(For office use only)
Received on:
Acknowledged on:
Batch No:

HKIB Professional Qualification Programmes
Modular Exemption Application Form

IMPORTANT NOTES FOR APPLICATION

1. Please visit the HKIB website (https://www.hkib.org/) to review the relevant "Programme Handbook" for each professional qualification programme and ensure that you fully understand the applicable rules, regulations and exemption arrangements.
2. Exemption claims will only be considered for specified pre-approved or recognised qualifications.
3. All applications are subject to HKIB's review and approval. The Institute reserves the right to reject any exemption application at its sole discretion.
4. Applicants seeking exemption under ECF-RWM may verify their license registration through the following:
   - Website of The Hong Kong Monetary Authority; and/or
   - Website of Insurance Authority – Register of License Insurance Intermediaries
5. Submitted documents will not be returned, irrespective of the outcome of the application.
6. Under normal circumstances, HKIB will take approximately 30 business days to process an exemption application, upon receipt of all required supporting documents.

Contact Us

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

Website : http://www.hkib.org Telephone : (852) 2153 7800 Email : cert.gf@hkib.org

SECTION A: PERSONAL PARTICULARS

Title □ Mr □ Ms □ Dr □ Other *(please specify)*		
Name *(Surname)* *(as shown on HKID/Passport)*	*(Given Name)*	HKID/Passport No.
Primary E-mail[1]		Mobile no.

Note:
1- Your personal email is preferred as all HKIB communication will be sent to this E-mail address.

SECTION B: APPLICATION FOR EXEMPTION *(Please √ the module(s) for which you would like to apply for exemption)*

B1. Exemption from CB (Stage) / CB (Stage II) / CB (Stage I) module(s) with pre-approved qualification

I. Certified Banker (Stage)

Stream: Credit Management

☐ ECF-CRM (Professional) – Commercial Lending (Credit: 30)
☐ ECF-CRM (Professional) – Credit Portfolio Management (Credit: 30)

Stream: Fintech Management

☐ ECF-Fintech (Professional) – Management (Modules 5, 9 & 10) (Credit: 60)
☐ ECF-Fintech (Professional) – Artificial Intelligence and Big Data (Modules 5 & 6) (Credit: 60)
☐ ECF-Fintech (Professional) – Distributed Ledger Technology (Modules 5 & 7) (Credit: 60)
☐ ECF-Fintech (Professional) – Open Banking and Application Programming Interface (Modules 5 & 8) (Credit: 60)
☐ ECF-Fintech (Professional) – Regtech (Modules 5 & 11) (Credit: 60)

II. Certified Banker (Stage II)

☐ Elective: ECF-AML/CFT (Professional) (Credit: 30)
☐ Elective: ECF-Compliance (Professional) (Credit: 30)
☐ Elective: ECF-CRM (Core) (Credit: 30)
☐ Elective: ECF-Fintech (Core) (Credit: 30)
☐ Elective: ECF-GSF (Professional) (Credit: 30)
☐ Elective: ECF-ORM (Professional) (Credit: 30)
☐ Elective: ECF-RWM (Professional) (Credit: 30)

III. Certified Banker (Stage I)

☐ Elective: Qualification Certificate of Banking Professional (Credit: 10)
☐ Elective: ECF-AML/CFT (Core) (Credit: 20)
☐ Elective: ECF-AML/CFT Macao (Core) (Credit: 20)
☐ Elective: ECF-Compliance (Core) (Credit: 20)
☐ Elective: ECF-Cybersecurity (Core) (Credit: 20)
☐ Elective: ECF-GSF (Core) (Credit: 20)
☐ Elective: ECF-ORM (Core) (Credit: 20)

B2. Exemption from ECF-Retail Wealth Management (RWM) module(s) / ECF-RWM Macao module(s) with pre-approved qualification

☐ Module 1: Regulatory Environment for Banking and Financial Planning (20 credits)	☐ Currently registered as a Relevant Individual under HKMA Registration No.: _____ Date of Registration: _____ **or** ☐ HKSI Licensing Examination Passing Result of LE Paper 1 within 3-year threshold
☐ Module 2: Investment Planning (20 credits)	☐ Currently registered as a Relevant Individual under HKMA Registration No.: _____ Date of Registration: _____ **or** ☐ HKSI Licensing Examination Passing Result of LE Paper 7 & 8 within 3-year threshold **or**

