

Received on:

Acknowledged on:

Application no:

## Grandfathering and/or Certification Application Form for ECF on Green and Sustainable Finance (Core Level)

**Important notes:**

1. The application is only for the **Relevant Practitioner (RP)** engaged by Authorized Institutions (AIs) at the time of application **ONLY**.
2. Read carefully the Guideline of Grandfathering and Certification Application for ECF on Green and Sustainable Finance (Core Level) (GSF-G-017) **BEFORE** completing this application form.
3. Only the completed application form with all valid supporting documents, including the HR Verification Annexes will be processed.

### Section A: Personal Particulars<sup>1</sup>

Title: <input 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> :  <i>(Surname)</i> <i>(Given Name)</i>	Name in Chinese <sup>2</sup> :	
HKID/Passport Number:	Date of Birth: <i>(DD/MM/YYYY)</i>	
<b>Contact information</b>		
(Primary) Email Address <sup>3</sup> :  (Secondary) Email Address:	Mobile Phone Number:	
Correspondence Address:		
<b>Employment information</b>		
Name of Current Employer:	Office Telephone Number:	
Position/Functional Title:	Department:	
Office Address <sup>4</sup> :		
<b>Academic and Professional Qualifications</b>		
Highest Academic Qualification Obtained:	University/Tertiary Institution:	Date of Award:
Other Professional Qualifications:	Professional Bodies:	

<sup>1</sup> Put a "✓" in the appropriate box(es)

<sup>2</sup> Information as shown on the identity document

<sup>3</sup> All the HKIB communication will be sent to the Primary Email Address (Personal email preferred)

<sup>4</sup> 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(es).

**Type 1: Grandfathering and Certification Application for  
ECF on Green and Sustainable Finance (GSF) (Core Level)**

Please indicate your track(s):

- Track 1: Associate GSF (Product & Servicing) (Role 1)
- Track 2: Associate GSF (Climate Risk Management) (Role 2)
- Track 3: Associate GSF (Sustainability Disclosures and Reporting) (Role 3)
- Track 4: Associate GSF (Sustainability Strategy, Compliance and Control) (Role 4)

**Eligibility:**

- Possessing at least 2 years of relevant work experience in Core Level job roles in any of the functions as specified in **Annex 1 of the "Guide to Enhanced Competency Framework on Green and Sustainable Finance (Core Level)" issued by the Hong Kong Monetary Authority dated 28 July 2023**; and
- being employed by an AI at the time of application.

**Type 2: Certification Application ONLY for  
ECF on Green and Sustainable Finance (GSF) (Core Level)**

Please indicate your track(s):

- Track 1: Associate GSF (Product & Servicing) (Role 1)
  - Completion of Module 1 and 2 of ECF on GSF Core Level training programme
- Track 2: Associate GSF (Climate Risk Management) (Role 2)
  - Completion of Module 1 and 3 of ECF on GSF Core Level training programme
- Track 3: Associate GSF (Sustainability Disclosures and Reporting) (Role 3)
  - Completion of Module 1 and 4 of ECF on GSF Core Level training programme
- Track 4: Associate GSF (Sustainability Strategy, Compliance and Control) (Role 4)
  - Completion of Module 1 and 4 of ECF on GSF Core Level training programme

**Eligibility:**

- Completing training programme offered by the HKIB or other accredited training programmes and passing relevant examinations hosted by the HKIB or equivalent; and
- being employed by an AI at the time of application.

### Section C: Relevant Employment History

List all the relevant employment history in the GSF or related function 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.AC1–AC9).

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

Total relevant work experience: \_\_\_\_\_ year(s) \_\_\_\_\_ month(s)

Total number of set of **HR Verification Annex (Core Level)** form submitted: \_\_\_\_\_

### 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 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 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 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 type="checkbox"/> No
5. Have you ever been adjudged bankrupt, or served with a bankruptcy petition?	<input type="checkbox"/> Yes	<input type="checkbox"/> No

