Module Exemption Application Form for

Advanced Certificate for ECF on Operational Risk

Management (ORM)

<div style="border:1px solid">

*Please read **"Important Notes for Application" BEFORE** completing this form*

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IMPORTANT NOTES FOR APPLICATION

1. Please read the "ECF on ORM Programme Handbook" and fully understand the rules and regulations.

2. This application form is only applicable for current ECF on ORM (Core Level) programme candidates to apply Module exemption.

3. Exemption claims will only be considered for the stated pre-approved/recognised qualifications.

4. All applications are subject to review and approval by the HKIB. The Institute reserves its right to refuse application for exemption if deemed appropriate.

5. Completed application form with all required supporting documents must be submitted to the HKIB office in person or by mail to the following address. Application with incomplete information and/or applications by fax will NOT be accepted. Application sent to the HKIB with insufficient postage or packaging will NOT reach the HKIB.

   "Application for ECF on ORM (Core Level) Module Exemption"
   The Hong Kong Institute of Bankers
   3/F Guangdong Investment Tower
   148 Connaught Road, Central, Hong Kong

6. The applicant should submit all relevant documentary evidence for his/her qualifications (i.e. certificates, official transcripts, etc.) together with this application form. Only certified true copies of the documents are accepted. We only accept photocopies of the documents which are certified as true copies by:

   - The HKIB staff; or
   - HR/authorised staff of current employer (Authorized Institution); or
   - recognised certified public accountant / lawyer / banker / notary public; or
   - The Hong Kong Institute of Chartered Secretaries (HKICS) member.

   Certifier must **sign** and **date** the copy document (printing his/her **name** clearly in capitals underneath) and clearly indicate his/her **position** on it. Certifier must state that it is a true copy of the original (or words to similar effect).

7. All documents submitted will not be returned regardless of the result of the application.

8. Please read "Privacy Policy Statement" set out on the HKIB website before application.

9. Application fee for each exemption application form is HKD200. It will be **non-refundable** and **non-transferrable**.

10. Exemption fee per module is HKD830. Exemption fee will not be charged if the application is unsuccessful. The amount of exemption fee is subject to the number of module(s) approved.

11. It is expected to take 60 days for the HKIB to process exemption applications under normal circumstance.

Contact Us

Address : 3/F Guangdong Investment Tower, 148 Connaught Road Central, Hong Kong

Website : http://www.hkib.org   Telephone : (852) 2153 7821   Email : exam@hkib.org

Section A: Personal Particulars

Title:　□ Mr　□ Ms　□ Dr　□ Prof	HKIB Membership: □ Yes _____　□ No 　　　*(Please specify the Membership No.)*
Name in English: *(as shown on identity document)* **(Surname)**　　　　**(Given Name)**	Name in Chinese: *(as shown on identity document)*
HKID / Passport Number *(please delete where inappropriate)*:	
Mobile Phone No. :	Primary Email Address[1] :
Correspondence Address:	Secondary Email Address (if any):
Name of Employer:	Office Telephone No.:
Position/ Job Title:	Department:
Office Address:	

Highest Academic Qualification Obtained:	University / Tertiary Institution:	Date of Award:

Other Professional Qualifications:	Professional Bodies:

[1]*All HKIB communication will be sent via email by using the **Primary Email Address.***

Section B: Module Exemption

Applicants with appropriate qualification(s) may apply module(s) * exemption carrying a maximum of 30 credits on ECF on ORM (Core Level) Programme, unless otherwise specified. Please "✓" the module(s) which you would like to apply for exemption.

