Risk Management ☐ Role 3 – Sustainability Disclosures and Reporting ☐ Role 4 – Sustainability Strategy, Compliance & Control
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 – Green and Sustainable Finance Product and Servicing	
☐ Client Engagement and Relationship Management (Stream a)	
1. Execute ESG strategies and solutions to drive sustainable impact	
2. Keep abreast of local, regional and global ESG trends, market developments and emerging opportunities.	
3. Conduct research on corporates' ESG strategy, management practices, data and performance metrics.	
4. Acquire and analyse ESG data and information from clients, disseminate and align organisation-wide sustainability strategies and policies with client objectives.	
5. Provide expert guidance and strategic counsel to clients on ESG objectives, integration strategies, readiness assessments and sustainable practices.	
6. Advocate for and promote GSF products, which include demonstrating their features and how they can align with clients' needs and sustainability goals.	
7. Uphold ethical standards and ensure compliance with regulatory requirements and internal GSF frameworks, policies and guidelines.	
☐ Green and Sustainable Finance Product Development (Stream a)	
1. Supervise the development and implementation of internal GSF product frameworks and strategies.	
2. Oversee research efforts on sustainability topics and conduct in-depth analysis on ESG information and performance of clients and markets.	
3. Drive the origination and structuring of GSF products and solutions.	
4. Collaborate closely with frontline teams to identify, explore, and execute green and sustainable financing opportunities and deals.	
5. Develop and maintain the quality of information on GSF products in accordance with regulatory requirements and industry standards.	
6. Drive GSF-related engagements with internal and external stakeholders, including governments, regulators, industry associations and non-governmental organisations (NGOs).	
7. Serve as subject matter experts in the field of GSF and represent the organisation at industry conferences and forums.	

Key Roles/Responsibilities	Please "✓" where appropriate
8. Provide expert guidance and deliver comprehensive trainings on GSF to relationship managers to equip them with the knowledge and tools to navigate the GSF landscape.	
9. Uphold ethical standards and ensure compliance with regulatory requirements and internal GSF frameworks, policies and guidelines.	
☐ Green and Sustainable Finance Underwriting (Stream a)	
1. Supervise the development and implementation of advanced underwriting frameworks and methodologies that integrate ESG considerations into credit risk assessments.	
2. Provide expert guidance and strategic oversight to underwriting teams and drive consistent and effective credit decision-making processes.	
3. Perform comprehensive analysis on issuers' ESG risks, monitor credit risk exposures and apply advanced quantitative techniques for ESG risk assessment.	
4. Uphold ethical standards and ensure compliance with regulatory requirements and internal GSF frameworks, policies and guidelines.	
☐ Green and Sustainable Investment (Stream b)	
1. Develop and refine the overall green and sustainable investment strategy.	
2. Evaluate the emerging sustainable investment frameworks, methodologies and tools and drive the continuous enhancement of investment practices and performance.	
3. Oversee research efforts on sustainability topics and conduct quantitative and qualitative analysis on ESG information and performance of portfolio companies and markets.	
4. Supervise the preparation of clients' pitches, discussions and marketing materials for GSF business opportunities.	
5. Drive the implementation of diverse sustainable investing strategies and approaches, which include ESG screening, ESG integration, thematic investing and impact investing.	
6. Foster effective GSF-related communications including stewardship activities with internal and external stakeholders.	
7. Provide expert guidance and deliver training on GSF principles and practices to portfolio managers and analysts to enhance their understanding and proficiency in the field.	
8. Uphold ethical standards and ensure compliance with regulatory requirements and internal GSF frameworks, policies and guidelines.	
☐ Green and Sustainable Finance Data and Quantification (Stream a/ Stream b)	
1. Develop and execute a robust data strategy for GSF, which includes data governance, data quality management and datadriven insights to support strategic decision-making processes.	
2. Supervise cross-functional teams in the design and implementation of advanced data models, algorithms and predictive analytics techniques.	

Key Roles/Responsibilities	Please "✓" where appropriate
3. Collaborate with senior leadership to shape the organisation's overall data and quantification framework for GSF to align it with industry best practices and emerging trends.	
4. . Manage the development and implementation of technology and data solutions for seamless GSF data processing and advanced analytics.	
5. Oversee the strategic collaborations and partnerships with ESG data vendors and suppliers and oversee the onboarding and rigorous testing of new data sources.	
☐ Role 2 – Sustainability / Climate Risk Management	
1. Work closely with senior leadership and board members and provide strategic guidance on sustainability/climate risk management to align it with the organisation's overall risk appetite and business strategies.	
2. Develop and implement sustainability/climate risk assessment methodologies.	
3. Supervise the development, refinement, integration and implementation of a robust sustainability/climate risk management framework.	
4. Conduct extensive research and actively monitor global trends and regulations related to sustainability/climate risks.	
5. Drive the development and implementation of scenario-based modeling methodologies to comprehensively assess the impact of climate-related risks.	
6. Monitor climate risk stress testing and scenario analysis outcomes and ensure compliance with international and local regulatory requirements and industry standards.	
7. Provide oversight and guidance on engaging with business units and relevant control functions to implement the sustainability/climate risk management framework.	
8. Develop and deliver training sessions on GSF risk management to equip stakeholders with the knowledge and tools to effectively identify, assess and manage sustainability risks.	
9. Uphold ethical standards and ensure compliance with regulatory requirements, as well as internal GSF frameworks, policies and guidelines.	

