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Recognising Prior Learning (RPL) Application Form for ECF on AML/CFT (Professional Level) Grandfathered Holder

This form is designed for the ECF on AML/CFT (Professional Level) grandfathered holders to claim exemption of the "ECF on AML/CFT (Professional Level)" module on the **Professional Diploma for Certified Banker** through the Institute's internal RPL scheme.

- Please read the **NOTES** carefully before completing this form.
- Please complete the form in **BLOCK LETTERS**.
- Please tick or delete as appropriate

SECTION A: PERSONAL PARTICULARS

Title <input type="checkbox"/> Mr <input type="checkbox"/> Ms <input type="checkbox"/> Dr <input type="checkbox"/> Prof	HKIB Membership No.
Name (as shown on HKID/Passport) (Surname)	(Given Name)
HKID/Passport No.	
Current Employer, if applicable	
Department	Position
Correspondence Address <input type="checkbox"/> Business <input type="checkbox"/> Residential	
Telephone / Mobile no.	E-mail

SECTION B: APPLICATION FOR RPL/EXEMPTION

ECF on AML/CFT (Professional Level) Grandfathered Holder may apply RPL for the ECF on AML/CFT (Professional Level) module on **Professional Diploma for Certified Banker** qualification, unless otherwise specified. Please ✓ the appropriate key roles / responsibilities in relation to applicant's current functional title / position in authorized institutions.

Key Roles / Responsibilities	✓ where appropriate	For Internal Use Only
1. Develop, implement and periodically review the AML/CFT compliance risk management framework and the related controls for identification, management, monitoring and reporting of AML/CFT compliance risks and issues (including the operation of AML/CFT systems).		
2. Review, analyse and communicate AML/CFT management information such as trends surrounding suspicious transactions / filed Suspicious Transaction Reports (STR) and sanctions screening hits. Report results of AML/CFT risk management reviews and identify key areas of improvements. Monitor remedial actions for identified weak AML/CFT controls that require corrective actions.		
3. Evaluate and communicate new laws and regulations and stay abreast of all legislative and regulatory developments relating to AML/CFT, both at local and international levels.		
4. Review suspicious activity that has been investigated and concluded as reportable and file STRs to the Joint Financial Intelligence Unit (JFIU) in accordance with regulatory requirements.		

5. Plan periodic compliance tests on the bank's AML/CFT program against compliance testing policies, procedures and regulations.		
6. Provide guidance and training to business units on AML/CFT related matters, including but not limited to transaction monitoring, filtering, sanctions screening, trade based money laundering and correspondent banking.		
7. Other Key Roles / Responsibilities related to AML / CFT compliance work (please specify)*: _____		

*Application will be escalated to General Manager / Head of Professional Assessment and Certification whom will consider if a face-to-face interview using respective Unit of Competencies (UoCs) for assessment should be arranged.

Verification by HR Department (To be completed by the Employer)

The **Key Roles / Responsibilities** 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 organization has a record of this information).

Signature & Company Chop

Date

Name: _____

Department: _____

Position: _____

NOTES FOR RPL/EXEMPTION

1. To apply for RPL, the applicant should be a current member of The Hong Kong Institute of Bankers (the Institute).
2. RPL application will only be considered if applicant holds a valid ECF on AML/CFT (professional level) grandfathering status at the Institute.
3. Applicant may apply RPL for the "ECF on AML/CFT (professional level)" module on the **Professional Diploma for Certified Banker**.
4. No application fee is charged
5. RPL results will normally be given in writing within two months after the receipt of application. 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.
6. The Institute reserves its right to refuse application for RPL if deemed appropriate.



ACKNOWLEDGEMENT AND DECLARATION

I, the undersigned, hereby make application for the RPL of the CB module ECF on AML/CFT (professional level) offered by The Hong Kong Institute of Bankers. I declare that the information given in this form is true and accurate.

I fully understand that the Institute reserves the rights to reject any application without sufficient information.

I confirm that I have read the relevant Programme Handbook and Notes for RPL printed in this form and fully understand the rules and regulations.

Signature

Date

For Application Enquires:

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

Telephone no.: (852) 2153 7821

Fax no.: (852) 2544 9946

E-mail: exam@hkib.org

Website: <http://www.hkib.org>

For General Enquires /Feedback :

Telephone no.: (852) 2153 7800

E-mail: cs@hkib.org