☐ Module 2: Investment Planning (20 credits)	☐ Obtained the MA in Personal Finance Education offered by The Education University of Hong Kong **or** ☐ Obtained the - Bachelor of Arts (Honours) in Personal Finance offered by The Education University of Hong Kong
☐ Module 4: Insurance and Retirement Planning (20 credits)	☐ Currently Licensed Insurance Intermediaries under IA Registration No.: _____ Date of Registration: _____ **or** ☐ Insurance Intermediaries Qualifying Examination Result within 2-year threshold ☐ Pass in IIQE (I) Principles & Practice of Insurance ☐ Pass in IIQE (II) General Insurance ☐ Pass in IIQE (III) Long Term Insurance ☐ Pass in IIQE (V) Investment-Linked Long Term Insurance

B3. Exemption from ECF-Compliance / Credit Risk Management (CRM) / Fintech / Green and Sustainable Finance (GSF) / Operational Risk Management (ORM) module(s) with pre-approved qualification (See Annex 1)

ECF-Compliance	☐ Module 1: Ethics and Corporate Governance in the Banking Industry (10 credits)
ECF-CRM	☐ Module 1: Credit Risk Management and Key Regulations (15 credits) ☐ Module 2: Fundamental Credit Risk Analysis (15 credits)
ECF-Fintech	☐ Module 1: Technology Essentials (20 credits) ☐ Module 2: Banking and Risk Essentials (20 credits) ☐ Module 4: Fundamental Fintech Tools and Applications (20 credits)
ECF-GSF	☐ Module 1: Introduction to Sustainability (20 credits) ☐ Module 2: Fundamentals of Green and Sustainable Finance (10 credits) ☐ Module 3: Sustainability Risks in Banking (10 credits) ☐ Module 4: ESG/Sustainability Strategy, Disclosures and Reporting (10 credits) ☐ Module 6: Green and Sustainable Finance Product (10 credits) ☐ Module 7: Green and Sustainable Finance Investment (10 credits) ☐ Module 8: Sustainability Risk Management (10 credits) ☐ Module 9: ESG/Sustainability Disclosures and Reporting (10 credits) ☐ Module 10: Sustainability Strategy, Compliance and Control (10 credits)
ECF-ORM	☐ Module 1: Ethics and Corporate Governance in Banking Industry (10 credits) ☐ Module 3: Fundamentals of Operational Risk Management and Risk Governance (20 credits)

B4. Exemption from CB / ECF module(s) with other equivalent academic qualifications

I. Certified Banker (Stage) module(s)

☐ Core: Strategic Management and Leadership (Credit: 15) – Part A: Knowledge of Strategic Management and Leadership in a global context
☐ Elective: Treasury Markets and Operations (Credit: 30)
☐ Elective: Bank Asset and Liability Management (Credit: 30)

II. Certified Banker (Stage II) module(s)

☐ Elective: Corporate Finance Services (Credit: 30)
☐ Elective: Finance of International Trade (Credit: 30)
☐ Elective: Green Finance and Sustainability (Credit: 30)
☐ Elective: Technology Management and Innovation in Banking (Credit: 30)
☐ Elective: Essential Fintech in Nextgen Banking (Credit: 30)

III. Certified Banker (Stage I) module(s)

☐ Core: Future Banking and ESG (Credit: 10)
☐ Elective: Fundamentals of Accounting (Credit: 10)
☐ Elective: Introduction to People Management Skills (Credit: 10)
☐ Elective: Risk Management (Credit: 10)
☐ Elective: Introduction to Banking Law (Credit: 10)
☐ Elective: ECF on Treasury Management (Core Level)[2] (Credit: 10)

Qualification/Training Programme Completed[3]: _____

IV. ECF Programme: _____

Module(s) to be exempted: _____
Qualification/Training Programme Completed[3]: _____

SECTION C: SUPPORTING DOCUMENTS *(Please √ the appropriate box(es))*

C1. Exemption from CB (Stage) / CB (Stage II) / CB (Stage I) module(s) No supporting documents are required. Please proceed to **SECTION E**[4]	**C2. Exemption from ECF-RWM module(s)** ☐ Company business card showing license registration number ☐ Certified true copy of examination result(es)[5] (e.g. IIQE result(es) that meet the ECF-RWM modular exemption within 2-year validity requirement but are not recorded in your registration as a Licensed Insurance Intermediaries under IA)
C3. Exemption from ECF-Compliance / CRM / Fintech / GSF / ORM ☐ Certified true copies of your certificate(s) and official transcripts[5] (please refer to the pre-approved qualification list in Annex 1)	**C4. Exemption from CB / ECF module(s) with other equivalent academic qualifications** ☐ Completed syllabus mapping table[3] *(see Annex 2)*

