



## Certified Banking Compliance Professional Course

### Rules & Syllabus 2015

#### INTRODUCTION

The course on compliance in banks has been planned based on the suggestions made by the Governing Council members of IIBF. The Institute pursued the suggestion by organizing workshops in collaboration with International Compliance Association (ICA), London. As compliance function primarily deals with local laws and regulations, the Institute decided to develop the courseware internally and seek collaboration for offering a certification course.

The Institute of Company Secretaries of India (ICSI), New Delhi came forward for offering a joint certification with IIBF to their members as also the CAIIB holders to make available well qualified candidates to work in the compliance department in banks.

#### OBJECTIVES

The course primarily seeks to cover related areas viz. importance of compliance function in banks, compliance and organizational benefit, structure and issues in compliance function, various aspects / coverage of compliance in banks, role and functions of compliance officer.

#### COVERAGE

The course broadly covers :

- Risk Management in banking and financial institutions covering inter-alia Credit Risk Management, Operations Risk Management, Market Risk and organization of risk functions in Banks
- Legal and Regulatory aspects of Risk, Governance and Compliance
- Compliance function - Roles and Responsibilities

#### TARGET GROUP

- Persons working in the compliance department in banks and / or persons identified for working in such departments.
- ICSI members, who are desirous of working in banks in the compliance area

#### METHODOLOGY :

Course will have two components viz.,

- Online examination in 2 subjects for 100 marks each based on specially designed courseware
- Classroom Learning for 5 days in Mumbai or at pre-announced centres.

For details of Classroom Learning, Course Structure & Delivery, refer page 7.

#### ELIGIBILITY

The examination is open to :

- Members of IIBF who have passed CAIIB and working in Banks
- Members of ICSI (who have passed final CS course)

#### SUBJECTS OF EXAMINATION

- 1) Risk, Regulation & Governance
- 2) Compliance in Banks

#### EXAMINATION FEES / REGISTRATION FEES

	For Members of IIBF	For Members of ICSI
First two attempts	₹6,000/- *	₹6,000/- *
Subsequent each attempt	₹3,000/- *	₹3,000/- *

\* Plus Service Tax as applicable (Reg. No. AAATT3309DSD002)

#### MEDIUM OF EXAMINATION

Examination will be conducted in English only

## **PATTERN OF EXAMINATION**

- (i) Question Paper will contain approximately 120 objective type multiple choice questions for a total of 100 marks
- (ii) Examination will be of 2 hours duration
- (iii) The examination will be held in Online Mode only

## **PERIODICITY AND EXAMINATION CENTRES**

The Examination will be conducted normally twice a year in June and December on a Sunday. List of Centres available on the web site.

## **EXEMPTION**

CAIIB passed candidates, who have passed the Diploma in Treasury, Investment & Risk Management and / or the CAIIB Elective in the paper Risk Management would be exempted from appearing in the first paper on Risk, Regulation & Governance. Candidates those who are eligible for exemption as per the above criteria are required to send a separate request for granting exemption in the subject along with 1) Copy of the TRANSACTION DETAILS received by him / her through e-mail from IIBF while applying for examination online 2) Copy of the Result Advice / Final certificate of the above examinations passed to the **respective Zonal Office** of the Institute immediately after applying for the examination so as to reach the Zonal Office on or before the last date for applying for examination. Zonal Office of the Institute will scrutinize the same, if found in order will communicate to the candidate granting of exemption.

