

BANKING TALENT PROGRAMME

Professional Training



Certified Banker (Stage I)

Advanced Diploma for Certified Banker

Core Modules

1. Fundamentals of Banking
2. Professional Ethics and Compliance

Elective Modules

1. Fundamentals of Accounting
2. Introduction to Banking Law
3. Risk Management



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Special Package under Banking Talent Programme

A special package price of HKD5000 for Banking Talent Programme participants will cover the following:

- 1) Two Trainings of any two of the core or elective modules
- 2) Two Examinations of the two respective modules
- 3) One Student Membership (until 28 Feb 2021)

Training and Examination - Programme Structure

Module Title	Credit	Training Duration	Examination Duration	Recommended Self Learning Duration
Core Modules				
Fundamentals of Banking	10	9 Hours	1.5 Hours	89.5 Hours
Professional Ethics and Compliance	10	9 Hours	1.5 Hours	89.5 Hours
Elective Modules				
Fundamentals of Accounting	10	9 Hours	1.5 Hours	89.5 Hours
Introduction of Banking Law	10	9 Hours	1.5 Hours	89.5 Hours
Risk Management	10	9 Hours	1.5 Hours	89.5 Hours

Completion Requirement

In order to obtain “Advanced Diploma for Certified Banker”, participants are required to complete 2 core modules and

- Any two elective modules + ECF on AML/CFT (Core Level) or ECF on Cybersecurity (Core Level)
OR
- ECF on AML/CFT (Core Level) + ECF on Cybersecurity (Core Level)



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Certification

For an individual who has completed the Advanced Diploma for Certified Banker with 1 year banking and finance related work experience will be certified as Certified Banker (Stage I).

Qualifications Framework (QF) by HKCAAVQ

Certified Banker contains three programmes in progressive QF Levels (i.e. Advanced Diploma, Professional Diploma and Postgraduate Diploma). Candidates should attempt the programmes progressively according to their academic background and related work experience.

All three programmes have been quality assured by the Hong Kong Council for Accreditation of Academic and Vocational Qualifications (HKCAAVQ) and are recognised under the Qualifications Framework (QF) as Specification of Competency Standards (SCS) based programmes. Their learning contents are encompassing all relevant Units of Competency (UoCs) drawn from the SCS of banking industry. The Postgraduate Diploma for Certified Banker is the first and only Specification of Competency Standards (SCS) based banking qualification which is accredited at QF Level 6 in Hong Kong. This is at the same level as a Master's degree.

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Programme Content

Advanced Diploma for Certified Banker

Core Module 1 - Fundamentals of Banking

Learning Outcomes

Upon completion of this module, candidates should be able to

- Articulate the functions of the financial markets and systems and interpret their implications to the development of the banking business and operations ;
- Identify and relate the regulatory framework and requirements to banking services and operations;
- Identify and introduce relevant banking services and products to satisfy customers' needs;
- Recognise the latest developments in financial technology and leverage technology in their daily work.

Module Outlines

- Financial Systems and Markets
 - Introduction to Financial Institutions
 - The Global Financial System
 - Hong Kong's Financial System and Markets
- Banking Systems and Regulations
 - Introduction
 - Banking Systems
 - Banking Regulatory Framework and Banking Regulations
- Banking Products, Services and Operations
 - Retail Banking Products, Services & Operations
 - Corporate and Commercial Banking Products, Services and Operations
 - Private Banking
 - Treasury Markets and Operations
 - Investment Banking
- Financial Technology
 - Recent Developments in FinTech
 - FinTech Products
 - The Technology behind FinTech
 - Risk and Risk Management

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Core Module 2 - Professional Ethics and Compliance

Learning Outcomes

Upon completion of this module, candidates should be able to

- Understand and apply principles of ethics and codes of ethics relating to the day-to-day work in the banking industry;
- Identify and exercise the requirements of professional ethics in various roles during job execution ;
- Perform compliance monitoring and the practical application of legal and regulatory requirements in their daily work;

Module Outlines

- Ethics and the Individual
 - Introduction
 - Ethics and the Individual
- Ethics and the Corporation
- Regulatory Framework and Regulatory Requirements
 - Regulatory Framework
 - Regulatory Requirements
- Corporate Governance and Internal Control
 - Corporate Governance
 - Internal Controls

Elective Module 1 - Fundamentals of Accounting

Learning Outcomes

Upon completion of this module, candidates should be able to

- Employ the concepts and accounting principles in financial reporting which relate to different areas of work
- Apply the concepts in financial accounting which are relevant to commercial lending
- Employ the wide range of key accounting concepts and principles essential to the world of banking in an appropriate manner
- Understand and apply budgeting principles to evaluate business performance

Module Outlines

- Financial Reporting
 - Basics of Book Keeping
 - Understanding Financial Statements
 - Regulatory Environment for Financial Reporting in Hong Kong
- Interpretation of Financial Statements
 - Use of Financial Statements in Commercial Lending
 - Financial Statement Analysis
 - Comparison of Financial Statements of a Bank to Non-bank Entities
- Investment Decisions and Valuation
 - Fundamental Analysis of Investment Decisions
 - Capital Expenditure Analysis
 - Value of a Firm
- Budgeting & Performance Measurement in Banking
 - Planning Decisions
 - Budgeting and Evaluating Performance

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Elective Module 2 - Introduction to Banking Law

Learning Outcomes

Upon completion of this module, candidates should be able to

- Apply relevant laws and regulations, and comply with internal policies relating to the banking industry when executing tasks, tackling business issues, and handling requests from law enforcement agencies and regulatory bodies
- Develop a fair and cordial banker-customer relationship through the application of relevant laws, regulations and codes of conduct
- Understand the rights and liabilities of the bank and its customers when dealing with negotiable instruments in order to comply with the legal requirements

Module Outlines

- Basic Legal Principles
 - Sources of Laws Applicable to the Banking Industry
 - Law of Contract in Banking
 - Other Relevant Banking Laws
- Regulatory Framework in Banking and Financial Markets
 - Regulatory Framework
 - Major Statutory and Regulatory Requirements
- Negotiable Instruments
 - Introduction
 - Cheques

Elective Module 3 - Risk Management

Learning Outcomes

Upon completion of this module, candidates should be able to

- Apply and follow the principles of sound governance, and environmental and social responsibilities that apply to risk management at work
- Analyse the risk issues faced by the banking industry nowadays
- Apply risk management techniques to alleviate different types of risks encountered at work
- Execute and monitor measures according to legal, regulatory and compliance requirements in a business context relating to risk

Module Outlines

- Introduction & Process of Risk Management
 - Introduction to Risk Management
 - Process of Risk Management
- Regulatory Requirements in Risk Management
 - Regulations of Financial Institutions
 - Basel
 - Case Sharing on the Consequences of Violating Regulatory Requirements in Risk Management
- Structuring Risk Management Functions
 - Organisation of Risk Management Functions in a Bank
 - Risk Management Tools and Measures