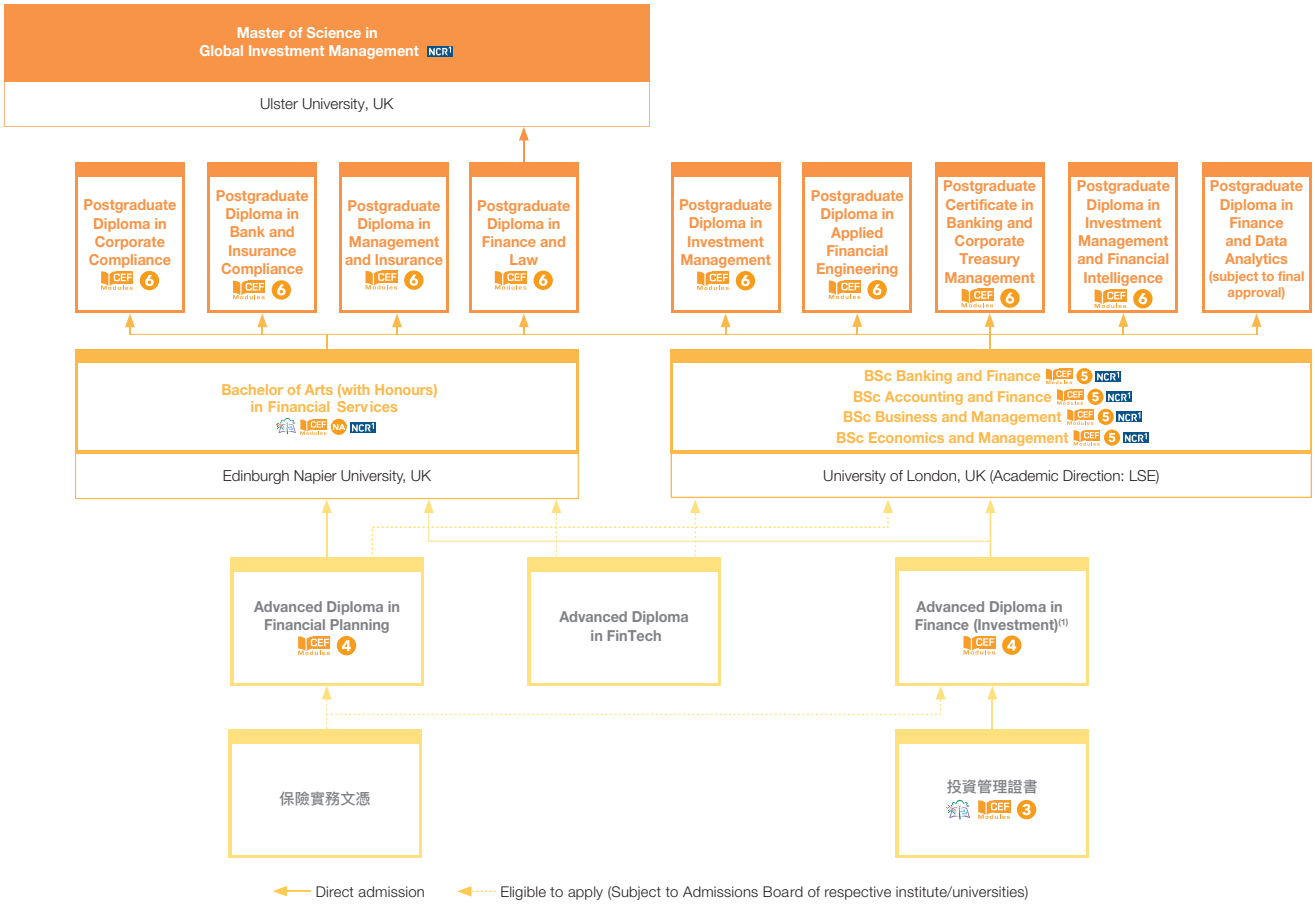
Finance 財務學

Finance and Compliance 金融法規
Financial Services and Insurance 金融服務和保險
FinTech and Financial Intelligence 金融科技
Investment Management 投資管理

Pathways in Financial Studies



Notes:
(1) Eligible for entry into Year 3, Edinburgh Napier University Bachelor of Arts (with Honours) in Financial Services.