## **PASSING CRITERIA**

- (i) Pass : Minimum marks for pass in every subject - 60 out of 100 marks.
- (ii) Candidate securing at least 50 marks in each subject with an aggregate of 60% marks in all subjects of examination in a single attempt will also be declared as Pass.
- (iii) Candidates will be allowed to retain credits for the subject they have passed in a attempt till the expiry of the time limit for passing the examination as mentioned below :

## **TIME LIMIT FOR PASSING THE EXAMINATION**

- (i) Candidates will be required to pass the examination within a time limit of 2 years (i.e. 4 consecutive attempts). Initially a candidate will have to pay examination fee for 1st block of one year i.e. for two attempts. In case a candidate is not able to pass examination within the 1st block of one year, candidate should necessarily submit the examination application form for subsequent attempt, without any gap on payment of requisite examination fee. If they do not submit the examination form immediately after exhausting the first block, the examination conducted will be counted as attempt for the purpose of time limit for passing.
- (ii) Candidates not able to pass examination within stipulated time period of two years are required to re-enroll themselves afresh by submitting a fresh Examination Application Form. Such candidates will not be granted credit/s for subject/s passed, if any, earlier.
- (iii) Attempts will be counted from the date of application irrespective of whether a candidate appears at any examination or otherwise.

## **"CLASS OF PASS" CRITERIA**

- (i) The Institute will consider the **FIRST PHYSICAL ATTEMPT** of the candidate at the online examination and Classroom Learning as first attempt for awarding class. In other words, the candidate should not have attempted any of the subject/s pertaining to the concerned examination and classroom learning any time in the past and has to pass all the subjects as per the passing criteria and secure prescribed marks for awarding class. Candidate re-enrolling for the examination after exhausting all permissible attempts as per the time limit rule will not be considered for awarding class.
- (ii) **First Class** : 60% or more marks in aggregate and pass in all the subjects including Classroom Learning in the **FIRST PHYSICAL ATTEMPT**.
- (iii) **First Class with Distinction** : 70% or more marks in aggregate and 60% or more marks in each subject including Classroom Learning in the **FIRST PHYSICAL ATTEMPT**.
- (iv) Candidates who were granted Exemption in any subject will be considered only for Pass Class.

## **PROCEDURE FOR APPLYING FOR EXAMINATION**

Application for examination should be made through online from the Institute's website **www.iibf.org.in**. Online Application will be activated on the Institute's web site before last date for applying which is normally 3 to 4 months before the date of examination. For details visit web site of the Institute.

## STUDY MATERIAL / COURSEWARE

The Institute has developed a courseware to cover the syllabus. Candidates are advised to make full use of the courseware and also the updates put on the IIBF website from time to time. However, as banking and finance fields are dynamic, rules and regulations witness rapid changes. Hence, candidates should keep themselves updated on latest developments by going through Master Circulars issued by RBI, visiting the websites of organizations like RBI, SEBI, BIS, IBA etc. The Institute has published study books to facilitate study and will be available at outlets / showrooms / distributors of M/s. Macmillan Publishers India Ltd. / M/s. Taxmann Publication Pvt. Ltd.

The price of each book and detailed list of outlets is mentioned below.

Candidates may purchase directly from outlets / showrooms / distributors of M/s. Macmillan Publishers India Ltd. / M/s. Taxmann Publication Pvt. Ltd. Candidates who purchase books directly from outlets of publishers will be offered a discount of 20% on the cost price of the book. Candidates desirous of purchasing books by post will not be offered any discount. However, the postage will be borne by publishers. Candidates would be required to send their indent to publishers' outlet along with a Demand Draft for the cost of books. The Demand Draft should be drawn in favour of M/s. Macmillan Publishers India Ltd. / M/s. Taxmann Publication Pvt. Ltd. as the case may be (No cheques will be accepted). Candidates are requested NOT to send any request for the purchase of books to the Institute's Zonal Offices / Corporate Office.

Name of the Book	Price
<b>RISK MANAGEMENT</b> - M/s. Macmillan Publishers India Ltd. (For the subject Risk, Regulation & Governance)	₹450/-
<b>COMPLIANCE IN BANKS</b> - M/s. Taxmann Publication Pvt. Ltd.	₹650/-

### ADDRESSES OF TAXMANN PUBLICATION PVT. LTD. BRANCHES & SHOWROOMS

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Mumbai - 400 002  
Tel. : 22012143, 22018485

#### Asia Law House

Shop No. 10, Aiyangar Plaza,  
Between UTI & Central Bank  
Bank Street Kothi,  
Hyderabad - 500 095  
Tel. : 24742324

