

Chartered Financial Analyst Level 1 Education Programme

特許金融分析師一級研習課程



1540-1027NW (2017 August Class)

Programme Structure

HKU SPACE is pleased to offer the CFA® Level 1 Education Programme to help CFA® candidates prepare for the forthcoming examinations on December 2, 2017.

Instructor: Mr. Mike Hui, MSc., CFA®. Mr. Hui is a veteran in the investment and banking industry. He has over 15 years of working experience in a merchant bank and a listed brokerage firm and over 10 years of teaching experience in various tertiary institutions, including HKU SPACE and professional bodies covering finance and banking courses. He has been delivering CFA revision courses for the past 5 years and the CFP^{CM} Investments module for the past 10 years with very positive feedback. Currently he is a Sales Director in a listed investment consultant firm. Mike is a CFA charterholder. He has a Master of Science degree in Finance from the Chinese University of HK.

Course Fee

The course fee is **HK\$8,900** (including all teaching materials). The CFA Level 1 Education Programme qualifies for the government's Continuing Education Fund (CEF). Students are required to pass an internal assessment to qualify for CEF reimbursement.

Learning Materials: Comprehensive set of notes, Wiley study materials

Entry Requirement

There are no specific entry requirements. However, students should check the requirements of the CFA Institute to ensure that they qualify to sit for the CFA examinations.

Programme Delivery

Duration: 60 hours

2017 August Tentative Class Schedule

Medium of instruction is **Cantonese**;

- August 16, 23, 30
- September 6, 13, 20, 27
- October 4, 11, 18, 23, 25, 30
- November 1, 6, 8, 13, 15, 20

WHEN

**16.08 –
20.11.2017** WED & MON

18:45pm – 22:00pm

WHERE

**Fortress Tower Learning Centre (North Point)/
United Learning Centre or Admiralty Learning Center (Admiralty) /
HPSHCC Campus (Causeway Bay) /
Graduate House Learning Centre (HKU Pokfulam Road Campus)**

HK\$8,900

Application Procedure

1. apply via HKU SPACE online enrolment system and pay by credit cards or PPS.
2. complete the enrolment form and enroll in the course
 - a. at the Enrolment Centres of HKU SPACE (please refer to the 'Enrolment Centre' section) by cash, EPS, cheque/bank draft or credit cards (VISA / MasterCard); OR
 - b. by mail with cheque/bank draft to 'CFA® Education Programmes, HKU SPACE, 34/F., United Center, 95 Queensway, HK'. (***Cheque/Bank draft should be made payable to 'HKU SPACE'***)

Programme Enquiries

Telephone: 2867 8468

Fax: 2858 4750

Email: cfa@hkuspace.hku.hk

Website: <http://www.hkuspace.hku.hk/prog/cfa-level-1>

Application Deadline

2017 August Class:
14.08.2017(Monday)

Enrolment Centres

**Admiralty Learning Centre
[ADC]**

3/F, Admiralty Centre,
18 Harcourt Road, Hong Kong
(Exit A, Admiralty MTR Station)
3761 1111

**Fortress Tower Learning
Centre [FTC]**

14/F, Fortress Tower, 250 King's
Road, North Point, Hong Kong
(Exit B, Fortress Hill MTR Station)
3762 0888

**HPSHCC Campus
[HPSHCC]**

1/F, HPSHCC Campus,
66 Leighton Road,
Causeway Bay, Hong Kong
3923 7171

**Island East Campus
[IEC]**

2/F, 494 King's Road,
North Point, Hong Kong
(Exit B3, North Point MTR Station)
3762 0000

**HKU Campus
[HKUC]**

3/F, T.T.Tsui Bldg.
The University of Hong Kong
Pokfulam Road, Hong Kong
2975 5680

**Kowloon East Campus
[KEC]**

1/F, 28 Wang Hoi Road,
Kowloon Bay, Kowloon
(Exit B, Kowloon Bay MTR Station)
3762 2222

**Kowloon West Campus
[KWC]**

38-46, Nassau Street, Mei Foo
Sun Chuen (Phase 6), Kowloon
(Exit B, Kowloon Bay MTR Station)
3762 4000