FinTech and Financial Intelligence

Executive Certificate
- AI and Deep Learning in Quantitative Finance
- Applications of Blockchain in Financial Technology
- Applied AI and Predictive Analytics for Business
- Applied Business Analytics and Decision Optimization
- Applied Financial Risk Management
- Banking and Financial Technology
- Big Data and Business Analytics
- Big Data and Preductive Analytics
- Big Data, A.I. and Investing
- Big Data, Governance and Compliance
- Financial Decision Making: Big Data and Machine Learning
- FinTech
- Fintech Risk Management
- Interpretation and Visualization of Business Big Data

Executive Diploma
- Financial Analytics

Finance and Compliance

Executive Certificate
- Finance and Compliance

Executive Diploma
- Anti-Money Laundering and Counter-Terrorist Financing

Financial Services and Insurance

Executive Certificate
- Marine Insurance
- Medical Insurance and Health Planning for Retirement

Investment Management

Executive Certificate
- Corporate Credit Management
- Entrepreneurial Finance
- Investor Relations

Executive Diploma
- Financial Decision Making

Executive Diploma / Certificate
- Investment Banking
- Merger and Acquisition
- Sustainable Finance and Investment

R Minimum Entry Requirements 基本入學要求(P.340) $ Fee 學費 D Duration 修業期 Date/Time 日期/時間 Venue 地點
Tutor 導師 Medium of Instruction 教學語言 Q Qualifications Framework 資歷架構 E Exemption 豁免 S Short Course 短期課程

See legend on page 2 & 8
圖像說明於第2及8頁

Master of Science in Global Investment Management
Programme Code: FN046A

Application Code: 1860-FN046A NCR1

2975 5767 mscgim@hkuspace.hku.hk

- Students MUST have completed the Postgraduate Diploma in Finance and Law at HKU SPACE will be offered an exemption of 4 modules of this top-up master programme.
- The programme focuses on practical approaches in areas of derivatives, fund management and risk management.
- Ulster University is ranked in the top 25% of all UK universities for research.

R - Applicants must have successfully completed HKU SPACE award of Postgraduate Diploma in Finance and Law.
- To meet the entry requirements in a cognate area and will also be deemed to have met the ITELTS entry criteria.

$ HK$11,000 for each module
HK$24,000 for dissertation
Application Fee: HK$200 (Non-refundable)

To be advised

English

D 1 year to 2 years

Commencement Date Dec 2020

Postgraduate Diploma in Corporate Compliance
Programme Code: AC009A

Application Code: 1850-AC009A CEF Modules 6

pgdcc@hkuspace.hku.hk

RELEVANT & PRACTICAL PROGRAMME IN FINANCIAL, SFC AND LISTING COMPLIANCE!! This is a unique programme that focuses on practical applications and all-round training in corporate compliance; it is positioned to be the pioneer in the market. Contemporary cases will be discussed; drawing reference from standards and rules highlighting the issues and grey areas. Real-life examples and updated cases will be discussed during the class.

E Accounting & Reporting' basing on the module of 'Financial Reporting Compliance' and 'Fundamentals of Business Law' basing on the module of 'Business and Company Law' studied.

Business and Company Law - for claiming exemption, students need to study both business law and company law. For company law, study needs to be on the New Company Ordinance which came into force on 3 March 2014.

Q Level 6 (Reg. No.: 14/003330/L6) Validity Period: 01 Oct 2014 - on-going

Commencement Date Oct 2020

For course details, please refer to the common information on the right.

Postgraduate Diploma in Bank and Insurance Compliance
Programme Code: AC055A

Application Code: 1850-AC055A CEF Modules 6

pgdipbi@hkuspace.hku.hk

Pioneer and Comprehensive programme in Bank and Insurance Compliance. Great value lies in solving problem around the Grey Area! This is a unique programme that aims to provide students with a coherent, relevant and practical programme of knowledge in bank and insurance compliance and prepare them for a career in these and related sectors. Real-life cases and exampleswill be discussed, drawing reference from standards and rules highlighting the non-compliance issues involved and grey areas.

Q Level 6 (Reg. No.: 16/000338/L6) Validity Period: 17 May 2016 - on-going

Commencement Date Oct 2020

For course details, please refer to the common information below.

2867 8409 / 2867 8314

R Applicants shall:
a) hold a bachelor's degree in any discipline awarded by a recognized university;
AND
b) provide evidence of English proficiency (if the degree or equivalent qualification is from an institution where the language of teaching and assessment is not English) such as:
i) an overall band of 6.0 with no subtests lower than 5.5 in the IELTS; or
ii) a score of 550 in the paper-based TOEFL, or a score of 213 in the computer-based TOEFL, or a score of 80 in the internet-based TOEFL; or
iii) HKDSE Examination English Language at Level 3 or above; or
iv) HKALE Use of English at Grade E or above; or
v) other equivalent qualifications.

Applicants with other qualifications will be considered on individual merit.

