

Grandfathering and/or Certification Application Form for ECF on Fintech (Core Level)
HR Department Verification Form on Key Roles/Responsibilities for Fintech Practitioner

(For entry-level and junior level staff with 0-5 years of experience)

Important notes:

1. All information filled in including company chop must be true and original.
2. Fill in **ONE completed HR Verification Annex (Core Level) form for EACH relevant position/functional title** in your application. A completed Application Form for ECF on Fintech (Core Level) should contain p.1-6 plus the **HR Verification Annex (Core Level) form**. You can make copies of the **HR Verification Annex (Core Level) form** (p.AC1-AC3) for your use.
3. Use BLOCK LETTERS to complete the **HR Verification Annex (Core Level) form**.
4. The same set of HR verification document(s) can support both applications of grandfathering and certification in one submission. Separate submissions of grandfathering or certification applications will require another set of original HR verification document(s) even if the information contained is identical.

Employment Information	
Name of the applicant:	
HKID/Passport number:	
Job number (<i>Current job = 1, then in reverse chronological order is job 2 and job 3, etc</i>):	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: (<i>Tick the appropriate box(es); Application will be processed based on the role(s) ticked</i>)	<input type="checkbox"/> Role 1 – Fintech Solution Development (<i>fill in p.AC2</i>) <input type="checkbox"/> Role 2 – Fintech Product Design (<i>fill in p.AC2</i>) <input type="checkbox"/> Role 3 – Fintech Strategy and Management (<i>fill in p.AC3</i>) <input type="checkbox"/> Role 4 – Regtech (<i>fill in p.AC3</i>)
Total number of years and months of carrying out any of the above specified role(s) function in the stated position	_____years _____months

Tick in the appropriate “Key Roles/Responsibilities” in relation to your position/functional title stated on p.AC1 of the **HR Verification Annex (Core Level)** form.

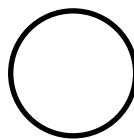
Key Roles/Responsibilities	Please “√” where appropriate
<input type="checkbox"/> Role 1 – Fintech Solution Development	
1. Keep abreast of latest Fintech developments including Fintech products, innovative tools and solutions, emerging technologies, and best practices	
2. Analyse Fintech application 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
<input type="checkbox"/> 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
<input type="checkbox"/> 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
<input type="checkbox"/> 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 applicant’s employer (where the organisation has a record of this information).



Signature & Company Chop

Date

Name: _____

Department & Position: _____