HKU SPACE
CFA® Education Programmes
Enrolment Form



HKUSPACE
香港大學專業進修學院
HKU School of Professional and Continuing Education

CFA® Level 1 Education Programme (HK\$8,900) SCORE Application Code 1540-1027NW

Score code / Short Course code: FINA9017

Please complete in BLOCK LETTERS 請以正楷填寫 (* Cross out inappropriate items 請劃去不適用者)

Name (name on HKID or Passport)	*(Mr / Ms)
中文姓名 (香港身份證或護照上的姓名)	
HKID/Passport No. 身份證/護照號碼	Date of Birth 出生日期
Home Tel. No. 住宅電話	Office Tel. No. 公司電話
Mobile No. 手提電話	E-mail 電郵
Name of Employer 僱主名稱	
Position 職位	
Correspondence Address 通訊地址	

Signature 簽署 _____ Date 日期 _____

The University of Hong Kong
School of Professional and Continuing Education
CFA® Education Programmes

Name 姓名
Address 地址

← This is an official receipt. Please complete this part in block letter
繳費收據，請以正楷填妥本欄

Fees paid are not refundable, except in the event of a course being
oversubscribed or cancelled.
除課程已額滿或被取消外，一切已繳學費，概不退還

HKU SPACE ALUMNI 香港大學專業進修學校校友會

☐ All new enrolled students in the School will automatically become ordinary members of the HKU SPACE ALUMNI. If you DO NOT WISH to be a member of the HKU SPACE ALUMNI, please check this box. 本院的註冊學生將自動成為校友會普通會員。如你不想成為香港大學專業進修學校校友會會員，請在格內填上剔號。

Equal Opportunities for Learning at HKU SPACE 香港大學專業進修學院的平等學習機會

It is the School policy to offer equal opportunities to all applicants with or without disabilities. To enable us to meet the needs of all students, you are invited to indicate on this form whether you require any special assistance. If you do need such assistance, the School may approach you subsequently to obtain further details so as to facilitate our planning and assess how best we can help you.

學院的方針就是為所有人士提供平等的學習機會。為了配合學生的需要，請在此報名表上說明你是否需要特殊的幫助。如有需要，院方將聯絡閣下，以獲取更多相關的資料及提供更完善的服務。

Special assistance required 是否需要特殊的幫助 ☐ Yes 是 ☐ No 否

NOTES 注意

- 1. It is necessary for applicants to supply their personal data and to provide all the information requested in the application documents, where applicable, as otherwise the School may be unable to process and consider their applications.
- 2. The personal data provided in this form will be used for processing your application for admission, and for registration, academic and administrative communication, alumni management and contacts, research, statistical and marketing (including direct marketing) purposes. The data will be solely handled by HKU SPACE staff but may be transferred to an authorized third party providing services to the School in relation to the above purposes and prescribed purposes as allowed by the law from time to time.
- 3. When the processing and consideration of all the applications for a particular programme have been completed: (a) the application papers of unsuccessful candidates will be destroyed; and (b) the application papers of successful candidates will serve as part of the applicant's official student records and will be handled by HKU SPACE staff or by staff of an authorized third party providing services to the School in relation to the stated purposes. In all such circumstances, please be assured that any personal information you supply will be kept strictly confidential.

Use of Personal Data related to Direct Marketing

- 4. From time to time, the School will send the latest updates and promotional materials to students and alumni on the availability of the programmes and courses, seminars and events, discounts and offers, clinics and other services as well as the alumni events, privileges and offers, networking opportunities and fund-raising initiatives through various communication channels such as direct-mail, email and mobile phone, by using your personal data (including, but without limitation to, your name, contact details and other information collected in your profile such as the programme(s) you enrolled, your graduation year etc). You always have the right to make subsequent changes on your choice of receiving further marketing materials by sending a written unsubscribe request (by email or by post) to the School at any time.

