



**Certified Banker (CB)  
Frequently Asked Questions**

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# 1. Programme Highlights in 2021

## 1.1 What are the major updates in the 2021 version?

The programme structure and individual module syllabus of CB (Stage II) and CB have been enhanced in 2021 to better address the recent market developments and practices as well as regulatory requirements. To provide a clearer indication of the learning engagement and to allow more flexibility in choosing the learning pathway to attain CB qualifications, the CB programmes now utilise a credit system.

Updates in 2021 included the followings and the details can be found in the related FAQ.

- New elective module “ECF on CRM (Core level) – Fundamentals of Bank Lending (M3)” is added in the Professional Diploma for Certified Banker. It can be exempted by using the Core Level Training Certificate for ECF on Credit Risk Management or the respective grandfathered certificate after passing the written assessment developed by the HKIB.
- New elective modules “ECF on CRM (Professional level) – Advanced Commercial Lending (M4)” and “ECF on CRM (Professional level) – Advanced Credit Risk Management and Regulatory Requirements (M5)” are added in the Postgraduate Diploma for Certified Banker. It can be exempted by using the Professional Level Training Certificate for ECF on CRM or respective grandfathered certificate after passing the written assessment developed by the HKIB.

## **2. Entrance Requirement Update**

### **2.1 In what way can I directly enrol for CB (Stage II) without going through CB (Stage I)?**

In view of batches of banking practitioners with higher attainment of academic qualifications and/or richer working experience who may be more interested to proceed to subjects of a relatively higher level or wider scope that better suits their needs, the “Direct Entry to CB (Stage II)” initiative was launched in the early of 2018. Candidates of CB (Stage II) need to be an HKIB Individual Member and fulfil one of the following entry requirements:

- The Advanced Diploma for Certified Banker offered by HKIB; OR
- A Bachelor's Degree in a banking and finance related discipline awarded by a recognised university plus one year of banking and finance work experience; OR
- A relevant professional qualification plus one year of banking and finance work experience; OR
- Mature applicants with at least ten years of banking and finance work experience.

To ensure that all learners would be equipped with the core value of the industry, applicants who do not possess a pass in the module “Professional Ethics and Compliance” under CB (Stage I) or module(s) of the same nature at HKIB are required to first sign up for the training and obtain a pass in the corresponding examination at HKIB.

### **2.2 In what way can I enrol for CB stage without going through CB (Stage I) and CB (Stage II)?**

With effect on 1 January 2019, banking practitioners who meet the following requirements are eligible to apply for the direct entry to CB stage.

- Possess at least two ECF Professional Certificates (Professional Certificate for ECF on AML/CFT / Professional Certificate for ECF on RWM / Professional Certificate for ECF on CRM) awarded or grandfathered by a recognised institute and fulfilled the admission requirement for “Professional Diploma Programme for Certified Banker”.
- Candidates of CB need to be an HKIB Individual Member.

Applicants who do not possess a pass in the module “Professional Ethics and Compliance” under CB (Stage I) or module(s) of the same nature at HKIB are required to first sign up for the training and obtain a pass in the corresponding examination at HKIB.

### **2.3 Is a full-time student eligible for the CB (Stage I) programme?**

Applications from full-time students for the Banking and Finance Diploma or Degree programmes will be considered. However, the CB (Stage I) Professional Qualification will only be awarded to eligible candidates after they have fulfilled the required work experience.

### 3. Training

#### 3.1 What documents do I need to submit for enrolment?

Candidates are required to submit the following items for enrolment:

|  | Membership Application | Training Application | Examination Application |
|--|------------------------|----------------------|-------------------------|
| (i) Completed and signed application form  | ✓                      | ✓                    | ✓                       |
| (ii) Enclosed a copy of your identity card/passport  | ✓                      | ✓                    | ✓                       |
| (iii) Relevant documents for Entry Qualification assessment (e.g. academic certificates/reference letters) | N/A                    | ✓                    | N/A                     |
| (iv) Payment (can be settled by cash/ cheque/e-Cheque/credit card)   | ✓                      | ✓                    | ✓                       |

The completed application form with legible supporting documents can be submitted via:

- (i) Email: [application@hkib.org](mailto:application@hkib.org)
- (ii) Mail: 3/F Guangdong Investment Tower, 148 Connaught Road Central, Hong Kong

#### 3.2 How can I know if I have been successfully enrolled?

Once the completed application form and supporting documents have been submitted, applicants will receive an Acceptance Notification email within 2 weeks. A confirmation email reminding the applicant of the class details will also be sent 1 week before the training.