Please "✓"	Module to be Exempted	Qualification Obtained / Examination Passed
□	Module 1- Ethics and Corporate Governance in Banking Industry (10 credits)	□　Certification in Risk Management Assurance of the Institute of Internal Auditors; **OR** □　Bachelor's or higher degree in law; **OR** □　Professional Ethics and Compliance module under the Advanced Diploma for Certified Banker (Stage I) of the HKIB; **OR** □　Certified Professional Risk Manager of the Asia Risk Management Institute (ARIMI); **OR** □　Certified Public Accountant of the Hong Kong Institute of Certified Public Accountants (HKICPA); **OR** □　Full member of Association of Chartered Certified Accountants (ACCA); **OR**

Please"✓"the appropriate boxes

Please "✓"	Module to be Exempted	Qualification Obtained / Examination Passed
☐	Module 1- Ethics and Corporate Governance in Banking Industry (10 credits) (Continue)	☐ Members of overseas accountancy bodies which are eligible for full exemption from the qualification programme for membership admission at the HKICPA under the HKICPA's reciprocal membership and mutual recognition agreements, as listed on HKICPA's website. Please specify: (_____)
☐	Module 3- Fundamentals of Operational Risk Management and Risk Governance (20 credits)	☐ Operational Risk Manager Certificate of the Professional Risk Managers' International Association (PRMIA); **OR** ☐ Professional Risk Manager of the PRMIA; **OR** ☐ Certificate in Operational Risk Management of the Institute of Operational Risk (IOR), which is now part of the Institute of Risk Management (IRM) group

Note: **Module 2 – Regulatory Framework and Compliance in Banking Industry (10 credits)** cannot be exempted.

Section C: Exemption Application Fee

Application fee PER APPLICATION FORM: HKD 200

Exemption fee PER MODULE: HKD 830

(For example, if you request to apply exemption for Module 1 & 3, the total amount of application fee will be HKD(200+ 830x2) =HKD1,860.)

☐   Paid by Employer

☐   A cheque / e-Cheque* made payable to "**The Hong Kong Institute of Bankers**"
(cheque no. _____).

* For e-Cheque, please state "ECF on ORM (Core Level) exemption" under 'remarks' and email together with the completed application form to exam@hkib.org.

☐   Credit card:

☐ Visa   ☐ Mastercard

Card No: Expiry Date (MM/YY)

☐☐☐☐ - ☐☐☐☐ - ☐☐☐☐ - ☐☐☐☐   ☐☐ / ☐☐

_____   Total amount: HKD _____

Name of Cardholder (as on credit card)

_____

Signature (as on credit card)

Please"✓"the appropriate boxes.

Section D: Statement on 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 which that 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 details of the Privacy Policy Statement, please refer to the website: http://www.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 E: Acknowledgement and Declaration

- I hereby make application for the exemption of the ECF on ORM (Core Level) programme module(s) offered by The Hong Kong Institute of Bankers (HKIB). I declare that the information given in this form is true and accurate.

- I understand that the application fee paid is non-refundable and non-transferable.

- I fully understand that the HKIB reserves the rights to reject any application without sufficient documents (e.g. personal information, certificates, official transcripts, etc.), and to charge the application fee and exemption fee.

- I acknowledge that the HKIB has the right to reject my exemption application if I do not meet the requirements.

- I agree to notify the HKIB of any material changes to my responses to any of the questions in this application, including my contact details. 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 and otherwise) in this application.

- I understand and agree to comply with all conditions, requirements, policies and procedures established by the HKIB as may be amended from time to time.

- I confirm that I have read and understood the Privacy Policy Statement set out on the HKIB website at https://www.hkib.org/, 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 confirm that I have read the relevant Qualification Handbook and fully understand the rules and regulations.

- I have read, agreed and comply with the **"Important Notes for Application"** BEFORE completing this application form.

Signature of Applicant	**Date**
(Name:)	

Please"✓"the appropriate boxes.

ORM-G-006
Last Updated: 10 May 2022

[1]Submitted copies of documents to 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 / banker / notary public; or
- The Hong Kong Institute of Chartered Secretaries (HKICS) member.

Certifier must **sign** and **date** the copy document (printing his/her **name** clearly in capitals underneath) and clearly indicate his/her **position** on it.
Certifier must state that it is a true copy of the original (or words to similar effect).

FOR INSTITUTE USE ONLY

Assessed by : _____ (Staff Name)   _____ (Date)

Reviewed by : _____(Staff Name)   _____ (Date)

☐ Approved /   ☐ Rejected by: _____ (Staff Name)   _____ (Date)

Remarks: _____

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