**Section E: Payment**

<b>Payment amount</b>			
Indicate the fee by putting a "✓" in the appropriate box(es)			
<b>Grandfathering Administration Fee</b>			
1 Track	2 Tracks	3 Tracks	4 Tracks
<input type="checkbox"/> HKD 1,200	<input type="checkbox"/> HKD 2,300	<input type="checkbox"/> HKD 3,400	<input type="checkbox"/> HKD 4,500
<b>And</b>			
<b>Certification Fee</b>			
Not a HKIB member	<input type="checkbox"/> HKD 1,800		
Current and valid HKIB Ordinary Member	<input type="checkbox"/> HKD 620		
Current and valid HKIB Professional Member	Waived		
<b>Total: HKD _____</b>			
<b>Payment method</b>			
<input type="checkbox"/> Paid by Employer <ul style="list-style-type: none"> <li><input type="checkbox"/> Company cheque (cheque no: _____ )</li> <li><input type="checkbox"/> Company invoice ( _____ )</li> </ul>			
<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 "ECF-GSF (Core Level) Grandfathering and Certification" under 'remarks' 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 <ul style="list-style-type: none"> <li><input type="checkbox"/> Visa    <input type="checkbox"/> Master</li> </ul>			
Card no:	<input style="width: 40px; height: 20px;" type="text"/> - <input style="width: 40px; height: 20px;" type="text"/> - <input style="width: 40px; height: 20px;" type="text"/> - <input style="width: 40px; height: 20px;" type="text"/>		
Expiry date (MM/YY):	<input style="width: 30px; height: 20px;" type="text"/> / <input style="width: 30px; height: 20px;" type="text"/>		
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 regardless of the final application result.
- I authorise 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 as stated in Section D. 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/page/125) set out on the HKIB website at <http://www.hkib.org/page/125>, 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 "Guideline of Grandfathering and Certification Application for ECF-GSF" (GSF-G-017).

### **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. e-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/authorised staff of current employer (Authorized Institution); or
- A recognised certified public accountant/lawyer/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).

\_\_\_\_\_  
**Signature of Applicant**

(Name: \_\_\_\_\_ )

\_\_\_\_\_  
**Date:**

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

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

**Important notes:**

1. All information filled in including company chop must be true and original.
2. Fill in **ONE completed HR Department Verification Annex (Core Level) form for EACH relevant position/functional title** in your application. A completed Application Form for ECF on GSF (Core Level) should contain p.1-6 plus the **HR Department Verification Annex (Core Level) form**. **You can make copies of the HR Department Verification Annex (Core Level) form (p.AC1-AC9) for your use.**
3. Use BLOCK LETTERS to complete the **HR Department Verification Annex (Core Level) form**.

Employment Information	
<b>Name of the applicant:</b>	
<b>HKID/Passport number:</b>	
<b>Job number (as stated in Section C of p.3):</b>	<b>Current/Job no:</b>
<b>Position/Functional title:</b>	
<b>Name of employer:</b>	
<b>Business division/department:</b>	
<b>Employment period of the stated position / functional title:</b> <i>(DD/MM/YYYY)</i>	From:  To:
<b>Key roles/responsibilities in relation to the stated position/functional title:</b>	<input type="checkbox"/> Role 1 – Green and Sustainable Finance Product and Servicing <input type="checkbox"/> Role 2 – Sustainability/ Climate Risk Management <input type="checkbox"/> Role 3 – Sustainability Disclosure and Reporting <input type="checkbox"/> Role 4 – Sustainability Strategy, Compliance & Control
<b>Total number of years and months of carrying out any of the above specified functional role(s) in the stated position</b>	_____years _____months

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

<b>Key Roles/Responsibilities</b>	<b>Please “√” where appropriate</b>
<input type="checkbox"/> <b>Role 1 – Green and Sustainable Finance Product and Servicing</b>	
<input type="checkbox"/> <b><i>Client Engagement and Relationship Management</i></b>	
1. Keep abreast of local, regional and global GSF trends, markets and development	
2. Support the research and analysis of corporates on ESG strategy, management, data and performances	
3. Support internal teams in collecting ESG data and information from clients and communicating bank-wide sustainability strategies and policies to clients	
4. Assist in selling of GSF products and offering advice to clients on matters including but not limited to ESG objectives, integration, readiness and sustainability strategies	
5. Promote GSF products and explain product features to clients	
6. Perform due diligence for GSF products and customers	
7. Work with internal teams to develop marketing materials that create interest in GSF products and develop new business opportunities	
8. Work with internal teams to develop, collect and analyse GSF related data and information for internal and external reporting purposes	
9. Act ethically and ensure compliance with regulatory requirements and internal GSF frameworks, policies and guidelines	
10. Assist in providing training to staff on selling and advisory of GSF products	
<input type="checkbox"/> <b><i>Green and Sustainable Investment</i></b>	
1. Monitor, analyse and keep abreast of local, regional and global GSF trends, markets and development	
2. Conduct research on sustainability topics and perform quantitative and qualitative analysis on ESG information and performance of portfolio companies and markets, integrating findings into investment decisions	
3. Prepare client pitch, discussion and marketing materials for GSF business opportunities	