Note:
2- The elective module of the Advanced Diploma for Certified Banker, "**ECF-Treasury Management (Core Level)**", may be exempted by using the Professional Certificate in Treasury Markets (i.e. ECF on Treasury Management (Core Level)) offered by LiPACE of HKMU.
3- Please complete the syllabus mapping table (see Annex 2) to list the equivalent topics between the syllabus of the exemption module(s) and the qualification/training programmes you have completed.
4- The exemption fee for CB (Stage) / CB (Stage II) / CB (Stage I) claimed on the basis of a professional qualification obtained through HKIB / QCBP examination will be waived, as stated in the respective programme handbooks and guidelines.
5- Only certified true copies of documents by the following parties are accepted: HKIB staff; HR or authorised staff of your current employer (Authorized Institution); a recognised certified public accountant, lawyer or notary public; or an Associate or Fellow of the Chartered Governance Institute Hong Kong. The certifier must sign and date the copy (printing his/her name clearly in capitals underneath) and clearly indicate his/her position on it. The certifier must state that it is a true copy of the original (or words to that effect).

SECTION D: EXEMPTION APPLICATION FEE

	Fee	Total amount
Exemption fee[6]	HKD1,200 x _____ *(no. of module(s) for applying exemption)*[7]	HKD

Note:
6- The exemption fee is subject to the number of module(s).
7- Refer to B2, B3 and B4;

☐ Paid by your employer ☐ Credit card: ☐ Visa ☐ Master ☐ Cheque (No.:)

Card No: Expiry Date (MM/YY)

☐☐☐☐ - ☐☐☐☐ - ☐☐☐☐ - ☐☐☐☐ ☐☐ / ☐☐

_____ Total amount: HKD_____
Name of Cardholder (as on credit card)

_____
Signature (as on credit card)

SECTION E: PRIVACY POLICY STATEMENT

- It is our policy to fully meet the requirements of the Personal Data (Privacy) Ordinance. HKIB recognises the sensitive and highly confidential nature of much of the personal data 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

Use of Personal Data in Direct Marketing

I do not wish HKIB to use my personal data in direct marketing relating to HKIB's training programmes, examinations, professional qualifications, membership services, events, publications and professional development opportunities through the following channel(s) (please "✓" to select):

☐ Weekly E-News ☐ Email ☐ Telemarketing ☐ WhatsApp

Unless otherwise indicated above, HKIB may continue to use your personal data for direct marketing through the relevant communication channels in accordance with its Privacy Policy Statement.

Digital Credential Verification Preference

HKIB operates a Digital Credential System (DCS) that enables authorised employers and other authorised verification parties to verify professional qualifications and certifications awarded by HKIB. Unless you opt out below, HKIB will make the following credential information available through the DCS for credential verification purposes:

- Qualification achieved
- Certification status
- Award date
- Certification validity status

The purpose of this disclosure is to facilitate professional credential verification.

Please note that if you opt out, authorised verification parties may not be able to verify your HKIB credentials through the DCS. You may change your preference at any time through MyHKIB.

☐ I do not wish HKIB to disclose or verify my credential information through the DCS.

SECTION F: ACKNOWLEDGEMENT AND DECLARATION

- I hereby apply for exemption from the 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 fully understand that HKIB reserves the right to reject any application that is not supported by sufficient documents (e.g. personal information, certificates, official transcripts, etc.), and to charge the exemption fee.
- I acknowledge that HKIB has the right to reject my exemption application if I do not meet the requirements.
- I agree to notify 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 HKIB may investigate the statements I have made with respect to this application, and that I may be subject to disciplinary action for any misrepresentation (whether fraudulent or otherwise) in this application.
- I understand and agree to comply with all conditions, requirements, policies and procedures established by 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 http://www.hkib.org, and consent to the terms set out therein. I also understand that the Institute will use the information provided and the personal data collected for administration and communication purposes.
- I confirm that I have read the relevant Programme Handbook and fully understand the rules and regulations.
- I have read and agreed to comply with "Important Notes for Application" BEFORE completing this application form.

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

SECTION G: DOCUMENT CHECKLIST

To facilitate the application process, please check the following items before submission to HKIB.

Please "✓"the appropriate boxes.

- ☐ Completed and Signed Application Form
- ☐ Certified true copies of your certificate(s) and official transcript(s), if applicable enclosed
- ☐ Certified true copies of relevant qualification(s), corresponding course outlines, syllabus, samples of assessments, etc., if applicable enclosed
- ☐ (For ECF-CRM module exemption only) Completed Signed Authorisation Form if you authorise HKIB to verify the obtained qualification of FRM and/or CFA (Annex 3)
- ☐ (For ECF-RWM module exemption only) Company business card showing licenses registration numbers
- ☐ (For ECF-RWM module exemption only) Certified true copy of examination result(es) (e.g. IIQE result(es) that meet the ECF-RWM modular exemption within 2-year validity requirement but are not recorded in your registration as a Licensed Insurance Intermediaries under IA)

FOR OFFICAL USE

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

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

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

Number of Module(s) approved: _____

Completed application forms, together with all required supporting documents, must be submitted to the HKIB office **by email** to cert.gf@hkib.org, **in person** or **by post** to the address below. Applications with incomplete information, and applications sent by fax, **will NOT** be accepted. Applications sent to HKIB with insufficient postage or inadequate packaging **may NOT** reach HKIB.