Notes to applicants:
1. Students need to study a Basic Accounting course prior to take Financial Reporting Compliance.
2. Business and Company Law - for claiming exemption, students need to study both business law and company law. For company law, study needs to be on the New Company Ordinance which came into force on 3 March 2014.
3. Applicants with relevant prior studies can apply for exemption, please complete the exemption form and furnish course outline.

$ HK$7,000 per module
Application Fee: HK$200 (Non-refundable)

- Weekday evenings
- Weekends

D 1 year to 3 years

English, supplemented with Cantonese

Postgraduate Diploma in Finance and Law
Programme Code: FN017A

Application Code: 1850-FN017A CEF Modules 6

2520 4617 lawenquiry@hkuspace.hku.hk

Postgraduate Diploma in Finance and Law is designed to give you a sophisticated understanding of the legal and regulatory framework for the local and international financial sector by taking an integrated approach to finance and law. Financial institutions need leaders who have extensive knowledge relating to the legal issues in international finance and banking.

This PGDFL creates a new kind of financial services professional: graduates who are trained in both finance and law. You will develop an advanced interdisciplinary understanding of relevant legal and financial contexts, and combines a highly analytic academic core with applications informed by current practice.

R Applicants shall hold a bachelor's degree awarded by a recognized institution.

If the degree or equivalent qualification is from an institution where the language of teaching and assessment is not English, applicants shall provide evidence of English proficiency, such as:
i. an overall band of 6.0 or above with no subtests lower than 5.5 in the IELTS; or
ii. a score of 550 or above in the paper-based TOEFL, or a score of 213 or above in the computer-based TOEFL, or a score of 80 or above in the internet-based TOEFL; or
iii. HKALE Use of English at Grade E or above; or
iv. HKDSE Examination English Language at Level 3 or above; or
v. equivalent qualifications.

Applicants with other qualifications will be considered on individual merit.

$ HK$6,600 per Finance module
HK$10,500 per Law module
Application Fee: HK$200 (Non-refundable)

- Weekday evenings
- Weekends

D 12 months to 48 months

English

Q Level 6 (Reg. No.: 08/001818/6) Validity Period: 05 May 2008 - on-going

Application Deadline 31 Jul 2020

Commencement Date Oct 2020

NCR1 This is an exempted course under the Non-Local Higher and Professional Education (Regulation) Ordinance. 根據《非本地高等及專業教育(規管)條例》，本課程屬獲豁免課程。
It is a matter of discretion for individual employers to recognize any qualification to which this course may lead. 個別僱主可酌情決定是否承認本課程可令學員獲取的任何資格。
NCR2 These are exempted courses under the Non-Local Higher and Professional Education (Regulation) Ordinance. 根據《非本地高等及專業教育(規管)條例》，這些課程屬獲豁免課程。
It is a matter of discretion for individual employers to recognize any qualification to which these courses may lead. 個別僱主可酌情決定是否承認這些課程可令學員獲取的任何資格。
NCR3 The course operator is applying for exemption under the Non-local Higher and Professional Education (Regulation) Ordinance. 課程主辦人正根據《非本地高等及專業教育(規管)條例》辦理豁免註冊手續。
It is a matter of discretion for individual employers to recognize any qualification to which this course may lead. 個別僱主可酌情決定是否承認本課程可令學員獲取的任何資格。

Finance and Compliance
金融法規

BSc Banking and Finance
Programme Code: MS046A

NCR1 CEF Modules 5

Q Level 5 (Reg. No.: 13/000447/L5) Validity Period: 01 Sep 2013 - 31 Aug 2021

For course details, please refer to the common information below.

BSc Accounting and Finance
Programme Code: MS044A

NCR1 CEF Modules 5

Q Level 5 (Reg. No.: 13/000445/L5) Validity Period: 01 Sep 2013 - 31 Aug 2021

For course details, please refer to the common information below.

BSc Business and Management
Programme Code: MS041A

NCR1 CEF Modules 5

Q Level 5 (Reg. No.: 14/000003/L5) Validity Period: 01 Sep 2014 - 31 Aug 2022

For course details, please refer to the common information below.

BSc Economics and Management
Programme Code: MS025A

NCR1 CEF Modules 5

Q Level 5 (Reg. No.: 12/001219/L5) Validity Period: 01 Sep 2012 - 31 Aug 2021

For course details, please refer to the common information below.

University of London (Academic Direction: London School of Economics and Political Science)

Admission: 3761 1122 / Tuition Course: 2867 8319

Admission: londonu@hkuspace.hku.hk /
Tuition Course: lse@hkuspace.hku.hk

For course details, please refer to P.110-111.

