



## Grandfathering and/or Certification Application Form for ECF on Fintech (Professional Level)

HR Department Verification Form (Professional Level) on Key Roles/Responsibilities for Fintech Practitioner

**(For middle-level and senior positions in the fintech function with 6+ years of experience)**

**Important notes:**

- All information filled in including company chop must be true and original.
- Fill in **ONE completed HR Verification Annex (Professional Level) form for EACH relevant position/functional title** in your application. A completed Application Form for ECF on Fintech (Professional Level) should contain p.1-8 plus the **HR Verification Annex (Professional Level) form**. You can make copies of the **HR Verification Annex (Professional Level) form** (p.AP1-AP4) for your use.
- Use BLOCK LETTERS to complete the **HR Verification Annex (Professional Level) form**.
- 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	
<b>Name of the applicant:</b>	
<b>HKID/Passport number:</b>	
<b>Job number</b> ( <i>Current job = 1, then in reverse chronological order is job 2 and job 3, etc</i> ):	<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 functional title/position:</b> (DD/MM/YYYY)	From:  To:
<b>Key roles/responsibilities in relation to the stated position/functional title:</b> ( <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.AP2</i> ) <input type="checkbox"/> Role 2 – Fintech Product Design ( <i>fill in p.AP2-AP3</i> ) <input type="checkbox"/> Role 3 – Fintech Strategy and Management ( <i>fill in p.AP3</i> ) <input type="checkbox"/> Role 4 – Regtech ( <i>fill in p.AP3-AP4</i> )
<b>Total number of years and months of carrying out any of the above specified role(s) function in the stated position</b>	_____ years _____ months



Tick the appropriate “Key Roles/Responsibilities” in relation to your position/functional title stated on p.AP1 of the **HR Verification Annex (Professional Level)** form.

Key Roles/Responsibilities	Please “√” where appropriate
<input type="checkbox"/> <b>Role 1 – Fintech Solution Development</b> Please indicate your stream(s): <ul style="list-style-type: none"> <li><input type="checkbox"/> AI and Big Data Stream (CPFinT(S-AIBD))</li> <li><input type="checkbox"/> Distributed Ledger Technology Stream (CPFinT(S-DLT))</li> <li><input type="checkbox"/> Open Banking and API Stream (CPFinT(S-OBAPI))</li> </ul>	
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
<input type="checkbox"/> <b>Role 2 – Fintech Product Design</b>	
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	



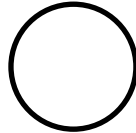
5. Ensure the development of Fintech products is in compliance with the information security and cyber resilience standards of the AI	
6. Provide risk control advice on applicable regulatory and business requirements	
<b>Key Roles/Responsibilities</b>	Please “√” where appropriate
<input type="checkbox"/> <b>Role 3 – Fintech Strategy and Management</b>	
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	
<b>Key Roles/Responsibilities</b>	Please “√” where appropriate
<input type="checkbox"/> <b>Role 4 – Regtech</b>	
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 applicant's employer (where the organisation has a record of this information).



\_\_\_\_\_  
Signature & Company Chop

\_\_\_\_\_  
Date

Name: \_\_\_\_\_

Department & Position: \_\_\_\_\_