"Modular Exemption Application for Professional Qualification Programmes"
The Hong Kong Institute of Bankers
3/F Guangdong Investment Tower
148 Connaught Road, Central, Hong Kong

Pre-approved Training/ Professional Programmes List

(updated on 15 October 2026, the list may be updated from time to time)

Certified Banker

A learner who has passed any of the following training programme(s) is eligible to apply for exemption from ***Elective: Treasury Markets and Operations*** of the Certified Banker training programme:

Training Programme	Programme Provider
Enhanced Competency Framework on Treasury Management (ECF TM) – Professional Level II	Treasury Markets Association (TMA)

A learner who has passed any of the following training programme(s) is eligible to apply for exemption from ***Elective: Bank Asset and Liability Management*** of the Certified Banker training programme:

Training Programme	Programme Provider
Enhanced Competency Framework on Treasury Management (ECF TM) – Professional Level II	Treasury Markets Association (TMA)

Certified Banker (Stage II)

A learner who has passed any of the following training programme(s) is eligible to apply for exemption from ***Elective: Corporate Finance Services*** of the Certified Banker (Stage II) training programme:

Training Programme	Programme Provider
Master of Business Administration	Chinese University of Hong Kong
Master of Accountancy	Lingnan University
Master of Science (MSc) in Finance	Lingnan University
Bachelor of Social Sciences (Honours) in Global Economics and Banking (BGEB)	Lingnan University
MA in Personal Finance Education	The Education University of Hong Kong
BBA (Hon) in Finance and Banking	The Hang Seng University of Hong Kong
Bachelor of Business Administration (Honours) in Financial Analysis and FinTech	The Hang Seng University of Hong Kong

A learner who has passed any of the following training programme(s) is eligible to apply for exemption from ***Elective: Finance of International Trade*** of the Certified Banker (Stage II) training programme:

Training Programme	Programme Provider
Bachelor of Social Sciences (Honours) in Global Economics and Banking (BGEB)	Lingnan University

Certified Banker (Stage I)

A learner who has passed any of the following training programme(s) is eligible to apply for exemption from ***Elective: Fundamentals of Accounting*** of the Certified Banker (Stage I) training programme:

Training Programme	Programme Provider
BBA (Hon) in Finance and Banking	The Hang Seng University of Hong Kong
Bachelor of Business Administration (Honours) in Financial Analysis and FinTech	The Hang Seng University of Hong Kong
MA in Personal Finance Education	The Education University of Hong Kong

Bachelor of Arts (Honours) in Personal Finance	The Education University of Hong Kong
Bachelor of Arts (Honours) in Economics and Finance	Hong Kong Shue Yan University
Master of Accountancy	Lingnan University
Master of Science in Risk, Insurance and Actuarial Analytics	Lingnan University

A learner who has passed any of the following training programme(s) is eligible to apply for exemption from ***Elective: Risk Management*** of the Certified Banker (Stage I) training programme:

Training Programme	**Programme Provider**
BBA (Hon) in Finance and Banking	The Hang Seng University of Hong Kong
MA in Personal Finance Education	The Education University of Hong Kong
Bachelor of Arts (Honours) in Personal Finance	The Education University of Hong Kong
Master of Science (MSc) in Finance	Lingnan University
Master of Science in Risk, Insurance and Actuarial Analytics	Lingnan University

A learner who has passed any of the following training programme(s) is eligible to apply for exemption from ***Elective: Introduction to Banking Law*** of the Certified Banker (Stage I) training programme:

Training Programme	**Programme Provider**
BBA (Hon) in Finance and Banking	The Hang Seng University of Hong Kong
MA in Personal Finance Education	The Education University of Hong Kong
Bachelor of Arts (Honours) in Economics and Finance	Hong Kong Shue Yan University

A learner who has passed any of the following training programme(s) is eligible to apply for exemption from ***Elective: Future Banking and ESG*** of the Certified Banker (Stage I) training programme:

Training Programme	**Programme Provider**
Bachelor of Arts (Honours) in Personal Finance	The Education University of Hong Kong