#### 3.3 Can I collect the textbook in advance?

A briefing session for CB candidates will be held before the training. You can collect the textbook in advance at the briefing session once the programme enrolment is confirmed and payment is settled. The briefing session is usually held around one week before the first training session commences.

### **3.4 Is there any arrangement if I am absent from the training session?**

The supplementary notes or presentation slides will be provided to candidates who were absent from the related training session. For any further enquiries about the content, candidates can seek support from the trainers through HKIB.

### **3.5 What is the attendance requirement?**

To facilitate the learning process for candidates, they are expected to have full attendance before taking the examination. Candidates are also required to sign-in and sign-out on the attendance sheet at every training session.

### **3.6 What should I do if I wish to change the training date?**

Generally, any change of the training date is NOT allowed. However, if a candidate is sick on the training date and cannot attend the training, he/she should inform the Institute and provide a supporting document (e.g. sick leave certificate) for our reference. The candidate may be permitted to attend the next subsequent training subject to the availability of seats.

### **3.7 Can I apply for a refund if I withdraw the training application?**

Once the training application is confirmed, all fees are non-refundable and non-transferrable.

### **3.8 Can I apply for training after the application deadline?**

Late entries for training may be accepted up to seven days after the stipulated application deadlines, subject to the availability of seats. An additional late entry fee of HKD200 will apply.

### **3.9 How do I decide which Postgraduate Diploma stream to study in CB programme?**

Candidates are recommended to choose the stream based on their career aspirations, competence, work experience and interests. Candidates are recommended to consider their study path for CB (Stage II) and CB together.



### **3.10 What is the maximum number of modules I can apply for in one intake?**

We don't have any restriction on the number of training and examination applications. However, candidates are highly recommended to consider their career plan, availability, competence level and experience on related modules before making any decision. In general, there are three intakes for CB (Stage I) and two intakes for CB (Stage II) and CB in a year.

### **3.11 Could I have a Chinese version of the materials?**

At the moment, the study materials for all three stages of the CB programmes are in English only. However, trainers will generally conduct the classes in Cantonese unless it is necessary to be conducted in English.

### **3.12 Are there any self-study training/materials for CB to facilitate my further study?**

Before proceeding to the examinations of the required modules in each stage of CB, candidates must first complete the respective training. The trainer will help you better understand the core concepts of the module and also provide you with more guidance to identify appropriate resources for further study. You may also refer to the recommended reading list, which includes the e-learning titles, to facilitate your self-studying. Besides this, you may also access our library service to identify more reading resources.

### **3.13 How can I enrol for the e-learning courses?**

The application procedure for e-learning courses is very simple. You may refer to the [HKIB website](#) for more details, including the catalogue, price list and application process. The e-learning courses consist of 500+ courses organised into 51 course libraries spanning about 700 hours of e-learning and covering areas of Banking, Accounting, Insurance and Risk Management.

## 4. Module Exemption

### 4.1 Is there any exemption granted for the CB programme? If yes, how do I apply?

Module exemption applications are accepted for recognised qualifications (i.e. pre-approved qualifications). Individual qualifications will be assessed on a case-by-case basis if over 70% of the Institute's syllabus is covered.

- For CB (Stage I), a 75% exemption ceiling of overall programme syllabus is adopted (with non-HKIB programmes no more than 50%).
- For CB (Stage II), a 50% exemption ceiling of overall programme syllabus is adopted.
- For CB, only the two modules of ECF on CRM in Credit Management stream of Postgraduate Diploma for Certified Banker can be exempted. However, the case study examination is still required. Holders of respective ECF on CRM grandfathered certificates need to pass a written assessment developed by the HKIB before participating in the case study examination.
- You may simply complete "module exemption form" with relevant documents to HKIB for processing if you want to apply the exemption,

Exemption results will normally be given in writing within 2 months after the receipt of the application and supporting documents. If further assessment is needed due to unexpected circumstances, separate notifications will be given. The decision of the Institute is final and cannot be appealed.