#### Standard Book Distributors

104, Labh Complex, 12-B,  
Sattar Taluka Society,  
Opp. Old High Court Rd.,  
Ahmedabad - 380 014  
Tel. : 7540731, 7540732

#### Student Book Centre

527, Kalbadevi Road,  
Opp. Edward Cinema,  
Mumbai - 400 002  
Tel. : 22050510, 22080668

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#### Book Corporation

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Tel. : 2351334-37

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Chennai-600 014  
Tel. : 28111516, 28117069, 28113950

#### Law Point

6C, R. N. Mukherjee Road,  
Opp. Birla Building, Stephen House,  
Kolkata - 700 011  
Tel. : 22101821

#### Krishna Law House

35-36, Gokhale Market,  
Opp. Tis Hazari Court, Delhi - 110 054  
Tel. : 23969866, 23919317

#### Book Corporation

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1st Cross Gandhinagar,  
Bangalore - 560 009  
Tel. : 2265500, 2254052

#### Modern Law House

1/1, A. D. A. Flat,  
(Near Bishop Johnson School),  
M. G. Marg, Allahabad - 211001  
Tel. : 2560700, 2560616

#### Arora Law Agency

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35, Bodke Building, M.G. Road,  
Opp. Mulund Railway Station,  
Mulund (West), Mumbai - 400 080  
Tel. : 022-25934807/32516684/25644807  
E-mail: nileshbhanushali@taxmann.com

#### M/s. Taxmann Publication Pvt. Ltd.

59/32, New Rohtak Road, New Delhi - 110 005  
Tel. : 011-45562222  
E-mail: sales@taxmann.com

#### M/s. Taxmann Publication Pvt. Ltd.

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Cell : 9909984900  
E-mail: bdurgaprasad@taxmann.com

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21 Patullos Road, Chennai-600002  
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76 Malviya Nagar, TT Nagar, Bhopal-462003  
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**Chandigarh**

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**Mumbai**

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Phone : (0431) 2703743  
E-mail : intbok@yahoo.co.in,  
ntbok@gmail.com

## CONTACT PROGRAMMES

IIBF will arrange contact classes subject to availability of sufficient candidates in select centres across the country. For further details candidates may get in touch with Zonal Office or logon to the Institute's website [www.iibf.org.in](http://www.iibf.org.in).

## SYLLABUS

The details of the prescribed syllabus which is indicative are furnished below. However, keeping in view the professional nature of examinations, all matters falling within the realm of the subject concerned will have to be studied by the candidate as questions can be asked on all relevant matters under the subject. Candidates appearing for the Examination should particularly prepare themselves for answering questions that may be asked on the latest developments taking place under the various subjects of the said examination although those topics may not have been specifically included in the syllabus. The Institute also reserves to itself the right to vary the syllabus / rules / fee structure from time to time. Any alterations made will be notified from time to time. Further, questions based on current developments in banking and finance may be asked.

Candidates are advised to refer to financial news papers / periodicals more particularly "IIBF VISION" and "BANK QUEST" published by the Institute.

## SYLLABUS FOR ONLINE EXAMINATION

### Paper-I : Risk, Regulation & Governance

#### Module-A : An overview

- a) Risk definition / policies  
Risk Process-Risk Organization - Key risks-Credit risk, market risk, operational risk, liquidity risk, legal risk, interest rate risk and currency risk
- b) Asset Liability Management  
ALM Concept - ALM organization - ALCO techniques / tools - Simulation, Gap, Duration analysis, Linear and other statistical methods of control
- c) Risk measurement & Control  
Calculation - Risk exposure analysis - Risk management / mitigation policy - Risk immunization policy / strategy for fixing exposure limits - Risk management policy and procedure - Risk adjusted return on capital - Capital adequacy norms
- d) Risk management  
Capital adequacy norms - Prudential norms - Exposure norms - Concept of Mid office - Forwards - Futures - Options - Strategies and Arbitrage opportunities - Regulatory prescriptions of risk management