ECF-Compliance

An RP who has passed any of the following training programme(s) is eligible to apply for exemption from ***Module 1: Ethics and Corporate Governance in the Banking Industry*** of the ECF-Compliance Core Level training programme:

Training Programme	**Programme Provider**
Certified Professional Risk Manager	Asia Risk Management Institute
Certification in Risk Management Assurance	Institute of Internal Auditors
International Diploma in Governance, Risk and Compliance	International Compliance Association
Professional Ethics and Compliance module under the Advanced Diploma for Certified Banker	The Hong Kong Institute of Bankers (HKIB)
Bachelor's or higher degree in law	Universities in Hong Kong or overseas
Certified Public Accountant	Hong Kong Institute of Certified Public Accountants (HKICPA)

OR

An RP who holds any of the following professional qualification(s) is eligible to apply for exemption from ***Module 1: Ethics and Corporate Governance in the Banking Industry*** of the ECF-Compliance Core Level training programme***:***

- Full member of the Association of Chartered Certified Accountants (ACCA); or
- Member 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 its website)

ECF-CRM

An RP who has passed any of the following training/professional programme(s) is eligible to apply for exemption from ***Module 1: Credit Risk Management and Key Regulations*** of the ECF-CRM Core Level training programme:

Professional Programme	Programme Provider
Financial Risk Manager (FRM) Part II	Global Association of Risk Professionals

An RP who has passed any of the following training/professional programme(s) is eligible to apply for exemption from ***Module 2: Fundamental Credit Risk Analysis*** of the ECF-CRM Core Level training programme:

Professional Programme	Programme Provider
Chartered Financial Analyst (CFA) Level I	CFA Institute
Module A (Financial Reporting) and Module B (Corporate Financing) of the Qualification Programme	Hong Kong Institute of Certified Public Accountants (HKICPA)
Module 11 (Financial Reporting) and Module 12 (Business Finance) of the Qualification Programme	

ECF-Fintech

An RP who has passed any of the following training/professional programme(s) is eligible to apply for exemption from ***Module 1: Technology Essentials*** of the ECF-Fintech Core Level training programme:

Training Programme (University Degree)	Programme Provider
BEng Fintech	Chinese University of Hong Kong
MSc Fintech	Chinese University of Hong Kong
BSc Computational Finance and Financial Technology	City University of Hong Kong
Associate of Science (Financial Technology)	College of International Education, Hong Kong Baptist University
MSc Finance (Fintech and Financial Analytics)	Hong Kong Baptist University
BBA (Hon) Financial Technology and Innovation	Hong Kong Metropolitan University
BSc (Hon) Financial Technology and Artificial Intelligence	Hong Kong Polytechnic University
Doctor Financial Technology	Hong Kong Polytechnic University
BCom (Hons) in Financial Technology	Hong Kong Shue Yan University
MSc Fintech	Hong Kong University of Science and Technology
Advanced Diploma in FinTech	HKU SPACE
Executive Certificate in FinTech	HKU SPACE
Executive Certificate in Banking and Financial Technology	HKU SPACE
BASc Financial Technology	University of Hong Kong
MSc Fintech	University of Hong Kong
MFFinTech	University of Hong Kong
MSc Financial Technology and Data Analytics	University of Hong Kong
BBA (Hon) in Finance and Banking	The Hang Seng University of Hong Kong
Bachelor of Business Administration (Honours) in Financial Analysis and FinTech	The Hang Seng University of Hong Kong

Training Programme (Online Courses)	Programme Provider
Harvard Fintech Online Short Course with Harvard VPAL Premier Certificate	Harvard University
FinTech: Finance Industry Transformation and Regulation Specialization of Coursera	Hong Kong University of Science and Technology
Fintech: Innovation and Transformation in Financial Services	National University of Singapore
The Future of Finance Professional Certificate of edX	University of Texas

Professional Programme	Programme Provider
Shenzhen-Hong Kong-Macau Fintech Professional Programme Level 1	Shenzhen Fintech Association, Chinese Financial Association of Hong Kong, and Macau Institute of Financial Services
Certificate in Finance and Technology Level 1	Institute of Financial Technologists of Asia

An RP who has passed any of the following training programme(s) is eligible to apply for exemption from ***Module 2: Banking and Risk Essentials*** of the ECF-Fintech Core Level training programme:

Training Programme (University Degree)	Programme Provider
BCom (Hon) in Financial Technology	Hong Kong Shue Yan University
BBA (Hon) Financial Technology and Innovation	Hong Kong Metropolitan University
MA in Personal Finance Education	The Education University of Hong Kong