If you DO NOT WISH to receive our latest updates and promotional materials through the communication channels as stated above, including discounts and offers from time to time, please check this box. ☐

- 5. Under the provisions of the Personal Data (Privacy) Ordinance, applicants have the right to request the School to ascertain whether it holds your personal data, to be given a copy, and to apply for correction of the data, if deemed incorrect. Applications for access to personal data should be made by using a special request form and on payment of a fee. Such applications for access of information should be addressed to the Data Protection Officer, HKU SPACE. For general requests of personal data amendment, please fill out the "Application Form for Personal Data Amendment" and submit it to HKU SPACE.
- 6. For details on the School's policy on personal data (privacy), please refer to the School Prospectus or Website.

- 1. 申請人必須提供其個人資料及足夠課程申請所需資料，否則本學院不能有效處理 閣下之申請。
- 2. 在法律許可情況下，個人資料將會作入學申請、註冊、有關學術及行政通訊、校友事務及聯絡、研究、統計、市場分析及推廣（包括直接銷售）等用途。只有香港大學專業進修學院職員才能處理有關資料，但亦可能會轉讓為學院提供有關服務的委託人處理。
- 3. 當完成報名程序及課程註冊後，申請人如不獲取錄，其個人資料將會被銷毀，獲取錄者的個人資料將會被留作學生記錄，只有香港大學專業進修學院職員或為學院提供有關服務的委託人才能處理有關檔案，而 閣下提供的所有個人資料將絕對保密。

個人資料用作直接銷售

- 4. 申請人提供的個人資料（包括姓名、聯絡方法及其他有關 閣下的資料如 閣下曾報讀的課程、畢業年份等）將作為與學院溝通渠道，學院將透過信件、電子郵件和流動電話等通知學員和校友學院的最新資訊及推廣訊息，如課程資料、講座及活動、折扣優惠、診所服務、校友會活動、校友會會員尊享優惠、校友聯誼及籌款活動等。 閣下可隨時以書面或電郵方式向學院申明是否願意繼續接收有關資訊。

如不欲收到任何透過上述渠道發出的資訊，包括折扣優惠，請在方格內填上剔號。 ☐

- 5. 根據個人資料（私隱）條例，申請人有權知悉學院有否保留其個人資料，同時亦可查閱、索取及更改其個人資料。申請人如欲查閱其個人資料，請填妥指定表格並交回本學院個人資料私隱主任。本學院將會酌情收取行政費用。如欲提交一般更改個人資料申請，請填妥「申請更改個人資料表格」並交回本學院。
- 6. 如欲了解本學院私隱政策的詳情，請參閱本學院的課程手冊或網頁。

Notes to Non-local Applicants 非本地申請人注意

It is an applicant's responsibility to make appropriate visa arrangement before coming to Hong Kong. Admission to a HKU SPACE academic programme/course does not guarantee the issue of a student visa. A non-local applicant may apply for admission but they must also obtain a visa or a visa endorsement, where appropriate.

申請人有責任在來港前作出適當簽證安排。獲香港大學專業進修學院課程取錄並不代表學生簽證能順利簽發。非本地申請人提出入學申請後亦須取得簽證或在現有簽證上作加簽。

Declaration 聲明

- 1. I declare that all information given in this application form and the attached documents are, to the best of my knowledge, accurate and complete.
- 2. I consent that if registered, I will conform to the Statutes and Regulations of the University and the rules of the School.
- 3. I have noted, understood and agreed the contents of these NOTES and HKU SPACE policy on personal data (privacy).
- 1. 本人聲明本申請表及隨附文件所載一切資料，依本人所知均屬正確，並無遺漏。
- 2. 本人同意如本人註冊入學，當遵守大學及學院的規例。
- 3. 本人已細閱、明白並同意「注意」及其有關香港大學專業進修學院在處理個人資料（私隱）的守則的部份。