#### Module-B : Credit Risk Management

Introduction - Basel-I - Three pillars of Basel-II and Capital for Operational risk - Frame work for risk management - RBI guidelines on risk management - Risk rating and risk pricing - Methods for estimating capital requirements - Credit risk - standardized approach - Credit risk - advanced approach - Credit rating / credit scoring and rating system design - Credit Bureaus - Stress test and sensitivity analysis - Internal Capital Adequacy Assessment Process (ICAAP) - Introduction to structured products

#### Module-C : Operational Risk

Introduction, Basel-I & II - RBI guidelines - Likely forms of operational risk and causes for significant increase in operational risk - Sound Principles of Operational Risk Management (SPOR) - SPOR - organizational set up and key responsibilities of ORM - SPOR - policy requirements and strategic approach for ORM - SPOR identification, measurement, control / mitigation of operational risks - Capital allocation for operational risk, methodology,

qualifying criteria for banks for the adoption of the methods - Computation of capital charge for operational risk

#### **Module-D : Market Risk**

- Introduction and definition - Prescriptions of Basel-I & II - Liquidity risk - Interest rate risk - Foreign exchange risk - Price risk (Equity) - Commodity risk
- Treatment of market risk under Basel
  - a) Standardized duration method
  - b) Internal measurement approach - VaR

#### **Basel-III guidelines**

- Risk Management Policy - ALCO structure and functions.

#### **Paper-II : Compliance in banks**

##### **Module-I : Regulation and Regulatory framework**

- 1) Need for regulation in banks; importance of regulation, the role of regulators, the instruments of regulation, regulatory models, regulatory authorities.

##### **Module-II : Compliance programme**

- 1) Compliance Risk and significance of Compliance Function; Compliance Policy; Compliance principles, process and procedures; Steps taken by Banks for compliance; Scope of compliance function; The Compliance Programme
- 2) Compliance governance structure; Organizational structure; Responsibility of the Board and Senior Management; Compliance structure at corporate office; Functional departments; Field level; Internal controls and its importance
- 3) Compliances issues; Compliance Risk; Inherent risk and Control risk; Independent testing and effective audit programme; Reporting Framework and Monitoring compliance, Reporting of breaches / non-compliances observed; Role of Audit and Inspection; Essentials for good compliance
- 4) Creating compliance culture across the organization; Governance, risk and compliance - GRC framework; Benefits of Taking an Integrated GRC Approach; Whistleblower mechanism; The Components of a Whistle-Blower Policy; Reasons for compliance failures

##### **Module-III : Regulatory compliances**

- 1) Disclosures in Financial statements of Banks; Disclosure Requirements; Capital; Repo Transactions, Investment Portfolio; Derivatives; Asset Quality; Asset Re-construction, Business Ratios; Asset Liability Management; Accounting Standard; Disclosures relating to Securitisation
- 2) Exposure norms; credit exposure to individuals / groups; exposure to certain industries; exposure to capital markets; exposures to joint ventures abroad
- 3) Computation of CRR / SLR
- 4) Capital adequacy, Basel II, Basel III
- 5) KYC / Anti-Money Laundering guidelines

##### **Module-IV : Statutory, Regulatory Restrictions and Guidelines on Loans and Advances**

- 1) Statutory, Regulatory restrictions on certain sectors
- 2) Priority sectors and MSME
- 3) Interest rates on advances
- 4) NPA regulations

##### **Module-V : Foreign currency operations under FEMA and other regulations**

- 1) Investment in India and abroad
- 2) Guidelines for exports
- 3) Guidelines for External commercial borrowings (ECB)
- 4) Money changing, Miscellaneous Remittances from India - Facilities for Residents; Remittance Facilities for Non-Resident Indians / Persons of Indian

- Origin / Foreign Nationals; Risk Management and Inter-bank Dealings
- 5) Guidelines for import of goods and services
  - 6) Deposit accounts for NRIs; Memorandum of Instructions for opening and maintenance of Rupee / Foreign Currency / Vostro Accounts of Non-resident & Exchange Houses