Training Programme (Advanced Diploma)	Programme Provider
Future Banking and ESG, Professional Ethics and Compliance, and Risk Management modules under the Advanced Diploma for Certified Banker	Hong Kong Institute of Bankers (HKIB)
Future Banking and ESG module under the Advanced Diploma for Certified Banker, and Module 2: Regulatory Framework and Compliance in the Banking Industry under ECF - Operational Risk Management / ECF - Compliance	Hong Kong Institute of Bankers (HKIB)

An RP who has passed any of the following training programme(s) is eligible to apply for exemption from ***Module 4: Fundamental Fintech Tools and Applications*** of the ECF-Fintech Core Level training programme:

Training Programme (University Degree)	Programme Provider
BEng Fintech	Chinese University of Hong Kong
MSc Fintech	Chinese University of Hong Kong
BSc Computational Finance and Financial Technology	City University of Hong Kong
Associate of Science (Financial Technology)	College of International Education, Hong Kong Baptist University
MSc Finance (Fintech and Financial Analytics)	Hong Kong Baptist University
BSc (Hon) Financial Technology and Artificial Intelligence	Hong Kong Polytechnic University
Doctor Financial Technology	Hong Kong Polytechnic University
BCom (Hon) in Financial Technology	Hong Kong Shue Yan University
MSc Fintech	Hong Kong University of Science and Technology
Advanced Diploma in FinTech	HKU SPACE
BASc Financial Technology	University of Hong Kong
MSc Fintech	University of Hong Kong
MFFinTech	University of Hong Kong
MSc Financial Technology and Data Analytics	University of Hong Kong

OR

An RP who has completed at least one of the certifications in any of the following specialist areas from key market players and service or platform providers is eligible to apply for exemption from ***Module 4: Fundamental Fintech Tools and Applications*** of the ECF-Fintech Core Level training programme:

- Artificial Intelligence and Big Data Analytics:

e.g. AWS Machine Learning – Specialty, Microsoft AI Engineer, AWS Data Analytics – Specialty, Microsoft Data Engineer, Microsoft Data scientist, Google Data Analytics, etc.

- Cloud Computing for Business Applications:
e.g. AWS Certified Cloud Practitioner, GCP Associate Cloud Engineer, Alibaba Cloud Certified Associate Cloud Computing, Microsoft Certified: Azure Fundamentals, etc.
- Blockchain and Distributed Ledger Technology: e.g. Blockchain Certification Course (from EC Council), P. G. Diploma in Blockchain Technology (from UpGrad), Certified Enterprise Blockchain Architect (CEBA), Blockchain Technology — EdX, Blockchain Fundamentals Certificate (from ISACA), etc.

ECF-GSF

An RP who has passed any of the following training programme(s) is eligible to apply for exemption from ***Module 1: Introduction to Sustainability*** of the ECF-GSF Core Level training programme:

Training Programme	**Programme Provider**
Certificate in Green and Sustainable Finance	Chartered Banker
EFFAS Certified ESG Analyst	The European Federation of Financial Analysis Societies (EFFAS)
Sustainability and Climate Risk (SCR) Certificate	Global Association of Risk Professionals (GARP)
Sustainable Investing Certificate	CFA Institute
Certificate in ESG Investing	CFA Institute
Certified ESG Planner (CEP®) (ESG Series: Sustainable Banking and Finance)	School of Continuing and Professional Studies, The Chinese University of Hong Kong (CUSCS)
Certified ESG Planner (CEP®) (Executive Certificate in ESG Investment)	Lingnan Institute of Further Education
Certified ESG Planner (CEP®) (Executive Certificate in ESG Planning)	Hong Kong Management Association (HKMA)
Advanced Certificate in Sustainable Banking and Finance	Hong Kong Management Association (HKMA)
ESG Investing (Online): Building and Managing a Sustainable Global Portfolio	Columbia Business School, Columbia University
Sustainable Finance Online Course	Cambridge Institute for Sustainability Leadership
Executive Certificate in ESG Analysis & Green Finance Valuation	Friends of the Earth (HK)
HKGFA-HKUST Certificate in Sustainable Finance *(Applicable to the May-June 2024 cohort and subsequent cohorts)*	Hong Kong Green Finance Association (HKGFA) & The School of Business and Management of The Hong Kong University of Science and Technology (HKUST Business School)
Professional Certificate in Sustainable Investment Management and ESG Integration	The Institute of Financial Planners of Hong Kong (IFPHK)
Advanced Certificate of Sustainability	The Asia-Pacific Institute of Business (APIB), The Chinese University of Hong Kong (CUHK)
Certificate in Sustainability for Finance	Association of Chartered Certified Accountants (ACCA)
Executive Certificate in Sustainable Finance and ESG Analytics	Lingnan University & Friends of the Earth (HK) Charity Limited
Introduction to Sustainable Finance in Hong Kong	The Hong Kong Association of Financial Advisors Limited