Signature 簽署 _____ Date 日期 _____

HKU School of Professional and Continuing Education 香港大學專業進修學院

- 1. Enrolment can be done in person at any of the School's Enrolment Counters by completing this application form and submitting it with the appropriate course fee and relevant documents. You can also mail to the "HKU School of Professional and Continuing Education, 34/F, United Centre, 95 Queensway, Hong Kong", specifying "Enrolment – CFA Programme".
- 2. Fees paid by crossed cheque or bank draft should be made payable to "HKU SPACE".
- 3. For general and short courses, applicants may be required to pay the course fee in cash or by EPS if the course will start shortly.
- 4. If admission is on a first-come, first-served basis and if you do not hear from us before the course starts, you may assume that your application has been accepted, and should attend the course as scheduled.
- 5. If admission is by selection, then this receipt is not a guarantee that your application has been accepted. We will inform you of the result as soon as possible after the closing date for application. Unsuccessful applicants will be given a refund of course fee if already paid.
- 6. If you do not know the teaching venue within 3 days of the starting date of the course, please check with the relevant subject area.
- 7. Fees paid are not refundable except as statutorily provided or under very exceptional circumstances.
- 1. 報讀課程，請親往學院各報名中心，呈交填妥的報名表格、學費和所需的證明文件，或以郵遞方式，寄「香港金鐘道九十五號統一中心三十四樓香港大學專業進修學院」並註明「Enrolment – CFA Programme」。
- 2. 如以劃線支票或銀行本票付款，抬頭請書名「香港大學專業進修學院」。
- 3. 如報讀短期課程開課在即，學院可要求申請者以現金或「易辦事」繳付學費。
- 4. 以「先到先得」方式獲取錄的學生，可自行依照課程手冊或學院網頁所列的時間到有關地點上課。除特殊情況外，學院將不作另行通告。
- 5. 如須甄選入學，則正式收據並不可作為閣下已獲取錄的證明。學院將在截止報名日期後盡快通知申請者是否獲得取錄。落選的申請人將獲退還已繳交的學費。
- 6. 如在開課前三天仍未知悉上課地點，請與學科負責人聯絡。
- 7. 除特殊情況及法例規定外，一切已繳費用，概不退還。



持續進修基金申請表
CONTINUING EDUCATION FUND (CEF)
APPLICATION FORM

由辦事處填寫 For Office Use Only

Date

1

No

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在填寫表格前請先參閱『申請指引』[SFO 191C (2015) Rev.]。請用黑色或深藍色原子筆，以正楷填寫本表格。

Please refer to the “Guidance Notes” [SFO 191 (2015) Rev.] and complete all items in block letters with a blue or black pen.

如申請人的持續進修基金開戶申請已獲得初步批准，便不需於其他“可獲發還款項課程”開課前再遞交第二份申請。

Applicants who have obtained approval in-principle for opening an account with CEF need not submit a second application before the commencement of other reimbursable course(s).

甲部 PART A 個人資料 PERSONAL DATA

除註有 * 的欄位可選擇是否填寫外，申請人必須填寫所有其他欄位。

Besides the fields marked with * which are optional ones, applicant is required to complete all other fields.

中文姓名(如適用)

Name in Chinese:
(if applicable)

姓名 Name

中文電碼

Chinese Character
Code:

16

(請靠左填寫 Left-justified)

英文姓名

Name in English:

40

(請靠左填寫—先填姓氏，後填名字 Left-justified – Surname first, then Other Name)

*稱謂 Title:

先生 Mr. = 1
女士 Ms. = 2
小姐 Miss = 3

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香港智能身份證號碼

Hong Kong Smart Identity Card
No.:

76

(請靠右填寫 Right-justified)

出生日期

Date of Birth:

85

D D M M Y Y Y Y

通訊地址

Correspondence Address:

(請用正楷填寫，如住址與通訊地址不同，請在本頁丁部「申請人附加資料」填報住址)

Please complete in English block letters. If your residential address is not the same as your correspondence address, please indicate your residential address in Part D – ‘Additional Information of Applicant’ below.)

室 Flat

93

層 Floor

98

座 Block

101

104

大廈名稱 Name of Building

134

屋邨 / 屋苑 Estate / Court

164

街號及街名 No. & Name of Street, 地區 District

(請靠左填寫 Left-justified)

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1 – 香港 HK, 2 – 九龍 KLN, 3 – 新界 N.T.

住宅電話號碼

Residential Phone No.:

195

其他聯絡電話號碼

(例如流動電話 / 傳呼號碼)

Other Contact Phone No.:

(e.g. mobile phone / pager)

203

*你是否學位持有人?

Are you a degree holder?