Bachelor of Arts (with Honours) in Financial Services
Programme Code: FN015A

Edinburgh Napier University, UK

NCR1 CEF Modules NA

2867 8392

amy.fung@hkuspace.hku.hk / ringo.chan@hkuspace.hku.hk

Programme features:
- Top in the UK for Value Added to students by Guardian University Guide 2017
- Take Current Insights from Thematic Seminars in Finance
- Face-to-face Lecture 42 hours per Module
- Honours Top-up Degree in 2 years Part-time
- Exemption of Associate Financial Planner Certification Education Programme by Institute of Financial Planners of HK
- Cover part of Chartered Financial Analyst (CFA) qualification's required body of knowledge
- More than 2,000 Graduates in HK

R Applicants shall:
(a) have an Associate Degree or Higher Diploma or Advanced Diploma in a business related discipline awarded within the HKU system through HKU SPACE; or
(b) have an equivalent award granted by a recognised institution. Holders of Associate Degrees, Higher Diplomas or Advanced Diplomas in a relevant discipline will be considered on a case-by-case basis; or
(c) have a degree in other disciplines. Degree holders in non-business disciplines will be considered based on individual merit; or
(d) hold equivalent qualifications.

Advanced entry with further exemption from a maximum of 40 credits (2 modules) in Stage 3 or 4 may be considered on an exceptional basis for holders of appropriate entry qualification higher than those mentioned in points (a) to (d) above, but it is emphasized that, in such exceptional cases, credits already counted for meeting the above will not be counted again for further exemption.

Note:
An Honours degree programme at Edinburgh Napier University normally takes four years to complete. Students normally complete their Stages 3 and 4 modules during their third and fourth years of study respectively.

$ HK$7,350 per module
Application Fee: HK$200 (Non-refundable)

- Weekday evenings
- Weekends

D 2 years

English

Application Code: 1845-FN015A

Application Deadline	31 Jul 2020
Commencement Date	Sep 2020

Application Code: 1865-FN015A

Application Deadline	30 Nov 2020
Commencement Date	Jan 2021

Advanced Diploma in Finance (Investment)
Programme Code: FN013A

Application Code: 1850-FN013A

CEF Modules 4

2867 8312

adfi@hkuspace.hku.hk

The ongoing turmoil in global financial markets continues to strengthen the need for finance professionals. This programme offers in-depth training in analytical aspects used by financial analysts in different settings including finance department within corporations and financial services institutions. These courses teach the strategies and principles of investment, financial risk management, derivative instruments and alternative investments. Graduates can be admitted directly into year 3 of Edinburgh Napier University's BA (Hons) Financial Services and complete this part-time degree programme in 2 years.

R Applicant shall:
(a) have gained in HKCEE Grade E in 4 subjects (including Mathematics) and Level 2* in English Language and (ii) one A-level pass or two AS-level passes in any subject or other equivalent post-secondary qualifications; or
(b) have gained in the HKDSE Examination Level 2 in five subjects including English Language; or
(c) hold an Advanced Certificate in Financial Studies or a Certificate in Investment award within the HKU system through HKU SPACE; or
(d) be aged 21 and above.

*With effect from 2007, HKUSPACE recognizes Grade E previously awarded for English Language (syllabus B) (Grade C in English Language (syllabus A)) at HKCEE as an acceptable alternative to Level 2 in this subject at HKCEE.

$ HK$4,380
Application Fee: HK$150 (Non-refundable)

- Weekday evenings
- Weekends

D 24 months to 36 months

English

Q Level 4 (Reg. No.: 11/000176/4) Validity Period: 13 Jan 2011 - on-going

Application Deadline	14 Aug 2020
Commencement Date	12 Oct 2020

See legend on page 2 & 8
圖像說明於第2及8頁

Executive Diploma in Anti-Money Laundering and Counter-Terrorist Financing
Programme Code: EP087A

Application Code: 1850-EP087A

2867 8312 | ecaml@hkuspace.hku.hk

- Through case work, in-class discussions and expert guidance from our experienced speakers, you will learn how to assess the key elements of AML compliance programme.
- Online compliance learning in AML will be provided in collaboration with Thomson Reuters. You are able to access Thomson Reuters Compliance Learning online course in AML to deepen your understanding of financial crime and AML compliance.
- Firsthand study, experience-sharing and real-world cases by our AML speakers provides practical knowledge and skills in an attempt to prepare you to pursue a career in financial compliance.

R Applicants shall:
(i) hold a bachelor's degree awarded by a recognized institution or equivalent; or
(ii) hold an Associate Degree / a Higher Diploma awarded by a recognized institution or equivalent and have 2 years work experience; or
(iii) hold relevant professional qualifications.

