

Postgraduate Diploma in Corporate Compliance

Programme Code: AC009A

Application Code: 1870-AC009A



pgdccc@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.

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

Application Deadline 20 Jan 2021

Commencement Date Feb 2021

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

Postgraduate Diploma in Bank and Insurance Compliance

Programme Code: AC055A

Application Code: 1870-AC055A



pgdipbi@hkuspace.hku.hk

A unique programme that aims to provide students with a coherent, relevant and practical programme of knowledge in bank and insurance compliance and prepares them for a career in these and related sectors. Real-life cases and examples will be discussed, drawing reference from standards and rules highlighting the non-compliance issues involved and grey areas.

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

Application Deadline 20 Jan 2021

Commencement Date Feb 2021

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

2867 8409 / 2867 8314

- Applicants shall:
- hold a bachelor's degree in any discipline awarded by a recognized university; AND
 - 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:
 - an overall band of 6.0 with no subtests lower than 5.5 in the IELTS; or
 - a score of 550 or above 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
 - HKDSE Examination English Language at Level 3 or above; or
 - HKALE Use of English at Grade E or above; or
 - other equivalent qualifications.

Applicants with other qualifications will be considered on individual merit.

Notes to applicants:

- Students need to study a Basic Accounting course prior to take Financial Reporting Compliance.
- 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.
- Applicants with relevant prior studies can apply for exemption, please complete the exemption form and furnish course outline.

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.

HK\$7,000 per module *course fees are subject to change without prior notice. Application Fee: HK\$200 (Non-refundable)

1 year to 3 years

Weekday evenings
Weekends

English, supplemented with Cantonese

Postgraduate Diploma in Finance and Law

Programme Code: FN017A

Application Code: 1870-FN017A



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.

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:
- an overall band of 6.0 or above with no subtests lower than 5.5 in the IELTS; or
 - 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
 - HKALE Use of English at Grade E or above; or
 - HKDSE Examination English Language at Level 3 or above; or
 - 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

12 months to 48 months

English

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

Application Deadline 31 Dec 2020

Commencement Date Feb 2021

BSc Banking and Finance

Programme Code: MS046A



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

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

BSc Accounting and Finance

Programme Code: MS044A



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

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

BSc Business and Management

Programme Code: MS041A



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

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

Finance and Compliance

金融法規

BSc Economics and Management

Programme Code: MS025A



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)

A Admission: 3761 1122 / Tuition Course: 2867 8319

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

For course details, please refer to P.108.

Bachelor of Arts (with Honours) in Financial Services

Programme Code: FN015A

Edinburgh Napier University, UK



A 2867 8392

E 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:
- have an Associate Degree or Higher Diploma or Advanced Diploma in a business related discipline awarded within the HKU system through HKU SPACE; or
 - 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
 - have a degree in other disciplines. Degree holders in non-business disciplines will be considered based on individual merit; or
 - 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.

- S** HK\$7,350 per module
Application Fee: HK\$200 (Non-refundable)
- T** - Weekday evenings
- Weekends
- D** 2 years
- E** English

Application Code: 1870-FN015A

Application Deadline 16 Jan 2021

Commencement Date Feb 2021

Application Code: 1885-FN015A

Application Deadline 1 Apr 2021

Commencement Date May 2021

Advanced Diploma in Finance (Investment)

Programme Code: FN013A

Application Code: 1865-FN013A



A 2867 8312

E 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:
- 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
 - have gained in the HKDSE Examination Level 2 in five subjects including English Language; or
 - hold an Advanced Certificate in Financial Studies or a Certificate in Investment award within the HKU system through HKU SPACE; or
 - 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.

- S** HK\$4,380 (per course)
Application Fee: HK\$150 (Non-refundable)
- T** - Weekday evenings
- Weekends
- D** 24 months to 36 months
- E** English
- Q** Level 4 (Reg. No.: 11/000176/4) Validity Period: 13 Jan 2011 - on-going

Application Deadline 31 Dec 2020

Commencement Date 25 Jan 2021

Advanced Diploma in FinTech

Programme Code: FN049A

Application Code: 1865-FN049A



A 2867 8312

E camy@hkuspace.hku.hk

The programme aims to provide fundamental knowledge on finance applications of blockchain technology, digital currencies, big data and financial analytics. It covers digital banking, payment systems, blockchain, cryptocurrencies, peer to peer lending, crowdfunding, quantitative methods in financial analysis and big data analytics in finance. The programme develops students with programming skills in Python and put them into practice to solve real world finance problems.

- R** Applicants shall have gained in the HKDSE Examination Level 2 in 5 subjects including English Language and Chinese Language or equivalent.
- Applicants who do not possess the above academic qualifications but are aged 21 or above with relevant work experience will be considered on individual merit.
- | | |
|---|-----------|
| S Module 1: Introduction to FinTech | HK\$6,000 |
| Module 2: Principles of Finance | HK\$4,250 |
| Module 3: Programming for FinTech Applications | HK\$6,000 |
| Module 4: Quantitative Methods for Finance | HK\$4,250 |
| Module 5: Blockchain Applications and FinTech | HK\$4,250 |
| Module 6: Big Data Applications and Financial Analytics | HK\$4,250 |
| Application Fee: HK\$200 (Non-refundable) | |

D 1 year

English

Q Level 4 (Reg. No.: 20/000091/L4) Validity Period: 01 Mar 2020 - on-going

Application Deadline 31 Dec 2020

Commencement Date 20 Jan 2021

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

Programme Code: EP087A

Application Code: 1885-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.
- First-hand 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:

- hold a bachelor's degree awarded by a recognized institution or equivalent; or
- hold an Associate Degree / a Higher Diploma awarded by a recognized institution or equivalent and have 2 years work experience; or
- hold relevant professional qualifications.