### 4.2 Can I use the HKIB's Anti-Money Laundering and Counter-Financing of Terrorism (AML/ CFT) grandfathered certificate of the Enhanced Competence Framework to claim module exemption?

Applicants with the AML/CFT grandfathered certificate of core level or professional level are eligible to apply for respective module exemption by submitting further information as follows.

- AML/CFT grandfathered certificate of core level: apart from submission of the copy of the certificate, applicant need to submit the form – Recognising Prior Learning Assessment Criteria for ECF on AML/CFT (Core Level). This form can be downloaded from HKIB's website.
- AML/CFT grandfathered certificate of professional level: apart from submission of the copy of the certificate, applicant need to pass the written assessment developed by the HKIB. For details of arrangement, please contact HKIB.

**4.3 If I have completed ECF on CRM (Professional level) – Advanced Commercial Lending (M4)” and “ECF on CRM (Professional level) – Advanced Credit Risk Management and Regulatory Requirements (M5)”, can I direct entry to Postgraduate Diploma for Certified Banker and apply for modules exemption?**

Generally speaking, there are two scenarios for applicants who have both M4 and M5 certificates.

**Scenario 1:** For applicants who have completed both M4 and M5 trainings of ECF on CRM, and granted the certificate after passing M4 and M5 examinations, are eligible to direct entry into CB and apply for modules exemption for both modules. They should take the following actions in sequence:

1. Apply for Certified Banker module exemption;
2. Enrol in “Professional Ethics and Compliance” training and pass the examination; and
3. Enrol in the integrated examination for Certified Banker.

**Scenario 2:** For applicants who have grandfathered certificates of M4 and M5 of ECF on CRM, are eligible to direct entry into CB and apply for modules exemption for both modules. They should take the following actions in sequence:

1. Apply for Certified Banker module exemption;
2. Obtain a pass in the written assessment for each module;
3. Enrol in “Professional Ethics and Compliance” training and pass the examination; and
4. Enrol in the integrated examination for Certified Banker.

**4.4 If I have completed either ECF on CRM (Professional level) – Advanced Commercial Lending (M4)” or “ECF on CRM (Professional level) – Advanced Credit Risk Management and Regulatory Requirements (M5)”, can I direct entry to Postgraduate Diploma for Certified Banker and apply for modules exemption?**

Generally speaking, there are two scenarios for applicants who have M4 or M5 certificates.

**Scenario 1:** For applicants who have completed M4 or M5 trainings of ECF on CRM, and granted the certificate after passing M4 or M5 examinations, are eligible to direct entry into CB and apply for modules exemption for the respective module. They should take the following actions in sequence:

1. Complete the remaining ECF on CRM (Professional Level) module;
2. Apply for Certified Banker module exemption;
3. Enrol in “Professional Ethics and Compliance” training and pass the examination; and
4. Enrol in the integrated examination for Certified Banker.

**Scenario 2:** For applicants who have grandfathered certificates of M4 or M5 of ECF on CRM, are eligible to direct entry into CB and apply for modules exemption for the respective modules. They should take the following actions in sequence:

1. Complete the remaining ECF on CRM (Professional Level) module ;
2. Apply for Certified Banker module exemption;
3. Obtain a pass in the written assessment for each module;
4. Enrol in “Professional Ethics and Compliance” training and pass the examination; and
5. Enrol in the integrated examination for Certified Banker.

**4.5 If I have completed ECF on CRM (Core level) – Fundamentals of Banking (M3)”, and would like to continue study Credit Management Stream in Postgraduate Diploma for Certified Banker, what is the suggested pathway?**

Generally speaking, there are two scenarios for applicants who have M3 certificate and would like to continue study Credit Management Stream in Postgraduate Diploma for Certified Banker.