Key Roles/Responsibilities	Please “√” where appropriate
4. Assist in executing different sustainable investing strategies and approaches, including but not limited to ESG screening, ESG integration, thematic investing and impact investing	
5. Work with internal teams to develop, collect and analyse GSF related data and information for internal and external reporting purposes	
6. Assist in stewardship activities including engagements and proxy voting	
7. Participate in GSF-related communications with internal and external stakeholders, including governments, regulators, industry associations, non-governmental organisations (NGOs), rating agencies and relevant business units	
8. Assist in providing GSF-related guidance and trainings to staff (including portfolio managers and analysts) on GSF investment	
9. Ensure the financial market transactions are in compliance with regulatory requirements and internal GSF frameworks, policies and guidelines	
<input type="checkbox"/> <b>Green and Sustainable Finance Product Development</b>	
1. Monitor, analyse and keep abreast of local, regional and global GSF trends, markets and development	
2. Assist in developing and implementing internal GSF frameworks and strategies	
3. Gather and analyse ESG data and information on sectors and corporates that are covered	
4. Conduct research on sustainability topics and analyse ESG information and performance of clients and markets, integrating findings into financing decisions and research reports	
5. Support the origination, structuring of GSF products and solutions (i.e. financing proposals, term sheet, due diligence, documentation, etc.) by leveraging ESG data, regulatory and analytical expertise	
6. Liaise with frontline teams to explore and execute green and sustainable financing opportunities and deals	
7. Support the development, quality assurance and maintenance of the library of GSF communication materials to raise awareness of internal and external stakeholders	
8. Work with internal teams to collect and document GSF-related information for reporting purposes	
9. Support GSF-related engagements with internal and external stakeholders, including governments, regulators, industry associations, NGOs	

Key Roles/Responsibilities	Please “√” where appropriate
10. Assist in providing GSF guidance and trainings to staff (including relationship managers) on GSF/sustainability products	
11. Act ethically and ensure compliance with regulatory requirements and internal GSF frameworks, policies and guidelines	
<input type="checkbox"/> <b>Green and Sustainable Finance Underwriting</b>	
1. Support the credit underwriting of GSF transactions originated by other business units	
2. Assist in conducting qualitative analysis on issuers’ ESG risks and monitoring credit risk exposures and utilise quantitative techniques for ESG risk assessment to overlay an ESG view within the credit appraisal process, e.g. develop quantitative ESG score from proprietary framework that aggregates metrics from primary and secondary data sources	
3. Act ethically and ensure compliance with regulatory requirements and internal GSF frameworks, policies and guidelines	
4. Assist in providing training to staff on GSF risks related to underwriting	
<input type="checkbox"/> <b>Green and Sustainable Finance Data and Quantification</b>	
1. Assist in developing, collating and analysing GSF data/databases	
2. Assist in developing and providing technology and data solutions for GSF data processing and analytics	
3. Liaise with ESG data vendors and suppliers to onboard and test new data sources	
4. Provide support to the internal teams during GSF-related system implementation phases	
5. Assist in providing training to staff on GSF data processing and analytics	

Key Roles/Responsibilities	Please “✓” where appropriate
<input type="checkbox"/> <b>Role 2 – Sustainability / Climate Risk Management</b>	
1. Assist in the development, enhancement and execution of an appropriate sustainability/ESG risk (including climate-related risks) management framework, and integration into the bank’s existing risk management processes	
2. Support the setting of risk appetite and control measures for sustainability/ESG and climate risk management, and monitoring sustainability/ESG and climate risk exposure	
3. Support in communicating with the risk owners on risk identification and assessment, and provide advice on control and mitigation	
4. Conduct research and monitor global trends and regulations on sustainability/ESG risks (including climate-related risks), keep abreast of latest industry standards to ensure existing practices remain effective and relevant	
5. Collaborate with related control functions and businesses on regulatory/legal entity risk management matters and sustainability/ESG risks (including climate-related risks and greenwashing risks) management	
6. Assist in the development of scenario-based modelling to understand the impact of climate-related risks (physical and transition risks)	
7. Assist in the development, validation, execution and monitoring of climate risk related models	
8. Perform climate risk stress testing and scenario analysis in accordance with international and local regulatory requirements and industry practice	
9. Engage with business units on sustainability/ESG risks (including climate-related risks) to implement the sustainability risk management framework	
10. Assist in providing training to staff on sustainability/ESG and climate risk management	
11. Act ethically and ensure compliance with regulatory requirements and internal GSF frameworks, policies and guidelines	