#### **Module-VI : Guidelines for customer service**

- 1) Customer Service Committee of the Board; Role of the Customer Service Committee; Board approved policies on Customer Service, government business, Frauds
- 2) Financial distribution : Insurance, Mutual funds
- 3) Alternate delivery channels : credit / debit cards; smart cards; NEFT; RTGS

#### **COURSE STRUCTURE & DELIVERY**

Certified Banking Compliance Professional course has two parts viz. written examination and class room learning. To be declared successful, a candidate has to secure a minimum of 60% marks in each subject in the online examination and 50% in class room learning . The steps in completing the course are as under :

1. Study :

A minimum 3 months study of the stipulated courseware is envisaged. Institute will accept application within a certain period before the dates of announced exams so as to ensure that the study period is adhered to.

2. Examination :

Candidates will have to appear first for the online examination conducted by IIBF (Multiple Choice Objective Type Questions) and pass the examination.

3. **Classroom Learning :**

- Candidates who have passed the written examination have to undergo class room learning. This will be offered in IIBF and / or ICSI centres. For this purpose, the candidate, after passing the examination will log on to IIBF website - [www.iibf.org.in](http://www.iibf.org.in) and select his / her convenient slot for class room learning (5 days) from the pre-determined dates and venue (IIBF or ICSI) put-up on the website by paying the fees prescribed for class room learning to the respective organization where he / she seeks to undergo class room learning.
- Total MARKS FOR CLASS ROOM LEARNING WILL be 50 and passing marks is 25. Marks for class room learning will be awarded by faculty based on class room participation, analytical skills, discussion ability on compliance case studies etc.

4. **Time Limit for Classroom Learning :**

Classroom learning is required to be completed within 15 months from the date of declaration of the online examination results in which the candidate passes.

In case a candidate fails to complete the Class Room Learning either on account of not able to successfully complete the Class Room Learning or by not attending the training for Class Room Learning within the stipulated period of 15 months, the candidate would be required to RE-ENROLL himself for the Online examination foregoing credit for the subject/s passed in the Online examination earlier in case he wants to complete the course.

#### **CLASSROOM LEARNING FEE**

Class room learning at IIBF, Leadership centre, Mumbai (Non-residential)	₹22,800/-* (₹20,000 + ₹2,800)
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\* Inclusive of 14% Service Tax (IIBF - S.T.Reg. No. AAATT3309DSD002)

Fees for Class room learning at ICSI Centres will be informed separately by ICSI to the eligible candidates.

## REFUND OF FEE

Examination fee is not refundable. For refund of classroom learning fee, application for the same giving sufficient reason/s should reach the Institute one month in advance and in case the refund is effected 25% will be deducted towards administrative charges.

## AWARD OF CERTIFICATE

Candidates, who successfully complete the class room learning, will be eligible for the Course Completion Certificate.

All the successful candidates will be awarded 'Certified Banking Compliance Professional' citation jointly by IIBF and ICSI.

The names of the certified candidates (CBCP) who belong to ICSI and applied under the non-member category of IIBF will only be hosted on IIBF portal and informed to Banks / Financial Institutions. This will not be regarded as a placement exercise.

**For Registration of Classroom Learning visit [www.iibf.org.in](http://www.iibf.org.in) or Contact**

Dr. Rekha Rani Singh

e-mail : [training@iibf.org.in](mailto:training@iibf.org.in)

Joint Director (Training)

Indian Institute of Banking & Finance,

Kohinoor City, Kurla (West), Mumbai-400 070

Tel: 022-25039746 / 25039604 / 25039907

## Venue for class room learning

Leadership Center,

Indian Institute of Banking & Finance

Kohinoor City, Commercial-II, Tower-I, 3rd Floor

Kirol Road, Kurla (West) Mumbai - 400 070

## The Institute of Company Secretaries of India (ICSI)

The Institute of Company Secretaries of India (ICSI) is a premier national professional body established by an Act of Parliament (Company Secretaries Act, 1980) to develop and regulate the profession of Company Secretaries. ICSI functions under the administrative jurisdiction of Ministry of Corporate Affairs, Government of India.