An RP who has passed any of the following training programme(s) is eligible to apply for exemption from ***Module 2: Fundamentals of Green and Sustainable Finance*** of the ECF-GSF Core Level training programme:

Training Programme	**Programme Provider**
Certificate in Green and Sustainable Finance	Chartered Banker
Sustainable Investing Certificate	CFA Institute
Certificate in ESG Investing	CFA Institute
Certified ESG Planner (CEP®) (ESG Series: Sustainable Banking and Finance)	School of Continuing and Professional Studies, The Chinese University of Hong Kong (CUSCS)

HKGFA-HKUST Certificate in Sustainable Finance	Hong Kong Green Finance Association (HKGFA) & The School of Business and Management of The Hong Kong University of Science and Technology (HKUST Business School)
Executive Certificate in Sustainable Finance and ESG Analytics	Lingnan University & Friends of the Earth (HK) Charity Limited
EFFAS Certified ESG Analyst *(Applicable to syllabus version November 2023 and subsequent versions)*	The European Federation of Financial Analysis Societies (EFFAS)
Advanced Certificate in Sustainable Banking and Finance	Hong Kong Management Association (HKMA)

An RP who has passed any of the following training programme(s) is eligible to apply for exemption from ***Module 3: Sustainability Risks in Banking*** of the ECF-GSF Core Level training programme:

Training Programme	**Programme Provider**
Sustainability and Climate Risk (SCR) Certificate	Global Association of Risk Professionals (GARP)
Environmental & Social Risk Analysis (ESRA)	UN Environment Programme Finance Initiative
Master of Science in Applied Economics	Hong Kong Baptist University

An RP who has passed any of the following training programme(s) is eligible to apply for exemption from ***Module 4: ESG/Sustainability Strategy, Disclosures and Reporting*** of the ECF-GSF Core Level training programme:

Training Programme	**Programme Provider**
ESG Reporting Certification Course	The Hong Kong Chartered Governance Institute (HKCGI)
Advanced Certificate in Practical Development and Implementation of ESG Framework for Business Success	The Hong Kong Management Association (HKMA)
The ESG Certified Professional Examination (ESGCP)	The Chamber of Hong Kong Listed Companies (CHKLC)

An RP who has passed any of the following training programme(s) is eligible to apply for exemption from ***Module 6: Green and Sustainable Finance Product*** of the ECF-GSF Professional Level training programme:

Training Programme	**Programme Provider**
Sustainable Bond Certificate	International Capital Market Association (ICMA)
Climate Risk, Valuation, and Investing Certificate	CFA Institute

An RP who has passed any of the following training programme(s) is eligible to apply for exemption from ***Module 7: Green and Sustainable Finance Investment*** of the ECF-GSF Professional Level training programme:

Training Programme	**Programme Provider**
Climate Risk, Valuation, and Investing Certificate	CFA Institute
EFFAS Certified ESG Analyst *(Applicable to syllabus version November 2023 and subsequent versions)*	The European Federation of Financial Analysis Societies (EFFAS)

An RP who has passed any of the following training programme(s) is eligible to apply for exemption from ***Module 8: Sustainability Risk Management*** of the ECF-GSF Professional Level training programme:

Training Programme	**Programme Provider**
Certificate in Climate Risk	Chartered Banker Institute (CBI)

An RP who has passed any of the following training programme(s) is eligible to apply for exemption from ***Module 9: ESG/Sustainability Disclosures and Reporting*** of the ECF-GSF Professional Level training programme:

Training Programme	**Programme Provider**
Fundamentals of Sustainability Accounting (FSA)	The International Financial Reporting Standards (IFRS) Foundation
GRI Professional Certification Program	Global Reporting Initiative (GRI)

An RP who has passed any of the following training programme(s) is eligible to apply for exemption from ***Module 10: Sustainability Strategy, Compliance and Control*** of the ECF-GSF Professional Level training programme:

Training Programme	**Programme Provider**
Business and Climate Change: Towards Net Zero Emissions	University of Cambridge (Institute of Sustainable Leadership)

ECF-ORM

An RP who has passed any of the following training/professional programme(s) is eligible to apply for exemption from ***Module 1: Ethics and Corporate Governance in Banking Industry*** of the ECF-ORM Core Level training programme:

Training Programme (University Degree)	**Programme Provider**
Bachelor's or higher degree in Law	N/A

Training Programme (Advanced Diploma)	**Programme Provider**
Professional Ethics and Compliance module under the Advanced Diploma for Certified Banker	Hong Kong Institute of Bankers (HKIB)