**Scenario 1:** For applicants who have completed M3 trainings of ECF on CRM, and granted the certificate after passing the M3 examination. They are suggested to take the following actions in sequence:

1. Apply for Certified Banker (Stage II) exemption;
2. Enrol in “Professional Ethics and Compliance” training and pass the examination;
3. Complete one more elective module in Certified Banker (Stage II);
4. Apply for Professional Qualification of CB (Stage II);
5. Complete the two ECF on CRM (Professional Level) modules (M4 and M5);
6. Apply for Certified Banker module exemption; and
7. Enrol in the integrated examination for Certified Banker.

**Scenario 2:** For applicants who have grandfathered certificate of M3 of ECF on CRM. They are suggested to:

1. Apply for Certified Banker (Stage II) module exemption;
2. Obtain a pass in the written assessment for exemption of ECF on CRM (Core Level) ;
3. Enrol in “Professional Ethics and Compliance” training and pass the examination; and
4. Complete one more elective module in Certified Banker (Stage II);
5. Apply for Professional Qualification of CB (Stage II);
6. Complete the two ECF on CRM (Professional Level) modules (M4 and M5);
7. Apply for Certified Banker module exemption; and
8. Enrol in the integrated examination for Certified Banker.

#### **4.6 If I have completed ECF on CRM (Core level) – Fundamentals of Banking (M3)”, and is NOT going to study Credit Management Stream in Postgraduate Diploma for Certified Banker, what is the suggested pathway?**

Generally speaking, there are two scenarios for applicants who have M3 certificate and is NOT going to study Credit Management Stream in Postgraduate Diploma for Certified Banker.

**Scenario 1:** For applicants who have completed M3 trainings of ECF on CRM, and granted the certificate after passing the M3 exam. They are suggested to:

1. Apply for Certified Banker (Stage II) exemption;
2. Enrol in Professional Ethics and Compliance” training and pass the examination;
3. Complete one more elective module in Certified Banker (Stage II);
4. Apply for Professional Qualification of CB (Stage II);
5. Select a stream in Certified Banker and complete the two modules; and
6. Enrol in the integrated examination for Certified Banker.

**Scenario 2:** For applicants who have grandfathered certificate of M3 of ECF on CRM, are suggested to:

1. Apply for Certified Banker (Stage II) module exemption;
2. Obtain a pass in the written assessment for exemption of ECF on CRM (Core Level) ;
3. Enrol in “Professional Ethics and Compliance” training and pass the examination;
4. Complete one more elective module in Certified Banker (Stage II);
5. Apply for Professional Qualification of CB (Stage II);
6. Select a stream in Certified Banker and complete the two modules; and
7. Enrol in the integrated examination for Certified Banker.

## 5. Examination

### 5.1 Where can I obtain information on the examinations, such as the examination format, duration, regulations, etc.?

All the examination-related information is published in the CB Handbook, which is available for download on the HKIB website. Candidates should read the CB Handbook before applying for the examinations.

### 5.2 Can I enrol on the examination without attending the training programme?

To facilitate candidates' learning and to meet the QF requirement, all candidates are required to complete the training of the relevant modules before attending the examination.

### 5.3 Can I enrol on the training without taking the examination?

When to take the examination is always at the discretion of the candidates. As such, a candidate can enrol for the training even though he/she does not have any immediate plans to take the examination. However, candidates may be required to attend the training before taking the examination again as the syllabus may have been changed or updated.

### 5.4 What is the maximum period for completing each CB programme?

There is no limit on the number of times one can take the training and/or examinations. Nonetheless, the completion period of each CB programme is **eight years** from the year the first module was completed.

### 5.5 Can I take the examination immediately after the training?

Examination will usually be offered after the training in according to the required programme length. As reference from HKCAAVQ, the programme length is defined as the period from last day of enrolment to date of examination. The suggested self-study time for each credit is 10 hours, so applicants are recommended to enrol for the examination if they can arrange sufficient self-study time to study essential readings.

### 5.6 How will I know if my examination application has been accepted?

An acknowledgement email will be sent to the applicant with 2 working days after submitting

an application. There is an Acceptance Notification email which will be sent to the applicant within 8 working dates after sending the acknowledgement email and for the final “Examination Attendance Notice”, it will also be sent 2 weeks before the examination.