Vision : "To be a Global leader in promoting Good Corporate Governance";

Mission : "To Develop High Calibre Professionals Facilitating Good Corporate Governance".

The Institute's Headquarters is at ICSI House, 22 Institutional Area, Lodi Road, New Delhi. The Regional Offices are at Mumbai, Kolkata, New Delhi, Chennai. Centre for Corporate Governance, Research and Training (CCGRT) is at Navi Mumbai and 69 Chapters of ICSI are located in various cities all across India with one Overseas Chapter at Dubai. It provides postal and oral coaching and training to students to qualify as Company Secretaries. The ICSI has on its rolls over 31,000 qualified members both in Employment & in Practice. Over 3.6 lakh students are currently enrolled in the Company Secretaries Course.

ICSI is the largest CS Professional organization which is globally recognised for guiding Industry and academia on highest standards of Corporate Governance. The ICSI is actively engaged in debate on acceptance and adoption of good governance practices and has pioneered the promotion and propagation of such practices amongst the corporates. [www.icsi.edu](http://www.icsi.edu).



## COURSES OF IIBF

### A. Flagship Courses (for Members\*)

- ☞ JAIB
- ☞ CAIB
- ☞ Diploma in Banking & Finance (Only for Non-Members)

### B. Specialised Diploma Courses (for Members\* and Non-Members\*\*)

- ☞ Diploma in Treasury, Investment and Risk Management
- ☞ Diploma in Banking Technology
- ☞ Diploma in International Banking and Finance
- ☞ Advanced Diploma in Urban Co-operative Banking
- ☞ Diploma in Commodity Derivatives for Bankers
- ☞ Advanced Wealth Management Course
- ☞ Diploma in Home Loan Advising

### C. Certificate Courses (for Members\* and Non-Members\*\*)

- ☞ Certificate in Trade Finance
- ☞ Certified Information System Banker
- ☞ Certificate in Anti-Money Laundering / Know Your Customer
- ☞ Certificate in Quantitative Methods for Bankers
- ☞ Certificate in Credit Cards for Bankers
- ☞ Certificate Examination in Banking Oriented Paper in Hindi
- ☞ Certificate Examination in SME Finance for Bankers
- ☞ Certificate Examination in Customer Service & Banking Codes and Standards
- ☞ Certificate Examination in CAIB - Elective Subjects
- ☞ Certificate Examination in Basics of Banking / Credit Card Operations / Functions of Banks for employees of IT Companies
- ☞ Certificate Course for Business Correspondents / Business Facilitators
- ☞ Certificate Examination for Debt Recovery Agents
- ☞ Certificate Examination in IT Security
- ☞ Certificate Examination in Rural Banking Operations for RRB Staff
- ☞ Certificate Examination in Prevention of Cyber Crimes and Fraud Management
- ☞ Certificate Examination in Foreign Exchange Facilities for Individuals
- ☞ Certificate Examination in Microfinance

### D. Specialised Blended Certificate Courses

- ☞ Certified Bank Trainer
- ☞ Certified Banking Compliance Professional
- ☞ Certified Credit Officer
- ☞ Certified Treasury Dealer
- ☞ Project Finance Management with IFMR, Chennai

### E. Management Courses

- ☞ Advanced Management Program
- ☞ CAIB linked MBA with IGNOU.

### Educational support :

- ☞ Publishing specific courseware for each paper / examination and Workbooks etc.
- ☞ Classroom learning through Accredited Institutions, Video Classes, e-learning through Portal, Contact Classes or Campus Training - Model Questions and subject updates on the net

### Other activities :

- ☞ Research, Seminars, Conferences, Lectures, etc.
- ☞ Publications of books, Daily e-newsletter, monthly newsletter and quarterly journal
- ☞ Training & Consultancy and Financial Education

\* Members are employees of Banks and Financial Institutions who have enrolled as members of IIBF.

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