Applicants with other qualifications will be considered on individual merits.

$ Application Fee: HK$150 (Non-refundable)

Module 1 (30 hrs): HK$4,800
Regulatory Principles of Anti-Money Laundering and Counter-Terrorist Financing

Module 2 (30 hrs): HK$4,800
Anti-Money Laundering Compliance Programme

Module 3 (15 hrs): HK$2,400
Financial Crime Compliance

Module 4 (15 hrs): HK$2,400
Anti-Money Laundering in Practice

D 5 months

- Weekday evenings
- Weekends

English

Application Deadline	31 Aug 2020
Commencement Date	Oct 2020

Executive Certificate in Finance and Compliance
Programme Code: EP025A

Application Code: 1845-EP025A

2867 8392 | ec.fc@hkuspace.hku.hk

The demand for financial compliance professionals grows with new compliance and regulation standards in Hong Kong. This programme aims to equip students with latest knowledge in financial compliance in banking and asset management. Executive Certificate in Finance and Compliance is regularly updated to respond to current changing regulatory landscape.

R Applicants shall:
(a) hold a bachelor's degree awarded by a recognized university or equivalent; or
(b) hold an Associate Degree / a Higher Diploma or equivalent, and have at least 2 years of working experience; or
(c) hold relevant professional qualifications.

Applicants with other qualifications and substantial senior level work experience will be considered on individual merits.

$ HK$2,500 per module
HK$7,500 per programme
Application Fee: HK$150 (Non-refundable)

D 4 months

English

Application Deadline	31 Jul 2020
Commencement Date	Sep 2020

Finance and Compliance Workshop Series
Programme Code: SC407A

2867 8392 | ec.fc@hkuspace.hku.hk

This workshop aims to equip students with latest knowledge in compliance issues for professionals working in asset management companies and banking institutions. It focuses on satisfying the regulatory and compliance requirements as determined by the legal framework in Hong Kong as well as teaching state-of-the-art practices in managing key risks faced by bank and asset management companies.

$ HK$2,500 per module
HK$7,500 per programme

D 4 months

English

Application Deadline	31 Jul 2020
Commencement Date	Sep 2020

Certificate for Module (Enhanced Competency Framework on Anti-Money Laundering and Counter-Financing of Terrorism Professional Level)
Programme Code: FN045B

Application Code: 1790-FN045B

2975 5767 | ecfaml@hkuspace.hku.hk

Hong Kong Monetary Authority (HKMA) works together with the banking industry to introduce an industry-wide competency framework – Enhanced Competency Framework (ECF) on Anti-money Laundering and Counter-financing of Terrorism (AML/CFT) to support talent development in AML/CFT. The syllabus will be provided by the Hong Kong Institute of Bankers (HKIB) and this programme is offered for students to prepare for the ECF on AML/CFT Professional Level Examination.

R Applicants shall fulfill the following entry requirement:
- Advanced Certificate for ECF on Anti-Money Laundering and Counter-Financing of Terrorism (AML/CFT) awarded or grandfathered by The Hong Kong Institute of Bankers (HKIB)

$ HK$4,500
HK$500 (HKIB Study Guide - Students are required to complete pre-course reading materials listed in the HKIB Study Guide before training sessions. The Guide is available for collection and payment at the HKIB office.)

D 18 hours

To be advised

English

Q Level 5 (Reg. No.: 18/000292/L5) Validity Period: 24 May 2018 - on-going

Commencement Date	Jun 2020

NCR[1] This is an exempted course under the Non-Local Higher and Professional Education (Regulation) Ordinance. 根據《非本地高等及專業教育(規管)條例》，本課程屬獲豁免課程。
It is a matter of discretion for individual employers to recognize any qualification to which this course may lead. 個別僱主可酌情決定是否承認本課程可令學員獲取的任何資格。

NCR[2] These are exempted courses under the Non-Local Higher and Professional Education (Regulation) Ordinance. 根據《非本地高等及專業教育(規管)條例》，這些課程屬獲豁免課程。
It is a matter of discretion for individual employers to recognize any qualification to which these courses may lead. 個別僱主可酌情決定是否承認這些課程可令學員獲取的任何資格。

NCR[3] The course operator is applying for exemption under the Non-local Higher and Professional Education (Regulation) Ordinance. 課程主辦人正根據《非本地高等及專業教育(規管)條例》辦理豁免註冊手續。
It is a matter of discretion for individual employers to recognize any qualification to which this course may lead. 個別僱主可酌情決定是否承認本課程可令學員獲取的任何資格。