是 “Y”; 否 “N”

Yes “Y”; No “N”

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乙部 PART B 就讀課程資料 INFORMATION ON COURSE OF STUDY

院校 / 辦學機構名稱

Name of Institution / Course Provider:

持續進修基金院校編號

CEF Institution Code:

持續進修基金課程名稱

CEF Course Title:

持續進修基金課程編號

CEF Course Code:

實際由申請人繳付的學費

Actual Tuition Fees paid by the applicant:

HK\$

開課日期 (日/月/年)

Commencement Date (D/M/Y):

216

D D M M Y Y Y Y

注意事項/Attention:

1. 申請人須於開課日期前遞交申請至持續進修基金辦事處。

Applicant should submit the application to the Office of the Continuing Education Fund **before the course commences**.

2. 除獲勞工及福利局局長豁免外，所有“可獲發還款項課程”必須以按月等額形式收取學費。有關已獲豁免的課程名單，請瀏覽基金網頁 (www.wfsfaa.gov.hk/cef)。

The tuition fees of all “reimbursable courses” must be collected on equal monthly instalments basis except those which have been granted exemption by the Secretary for Labour and Welfare. For the list of exempted courses, please visit CEF website (www.wfsfaa.gov.hk/cef).

由辦事處填寫 For Office Use Only

HKID

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ADD

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SIGN

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CERT

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AC

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VP

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CC

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Processed by:

Checked by:

丙部 PART C 院校 / 辦學機構證明 CERTIFICATION BY THE INSTITUTION / COURSE PROVIDER

申請人在遞交申請前須先將申請表交予院校 / 辦學機構填寫及蓋章。

Applicants should submit the form to the institution for certification and completion before submission.

茲證明 / This is to certify that :

1. 申請人已被取錄修讀乙部所申報之課程，而申請人於本申請表上所提供有關課程的資料均屬正確無訛；及

The applicant has enrolled in the course as stated in Part B and the information given in this Application Form in respect of the course provided by the applicant are correct; and

2. 申請人並不是大學教育資助委員會(教資會)資助課程的學生；或申請人是教資會資助課程的學生，惟於乙部所申報之課程學費並不屬於繳付教資會資助課程學費的一部份 (只適用於受教資會資助的院校)。

The applicant is not a student of University Grants Committee (UGC)-funded programme(s); or the applicant is a student of UGC-funded programme(s) but the tuition fees for the course as stated in Part B is not part of the tuition fees for the UGC-funded programme(s) s/he enrolled (Only applicable to UGC-funded institutions).

日期 Date: _____

認可的院校 / 辦學機構印章
Authorized Stamp Chop of
Institution

丁部 PART D 申請人附加資料 ADDITIONAL INFORMATION OF APPLICANT

(如有需要，可另加紙補充 Use separate sheet if necessary)

戊部 PART E 聲明書 DECLARATION

本人擁有香港特別行政區 (香港) 居留權／香港入境權／獲准逗留香港的許可而不受任何逗留條件的限制／持單程證從中國大陸來港定居。

本人已細閱《持續進修基金申請指引》[SFO 191C (2015) Rev.]，並完全明白所有內容。現特此聲明：本人在這份申請表內所填報的各項資料，盡本人所知，均屬詳盡而真實的資料。

本人知道，持續進修基金辦事處（以下簡稱“辦事處”）將依據本人所提供的資料，決定本人是否符合獲持續進修基金發還費用的資格，以及評估本人可獲發還的金額。本人亦明白，為了以欺騙手段取得金錢利益而漏報資料或作出失實陳述，即屬犯罪，對違犯者可循法律程序追究法律責任。

本人授權辦事處按照申請指引第 I 部分第 6 段的內容，處理本人就這宗申請而提供的個人資料及其他資料。本人亦同意本人所屬的院校或辦學機構向辦事處提供本人的個人資料，以便辦事處處理本人的申請或核實本人就這宗申請而提供的資料。

本人明白，辦事處有權覆檢本人的申請，以及在有需要時調整本人可獲發還的金額。本人承諾在辦事處提出要求時，將本人多收的款項歸還香港特別行政區政府。

此外，本人同意辦事處會將發還的款項用作償還本人向免入息審查貸款計劃借貸用以支付同一課程學費的貸款。

I have the right of abode in the Hong Kong Special Administrative Region (Hong Kong) / right to land in Hong Kong / permission to stay in Hong Kong without restriction / came to Hong Kong on one-way permit from Mainland China.

