	(For office use only)
Received on:	
Acknowledged on:	
Application no:	

Certification Application Form
for ECF on Fintech (Professional Level)

Important Notes:

1. The application is applicable for the **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 Fintech" (FIN-G-022) **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 [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 Applied

Indicate the certification applied by putting a "✓" in the appropriate box(es).

Certification Application for
Certified Fintech Professional (Management Track) (CPFinT(M)) and/or
Certified Fintech Professional (Specialist Track) (CPFinT(S))

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

For Management Track -

☐ **CPFinT(M)**

- Completed **Modules 5, 9 and 10** of the HKIB ECF on Fintech Professional Level training programmes and passed the examinations on top of the Core Level qualification; and

- Possessed **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).

and/or

For Specialist Track -

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

- Completed **Module 5 and Module 6** of the HKIB ECF on Fintech Professional Level training programmes and passed the examinations to fulfill the technical specialist stream(s) on top of Core Level qualification; 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))**

- Completed **Module 5 and Module 7** of the HKIB ECF on Fintech Professional Level training programmes and passed the examinations to fulfill the technical specialist stream(s) on top of Core Level qualification; 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))**

- Completed **Module 5 and Module 8** of the HKIB ECF on Fintech Professional Level training programmes and passed the examinations to fulfill the technical specialist stream(s) on top of Core Level qualification; 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))**

- Completed **Module 5 and Module 11** of the HKIB ECF on Fintech Professional Level training programmes and passed the examinations to fulfill the technical specialist stream(s) on top of Core Level qualification; 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

List all the relevant employment history in the Fintech 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 (Professional Level)** form (p.AP1–AP3).

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 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?	☐ 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

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 2025)

☐   Not a HKIB member   HKD2,180 *

☐   <u>Current and valid</u> HKIB Ordinary member   HKD950 *

☐   <u>Current and valid</u> HKIB Professional member   Waived

* 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: ☐☐☐☐ - ☐☐☐☐ - ☐☐☐☐ - ☐☐☐☐

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. The 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. The 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

☐ *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 fee paid is 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 the certification if I do not meet the requirements.   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 set out on the HKIB website, and consent to the terms set out therein.   I also understand that the HKIB will use the information provided and personal data collected for administration and communication purposes.

- I have read and agreed 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 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 (Professional Level)** fulfilling the requirements as stipulated for certification application
☐   Copies of the examinations results
☐   Copy of your HKID/Passport
☐   Payment or evidence of payment enclosed (e.g. Cheque or completed Credit Card Payment Instructions)

Signature of Applicant   **Date**

(Name: **)**

Certification Application Form

for ECF on Fintech (Professional Level)

HR Department Verification Form on Employment Information for Fintech Practitioner

Important Notes:
1. A completed <u>Certification Application Form for ECF on Fintech (Professional Level)</u> should contain p.1-7 plus this **HR Verification Annex (Professional Level)** form(s) (p.AP1-AP3).
2. Fill in **ONE set of HR Verification Annex form for EACH relevant position/functional title** in your application. You can make extra copies of this blank form for use.
3. All information filled in including company chop must be true and original.
4. Use BLOCK LETTERS to complete this form.

| **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 – 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 for the above Specified Functional Role(s) in 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.

_____   _____
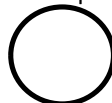
Signature & Company Chop   **Date**

Name: _____

Department: _____

Position: _____

AP3

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 application for ECF-Fintech (Professional

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 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 application of a module/designation and award(s) achieved.

2. This authorisation form must be signed and submitted to the HKIB

3. 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.