Professional Programme	**Programme Provider**
Certification in Risk Management Assurance	Institute of Internal Auditors
Certified Professional Risk Manager	Asia Risk Management Institute (ARIMI)
Certified Public Accountant	Hong Kong Institute of Certified Public Accountants (HKICPA)

OR

An RP who is a member of any one of the following professional accountancy bodies is eligible to apply for exemption from ***Module 1: Ethics and Corporate Governance in Banking Industry*** of the ECF-ORM Core Level training programme:

- Full member of the Association of Chartered Certified Accountants (ACCA); or
- 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 its website)

An RP who has passed any of the following training/professional programme(s) is eligible to apply for exemption from ***Module 3: Fundamentals of Operational Risk Management and Risk Governance*** of the ECF-ORM Core Level training programme:

Professional Programme	**Programme Provider**
Operational Risk Manager Certificate	Professional Risk Managers' International Association (PRMIA)
Professional Risk Manager	
Certificate in Operational Risk Management	Institute of Operational Risk (IOR)

Syllabus Mapping Table (Sample)

- Applicants may consider applying for exemption from module(s) on the basis of multiple qualifications.
- Please enclose corresponding **certified true copies** of your certificate(s) and official transcript(s).
- Please enclose syllabus(es) or detailed course outline(s) of relevant course(s), sample(s) of assessment, etc., for the qualification(s)/course(s).

SYLLABUS MAPPING TABLE

1. Name of Qualification Achieved: *Bachelor of Science in Risk Management and Business Intelligence in HKUST*

ECF – *Credit Risk Management*		Qualification Achieved	
Module	Section(s) of Syllabus	Module (s) Completed	Section(s) of Syllabus
Module 2 *Fundamental Credit Risk Analysis*	*Chapter 1: Key Accounting Concepts and Rules Relevant to Lenders* *1.1 Accounting standards* *1.2 Key accounting concepts and rules for lenders* *1.3 Credit analysis for leaders*	*HKUST – ACCT2010 Principles of Accounting I*	*Recognise the information conveyed in each of the four basic financial statements and the way that it is used by different decision makers (investors, creditors, and managers)*
	Chapter 2: Interpretation and Critical Analysis of Financial Statements from a Lender's Perspective *2.1 Balance sheet*		*Prepare a balance sheet, income statement and cash flow statement; Read, interpret and analyse a set of financial statements*
	Chapter 3: Financial Ratio Analysis *3.1 Common size analysis and financial ratio analysis*	*HKUST – FINA2203 Fundamentals of Business Finance*	*Profitability Ratio, Activity Ratio, Liquidity Ratio, Solvency Ratio are taught in Financial statement analysis*
	Chapter 4: Cash Flow Analysis 4.1 Cash and cash equivalents 4.5 Free cash flow		*Valuation of Cash Flow Streams (Operating, Investing, Financing Activities)*
	Chapter 5: Budgeting, Forecasting and Analysis 5.1 Budgeting and budget analysis 5.4 Balance sheet forecasting	*HKUST – FINA3104 Investment Analysis and Portfolio Management* *HKUST – ACCT2010 Principles of Accounting I*	*Capital Budgeting Principles and Methods* *P&L, Balance Sheet, CF Analysis and Forecasting*
	Chapter 6: Limitations of Financial Ration Analysis and Creative Accounting 6.2 Creative accounting practices	*HKUST – ACCT2010 Principles of Accounting I*	*Be able to form critical judgement covering an ability to identify and define accounting and business problems, apply analytical and quantitative techniques, make and justify decisions*

Annex 3

Authorisation for Disclosure of Personal Information to a Third Party

(For ECF-CRM modular exemption only)

I,_____,_____(_____),

*Name of Applicant, in BLOCK letters | * CFA: Passport No. FRM: (1) HKID No. / Passport No. (2) GARP ID | *Date of Birth (DD/MM/YYYY)

hereby authorise the CFA Institute (CFAI) and/or Global Association of Risk Professionals (GARP) to disclose my information indicated as follows. *(Tick as appropriate)*

☐ Chartered Financial Analyst (CFA) Level 1 Examination Result *Remarks:* *Please fill in the same information on the identity documents (i.e. passport number) above provided to CFAI.*	☐ Financial Risk Manager (FRM) Part II Examination Result

to the Hong Kong Institute of Bankers (HKIB) for processing of my exemption application for ECF-CRM.

Signature: _____

Date: _____

Contact No.: _____

Email: _____

*Mandatory field. The full name, Identity Document No. and Date of Birth are required for verification of identity.

Important notes:

Applicants may rescind or amend their consent in writing to HKIB at any time, except where action has been taken in reliance on this authorisation.