I have read and fully understood the “Guidance Notes on the Continuing Education Fund” [SFO 191 (2015) Rev.]. I declare that the information provided by me in this application form is complete and true to the best of my knowledge.

I am aware that the Office of the Continuing Education Fund (OCEF) will rely on the information provided by me to determine my eligibility for receipt of reimbursement of fees from the Continuing Education Fund and to assess the amount of reimbursement to be offered. I also understand that any omission / misrepresentation of information with a view to obtaining pecuniary advantage by deception is an offence and is liable to legal proceedings.

I authorize the OCEF to handle the personal data / information provided in this application in accordance with section 6 in Part I of the Guidance Notes. I also give my consent to the institution / course provider concerned to release my personal data to the OCEF for the purpose of processing my application or verifying the information provided in this application.

I understand that the OCEF has the right to review my application and adjust my entitlements for reimbursement if necessary. I undertake to refund to the Government of the Hong Kong Special Administrative Region any overpayment made to me upon demand.

Moreover, I give my consent that OCEF can use the reimbursement to offset any Non-means-tested Loan Scheme loans which I have borrowed for payment of the tuition fee in respect of the same course.

簽署及日期 Signature & Date

1. 請填妥申請表格，連同香港智能身份證副本及單程證副本(如適用)一併**於開課前**遞交至持續進修基金辦事處(郵寄地址：新界葵涌興芳路 166-174 號葵興政府合署 9 樓 916 室)。
Please submit your application by completing the application form together with a copy of your Hong Kong Smart Identity Card and if applicable one-way permit to the Office of the Continuing Education Fund (Postal address: Room 916, 9/F, Kwai Hing Government Offices, 166-174 Hing Fong Road, Kwai Chung, New Territories) **before the course commencement date.**
2. 所有已遞交的文件概不退回。
All submitted documents are not returnable.
3. 除在申請表格甲部指定為可選擇是否填寫的資料外，申請人必須提供表格內其餘所需的個人資料。申請人如未能按要求提供必須的資料，將可能導致本辦事處未能處理有關申請。
The supply of personal data is compulsory except for those data specified in part A of the application form as optional. Failure to provide such obligatory data may result in us being unable to process your application.
4. 申請人如在遞交申請表後，需要更改所提供的資料（例如通訊地址或聯絡電話），請盡快填妥並交回『更改個人資料通知書』[SFO 196 (2015)]至本辦事處。『更改個人資料通知書』可於 <http://www.wfsfaa.gov.hk/cef> 下載。
If you need to change the information that you have provided to us after submitting your application (e.g. your correspondence address or contact number), please notify us as soon as possible in writing by using the “Notification of Change of Personal Data” [SFO 196 (2015)] which can be downloaded from <http://www.wfsfaa.gov.hk/cef>.
5. 申請人須注意，根據防止賄賂條例（香港法例第 201 章），任何人向持續進修基金辦事處或在職家庭及學生資助事務處轄下的學生資助處的僱員提供任何利益（例如金錢或饋贈等），作為該人員協助或加速處理申請的誘因或報酬，即屬違法。
Applicants are reminded that it is an offence under the Prevention of Bribery Ordinance (Chapter 201 of the Laws of Hong Kong) to offer any advantages (e.g. money, gift, etc.) to an employee of OCEF or the Student Finance Office, Working Family and Student Financial Assistance Agency as an inducement to or reward for facilitating or expediting the processing of applications.
6. 申請人如在遞交申請表後四星期仍未收到本辦事處的回覆，請即致電 3142 2277 與職員聯絡（由「1823」職員接聽）。
If you do not receive any reply from us four weeks from the date that you have submitted your application, please contact us at 3142 2277 immediately (Handled by the staff of “1823”).
7. 持續進修基金辦事處的辦公時間：星期一至五上午八時四十五分至下午一時正，下午二時至五時四十五分。
Office hour of the Office of the Continuing Education Fund: Monday to Friday 8:45am – 1:00pm, 2:00pm – 5:45pm.