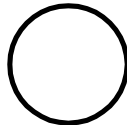
<b>Key Roles/Responsibilities</b>	<b>Please “√” where appropriate</b>
<b><input type="checkbox"/> Role 3 – Sustainability Disclosures and Reporting</b>	
1. Monitor, analyse and keep abreast of local, regional and global GSF trends, markets and development and incorporate them into the bank’s sustainability and GSF reporting frameworks	
2. Support the bank’s sustainability reporting efforts, including developing the data reporting framework, collecting sustainability data, drafting and improving data reporting procedures	
3. Support the implementation of current and emerging ESG disclosure frameworks, including the implementation of GSF related parts of TCFD and ISSB reporting	
4. Coordinate with different departments to evaluate the performance of GSF activities for sustainability/ESG data disclosures and reporting	
5. Support the collection, disclosures and reporting of green and sustainable finance products, sustainability/ESG and climate risk related data	
6. Collect and analyse sustainability-related data using data collection templates/data collection systems to report and evaluate the bank’s sustainability performance	
7. Support the bank’s submissions on sustainability/ESG ratings, surveys and awards	
8. Coordinate internal and external assurance of sustainability reports	
9. Assist in providing training to staff on sustainability disclosures and reporting	
<b><input type="checkbox"/> Role 4 – Sustainability Strategy, Compliance &amp; Control</b>	
<b><input type="checkbox"/> Sustainability Strategy</b>	
1. Monitor, analyse and keep abreast of local, regional and global GSF and ESG/sustainability trends, markets and development and incorporate them into the bank’s sustainability strategy	
2. Support the development, implementation, execution and management of the bank’s sustainability strategy, targets and action plans	
3. Collaborate and maintain relationships with internal and external stakeholders to promote and drive the bank’s sustainability strategy	
4. Support training, upskilling and ongoing engagement of staff on key aspects of GSF and ESG/sustainability	
5. Maintain effective communication with internal and external stakeholders and relevant parties on matters related to GSF and ESG/sustainability	

<b>Key Roles/Responsibilities</b>	<b>Please “√” where appropriate</b>
<input type="checkbox"/> <b>Sustainability Compliance</b>	
1. Maintain a thorough and up-to-date understanding of legislative and regulatory developments on GSF and ESG/sustainability issues	
2. Assist in evaluating the impact of GSF and ESG/sustainability related regulatory developments, support regulatory change management efforts, and provide regulatory updates to the internal teams	
3. Provide advice on applicable GSF and ESG/sustainability related compliance and regulatory matters to business personnel and support functions	
4. Support the implementation of enhancement of policies, procedures, and programmes to effectively address GSF and ESG/sustainability related compliance and regulatory risks	
5. Assist in providing training to staff on GSF and ESG/sustainability compliance	
6. Act ethically and ensure compliance with regulatory requirements and internal GSF and sustainability frameworks, policies and guidelines	
<input type="checkbox"/> <b>Internal Control</b>	
1. Monitor, analyse and keep abreast of local, regional and global GSF and ESG/sustainability trends, markets and development, and assist in advising on the bank’s broader risk management capabilities	
2. Support the development and implementation of integrating GSF and ESG/sustainability related risks and compliance considerations into the bank’s audit strategy, framework and programmes	
3. Support the development, execution, documentation and testing of internal controls and risks related to GSF and ESG/sustainability and validating risk mitigation activities	
4. Setting up appropriate audit programmes to focus on material risks to an AI’s sustainability risk identification and management	
5. Constructively challenging and adding value to an AI’s climate risk and sustainable finance work and ESG/sustainability disclosures	
6. Assist in auditing the performance measurement, data disclosures and reporting of sustainability related risks	
7. Assist in providing training to staff on internal controls related to GSF	

Key Roles/Responsibilities	Please “✓” where appropriate
<input type="checkbox"/> <b><i>Advisory on Sustainability and Climate Related Issues</i></b>	
1. Conduct research on sustainability and climate related issues, including material issues related to sectoral markets, greenhouse gas emissions, and other environmental and social issues	
2. Provide advice on sustainability and climate related issues	
3. Assist in providing training to staff on advisory on sustainability and climate related issues	

**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).



\_\_\_\_\_  
**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 progress of the

“Grandfathering/Examination/Certification/Exemption results for ECF on GSF (Core Level)” to

\_\_\_\_\_ (*applicant’s bank name*) for HR and Internal Record.

Signature:

HKIB Membership No./HKID No.\*:

\_\_\_\_\_

\_\_\_\_\_

Date:

Contact Phone No.:

\_\_\_\_\_

\_\_\_\_\_

*\*The HKIB Membership No./HKID No. is needed for identity verification. We may also need to contact you for additional information related to the authorisation.*

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. Applicant may rescind or amend consent in writing to the HKIB at any time, except where action has been taken in reliance on this authorisation.