Applicants with other qualifications will be considered on individual merits.

S 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 Mar 2021

Commencement Date May 2021

Executive Certificate in Finance and Compliance

Programme Code: EP025A

Application Code: 1865-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 for the current changing regulatory landscape.

R Applicants shall:

- hold a bachelor's degree awarded by a recognized university or equivalent; or
- hold an Associate Degree / a Higher Diploma or equivalent, and have at least 2 years of working experience; or
- hold relevant professional qualifications.

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

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

D 4 months

English

Application Deadline 23 Dec 2020

Commencement Date Jan 2021

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.

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

D 4 months

English

Application Deadline 23 Dec 2020

Commencement Date Jan 2021

Executive Certificate in RegTech

Programme Code: EP167A

Application Code: 1870-EP167A

2867 8322

jessie.lee@hkuspace.hku.hk

The programme aims to equip students with the latest knowledge in innovation and applications of regulatory technology (RegTech). Students will learn how RegTech transforms the financial industry and presents business challenges to the industry.

The programme will cover the contemporary issues, regulatory framework and the impacts of RegTech. Computational tools will be used to illustrate the different regulatory techniques.

R Applicants shall hold:

- a bachelor's degree awarded by a recognized University or equivalent; or
- an Associate Degree / a Higher Diploma or equivalent, and have at least 2 years of working experience.

Applicants with other qualifications will be considered on individual merit.

S HK\$9,000
Application Fee: HK\$150 (Non-refundable)

Weekday evenings

D 4 months

English

Application Deadline Jan 2021

Commencement Date Feb 2021

Finance and Compliance

金融法規

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

Programme Code: FN045B

Application Code: 1865-FN045B

2975 5767

ecfam1@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)

S 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. For details, please contact HKIB at (852) 2153 7800 or visit <https://www.hkib.org/>)

D 18 hours

- Weekday evenings
- Weekends

English

Hong Kong Island Learning Centres

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

Application Deadline Dec 2020

Commencement Date Jan 2021

Certificate for Module (Examinations Preparatory Programme for Chartered Alternative Investment Analyst (CAIA) Level I)

Programme Code: FN056A

Application Code: 1885-FN056A

2975 5767

caia@hkuspace.hku.hk

The Chartered Alternative Investment Analyst (CAIA) Charter is the globally recognized credential for professionals managing, analysing, distributing or regulating alternative investments. The CAIA Charter designation is the highest standard of achievement in alternative investment education and provides deep knowledge, demonstrated expertise, and global credibility in alternatives. CAIA Association includes over 11,000 members in more than 80 countries.

The programme targets at students who want to develop a deep level of knowledge and expertise in alternative investments and it is especially suitable for risk managers, analysts, portfolio managers, traders and consultants.

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:

- an overall band of 6.0 or above with no subtests lower than 5.5 in the IELTS; or
- 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
- HKALE Use of English at Grade E or above; or
- HKDSE Examination English Language at Level 3 or above; or
- equivalent qualifications.

Applicants with other qualifications will be considered on individual merit.

Students are highly encouraged to check with the CAIA Association for their eligibility of taking the CAIA Level I Examination.

S HK\$6,480
Application Fee: HK\$150 (Non-refundable)

- Weekday evenings
- Weekends

D 3 months to 4 months

Hong Kong Island Learning Centres

English

Q Level 6 (Reg. No.: 20/000661/L6) Validity Period: 15 Oct 2020 - on-going

Application Deadline Apr 2021

Commencement Date May 2021

Bridging Course for the Enhanced Competency Framework on Anti-Money Laundering and Counter-Financing of Terrorism Professional Level

Programme Code: FINA9321

Application Code: 1865-SC490A

2975 5767

ecfam1@hkuspace.hku.hk

The programme aims to serve as a bridging course for relevant banking practitioners who would be exempted from the ECF on AML/CFT of the HKMA with their professional qualifications at relevant professional bodies.

Learners would be equipped with the analytical skills in Hong Kong regulatory framework, application of the risk-based approach, AML/CFT risks in specialist areas and financial inclusion in the banking context.

R Applicants shall hold the Certified Anti-Money Laundering Specialist certification or the International Diploma in AML awarded by the Association of Certified Anti-money Laundering Specialists and the International Compliance Association respectively.

S HKD\$1,500
HKD\$500 (Study Guides Fee (optional) Students can purchase a set of ECF on AML/CFT (Core & Professional Levels) study guides at the HKIB office or by courier service.)

D 6 hours

- Sat, 10:00am - 5:00pm
- Weekends

English

Hong Kong Island Learning Centres

Application Deadline Dec 2020

Commencement Date Jan 2021

R Minimum Entry Requirements 基本入學要求 (P.332)

S Fee 學費

D Duration 修業期

Q Date/Time 日期/時間

V Venue 地點

T Tutor 導師

M 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