### **5.7 What should I do if I wish to change the examination date?**

Generally, any change of examination date will NOT be allowed. However, if a candidate is sick on the examination date and cannot sit the examination, he/she should inform the Institute and provide a supporting document (e.g. sick leave certificate) for our reference. The candidate may be permitted to sit the next subsequent examination subject to the availability of seats.

### **5.8 How can I appeal against my examination results?**

By submitting a written request via email to [exam@hkib.org](mailto:exam@hkib.org), candidates may request a rechecking or remarking of their examination scripts within ONE MONTH after the issue of the examination results. An administrative fee will apply.

### **5.9 Is there a limit on the number of attempts for the examination?**

There is no limitation on the number of attempts for the examination. However, a candidate is not allowed to re-sit the examination if he/she has already achieved a “Pass” in the examination before.

### **5.10 Can I apply for examinations after the application deadline?**

Late entries for examinations may be accepted up to 14 days after the stipulated application deadlines, subject to the availability of seats. An additional late entry fee of HKD200 will apply.

### **5.11 When can I obtain the examination results?**

Candidates will be notified of their results by post and only with a written notice. Results will be released within two to four weeks from the examination date for MC-type examinations, and six to eight weeks from the examination date of the last module in each examination diet for other types of examination.

Candidates may also check their examination results online through the HKIB online



platform. Candidates will receive an email notification once the examination results are available. The online examination results will be removed one month after they are released.

#### **5.12 What should I do if I am unable to login to check the online examination result?**

The online examination result will only be available during the stated period in the email notification from HKIB. The login details are stated in the said email notification. However, if you still encounter difficulties logging in, you may contact the HKIB Examination Team at (852) 2153 7893 or (852) 2153 7821.

## **6. Professional Qualification**

### **6.1 How can I obtain the Professional Qualification of CB?**

To be elected as CB, candidates should a) complete the Postgraduate Diploma in any one of the specialist streams for Certified Banker and b) have three years of banking or finance related work experience. You will then be awarded the QF-recognised Professional Qualification of CB and it is pitched at QF Level 6. (QR Registration No.: 20/000543/L6)

### **6.2 How can I obtain the Professional Qualification n of CB (Stage II)?**

To be elected as CB (Stage II), candidates should a) complete the Professional Diploma for Certified Banker and b) have two years of banking or finance related work experience.

### **6.3 How can I obtain the Professional Qualification of CB (Stage I)?**

To be elected as CB (Stage I), candidates should a) complete the Advanced Diploma for Certified Banker and b) have one year of banking or finance related work experience.

## **7. Government Subsidies**

### **7.1 How many modules could I apply for the CEF reimbursement?**

The maximum entitlement of CEF reimbursement for the new applicants is HKD20,000 and there is no limit of the number of CEF claim submissions. If you have not submitted any CEF application before, you can apply the maximum number of the required modules (i.e. four CB (Stage I) modules and two CB (Stage II) ) modules).

### **7.2 Could I apply the CEF reimbursement for the training enrolled and completed before the module listed on the CEF reimbursable courses, but passed the examination thereafter?**

Applicants would be eligible for fee reimbursement only upon their successful completion of the whole CEF reimbursable course (i.e. training and examination). They may claim reimbursement upon completion of a module only if the module is registered on the list of CEF reimbursable courses before they start the training.

Please note that applicants would NOT be eligible to apply for CEF reimbursement should the module be solely delivered via FLEX Learning, unless a waiver is sent to the Institute by OCEF or Labour and Welfare Bureau.

### **7.3 Could I apply the CEF reimbursement for the re-sit examination?**

Yes, you could still apply for the tuition fee and examination fee once. Though you attended the examination twice, you could only claim the examination fee once.

### **7.4 What documents will I receive from HKIB as proof for CEF reimbursement application?**

The documents will include official e-payment receipt and the Certificate of Achievement to confirm your attendance and the result of examination with a pass.

### **7.5 When will the modules of CB Programme and ECF Programmes be included in the CEF Reimbursable Courses?**

We are now studying the feasibility of applying those programmes to be the CEF Reimbursable Courses. Once the Labour and Welfare Bureau developed the new CEF Reimbursement policy for the programmes under Assessment Agency for Professional Qualifications, we will

surely pursue for the application.