Key Roles/Responsibilities	Please "✓" where appropriate
☐ Role 3 – Sustainability Disclosures and Reporting	
☐ Sustainability Reporting	
1. Develop and execute a sustainability reporting strategy to align it with the organisation's overall sustainability goals and objectives and integrate it into the organisation's broader reporting framework	
2. Collaborate with key stakeholders, including senior leadership, ESG experts and external partners, to establish robust metrics and methodologies for measuring and reporting the organisation's sustainability performance.	
3. Supervise the development of reporting frameworks, including the collection and curation of content, drafting of reports, and enhancement of reporting capabilities and procedures.	
4. Continuously monitor and analyse GSF trends and regulatory developments, integrating them into the bank's sustainability and GSF reporting framework to ensure alignment with the relevant developments.	
5. Provide leadership and expert advice on the implementation of current and emerging ESG disclosure frameworks.	
6. Oversee the collection, analysis and submission of sustainability-related data.	
7. Coordinate both internal and external assurance processes for sustainability reports.	
☐ Carbon Accounting	
1. Develop and implement a carbon accounting framework to accurately measure and track the organisation's carbon emissions across all business activities.	
2. Conduct carbon footprint assessments and analyses to identify emission sources, quantify their impact and identify areas for emission reduction and mitigation.	
3. Collaborate with internal stakeholders to gather data on energy consumption, transportation, supply chain and other relevant factors.	
4. Apply data analytics techniques to analyse carbon data, identify trends and patterns and provide insights for strategic decision-making and goal-setting processes.	
5. Design and implement carbon reduction strategies and initiatives.	
6. Provide expert guidance and recommendations on carbon accounting methodologies, standards and reporting frameworks.	
7. Monitor the organisation's carbon emissions data and conduct regular audits.	
8. Collaborate with external stakeholders, such as carbon exchanges, industry associations and sustainability organisations, to stay updated on emerging trends and regulations on carbon accounting and contribute to industrywide initiatives.	

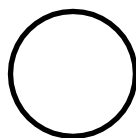
Key Roles/Responsibilities	Please "✓" where appropriate
9. Educate and train employees on carbon accounting principles, methodologies and the importance of carbon reduction.	
10. Engage with clients and stakeholders to provide guidance and assistance on carbon accounting.	
☐ Role 4 – Sustainability Strategy, Compliance and Control	
☐ General Sustainability	
1. Develop and execute a sustainability strategy to drive the organisation's ESG performance and long-term sustainable development goals.	
2. Collaborate with senior leadership, different departments and business units to integrate sustainability considerations into the organisation's overall business strategy.	
3. Identify and prioritise key sustainability risks and opportunities, and conduct assessments and analyses to inform decision-making and drive sustainable business practices.	
4. Establish and maintain relationships with internal and external stakeholders, which include clients, regulators, industry partners and sustainability organisations, to promote collaboration and drive sustainability initiatives.	
5. Monitor and evaluate the organisation's sustainability performance, which include setting targets, tracking progress and implementing corrective actions.	
6. Conduct comprehensive stakeholder engagement activities, which include performing environmental and social impact assessments.	
7. Foster a culture of sustainability throughout the organisation and provide employees with training, education and awareness programmes.	
☐ Sustainability Strategy	
1. Work closely with senior leadership and the board of directors to set the strategic direction of the organisation's sustainability efforts and align the sustainability strategy with the organisation's long-term goals and objectives.	
2. Engage with industry associations, regulatory bodies and other external stakeholders to shape the development and evolution of sustainability standards, frameworks and policies.	
3. Oversee research initiatives on sustainability and climate-related issues, which include in-depth analysis of material issues specific to sectoral markets, greenhouse gas emissions and other relevant environmental and social factors.	
4. Provide expert advice and guidance on sustainability and climate-related issues.	

Key Roles/Responsibilities	Please "✓" where appropriate
5. Supervise the development, implementation, execution, and management of the organisation's holistic sustainability strategy, as well as define clear targets and action plans to drive sustainable practices and positive impact.	
6. Develop and execute internal and external communication strategies to effectively communicate the organisation's sustainability initiatives, progress and achievements to various stakeholders.	
7. Drive GSF training and development initiatives and design comprehensive training programmes and resources to enhance the knowledge and capabilities of employees.	
☐ Sustainability Compliance	
1. Manage the development, implementation and enhancement of a robust compliance monitoring and testing framework specific to GSF and ESG/sustainability.	
2. Provide strategic guidance and expert advice on the integration of GSF and ESG/sustainability compliance considerations into the organisation's overall risk management framework.	
3. Continuously monitor, evaluate and assess regulatory developments pertaining to GSF and ESG/sustainability issues.	
4. Keep abreast of the latest regulatory developments related to greenwashing and coordinate with internal stakeholders to implement measures to mitigate greenwashing risks.	
5. Oversee and facilitate comprehensive training programmes for employees on GSF and ESG/sustainability compliance.	
6. Uphold ethical standards and ensure compliance with regulatory requirements, as well as internal GSF and sustainability frameworks, policies and guidelines.	
☐ Internal Control	
1. Establish and maintain robust internal controls specific to ESG and foster a culture of sustainability ownership and accountability throughout the organisation.	
2. Supervise the development, execution, documentation and testing of internal controls and risk management procedures pertaining to GSF and ESG/sustainability, and validate the effectiveness of risk mitigation activities.	
3. Develop appropriate audit programmes that focus on material risks related to sustainability risk identification and management.	
4. Actively challenge and add value to an organisation's climate risk and sustainable finance work and ESG/sustainability disclosures.	
5. Take responsibility for auditing the performance measurement, data disclosure and reporting of sustainabilityrelated risks.	

Key Roles/Responsibilities	Please "✓" where appropriate
6. Develop and execute GSF training and development initiatives, which include designing comprehensive training programmes and resources to enhance the knowledge and capabilities of employees.	

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 this Authorized Institution.



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-GSF (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.