**7.6 Could I apply for WAM reimbursement for ECF on Retail Wealth Management (M7) if I have already used up HKD7,000 earlier?**

Eligible applicants will be reimbursed 80% of the eligible course(s) fees upon satisfactory completion of the course(s), subject to a maximum of \$10,000 per person throughout the period of 1 October 2016 to 31 March 2023. Thus you will still have HK3,000 at maximum for the WAM reimbursement application.

**7.7 I am not working in the Bank, how do I know if I am eligible for applying the WAM reimbursement?**

Apart from Banks, there are number of financial institutions included on the list, such as Hong Kong Monetary Authority (HKMA), Securities and Futures Commission (SFC), etc. For more details, you may visit WAM website <https://www.wamtalent.org.hk/eng/>.

## **8. Continuing Professional Development (CPD)**

### **8.1 What is the consequence if I do not comply with the CPD requirements?**

Failure to comply with the CPD requirements would result in the suspension of Professional Qualifications. Professional Qualification holder's name and Professional Qualification status would not be published on the Certified Individuals (CI) Register on the HKIB website, and he/she would not be allowed to use the Professional Qualification on his/her name card or CV.

## **9. Conversion: Arrangements for ABP/AHKIB Candidates**

### **9.1 I have yet to complete the AHKIB Programme. Will my previous examination results be affected?**

Existing records of completed training programmes and examination results obtained as part of the AHKIB qualifications are still recognised. As QF recognition was received on 1 January 2013, any achievements since this date will not be affected. If, however, you have studied ABP/AHKIB subjects before 2013 and would like to resume in the future under the new CB Programme, please contact HKIB staff for details.

### **9.2 If I completed my study in 2017, will I be awarded the ABP/AHKIB Diploma or the CB Diploma?**

All candidates of the AHKIB Programme will be converted to the CB Programme directly. Starting from 2017, candidates who completed all the required modules will be awarded with the highest attained qualification of CB.

## **10. Conversion: Arrangements for Graduates**

### **10.1 I hold the Advanced Diploma in Banking and Financial Services for ABP/Professional Diploma in Banking and Financial Services/Postgraduate Diploma in Banking and Financial Services for AHKIB. Is this award still valid?**

Qualifications awarded before 2017 are still valid. Upon fulfilment of the work experience required on or before 31 December 2020, you will be converted to the respective CB Professional Qualification.

### **10.2 I completed the AHKIB Programme in 2016. Can I obtain a new diploma for CB?**

Diplomas issued before 2017 will not be re-issued. The conversion arrangement is applicable to ABP/AHKIB scrolls for the respective qualification only but not diplomas.

## 11. Conversion: Arrangements for the Professional Qualification holders

### 11.1 What are the new Professional Qualifications under CB?

The new Professional Qualifications are as follows:

| Before 2017                                     |            | 2017 onwards                |               |
|---|------------|-----------------------------|---------------|
| Professional Qualification                      | Short Form | Professional Qualification  | Short Form*   |
| Associate of The Hong Kong Institute of Bankers | AHKIB      | Certified Banker            | CB            |
| N/A   |            | Certified Banker (Stage II) | CB (Stage II) |
| Accredited Banking Practitioner                 | ABP        | Certified Banker (Stage I)  | CB (Stage I)  |

\* The short form is advised to be printed on business cards.

### 11.2 I am an ABP/AHKIB of the Institute. Can I obtain a CB (stage I)/CB (stage II)/CB scroll?

All ABP and AHKIB Professional Qualification holders will be converted to their respective CB Professional Qualification automatically. You are eligible for a CB (stage I)/CB (stage II)/CB scroll if you are a current HKIB member and you have fulfilled the Continuing Professional Development (CPD) hour requirement for the previous year. A scroll will be awarded for eligible candidates' highest attained Professional Qualification.

### 11.3 Can I continue to use the ABP/AHKIB Professional Qualification?

The AHKIB and ABP Professional Qualification were replaced on 1 January 2017 by the respective CB Professional Qualifications and are not recommended to be used thereafter.

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