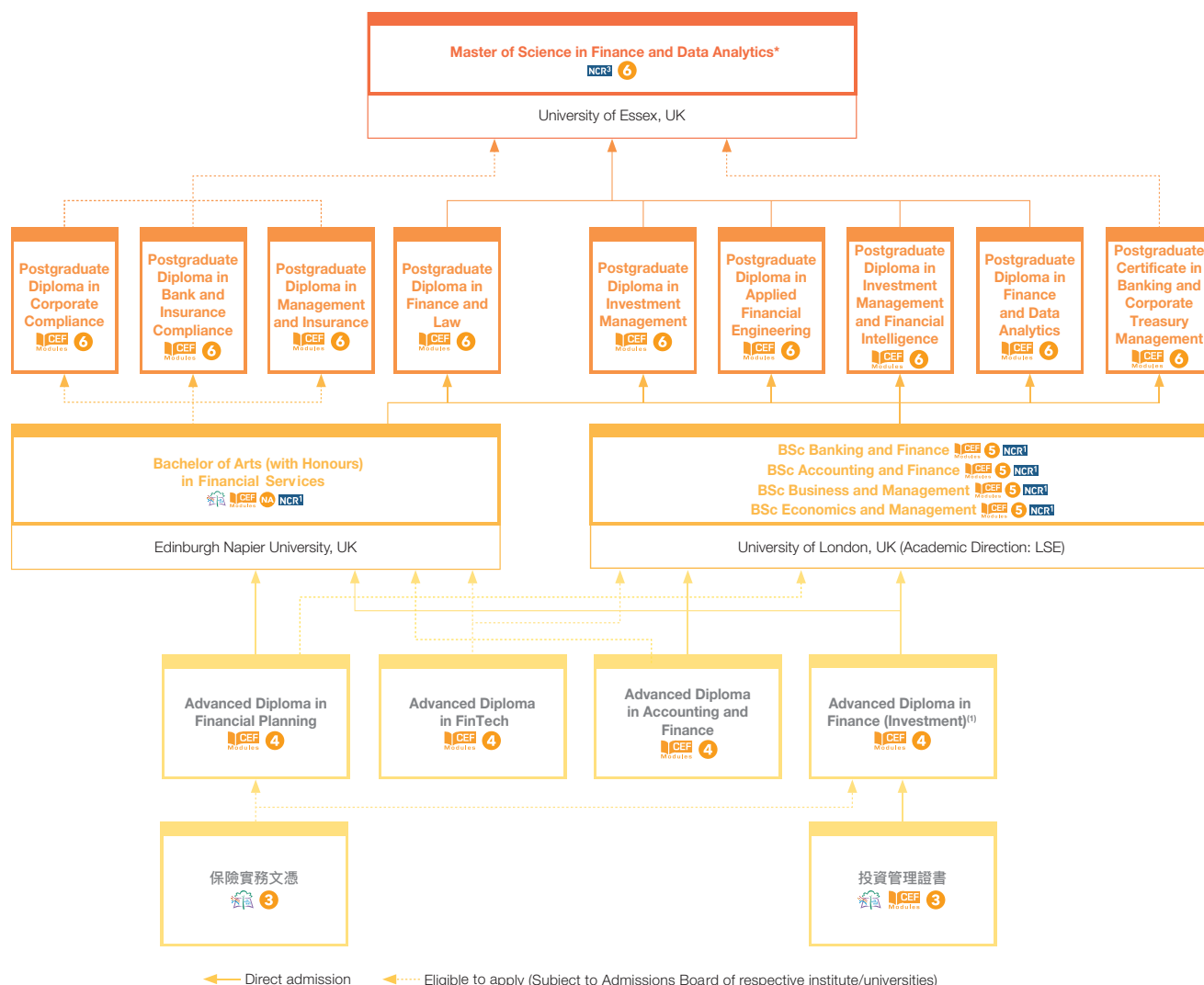


Pathways in Financial Studies



Notes:

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

*Subject to Approval

Finance and Compliance

金融法規

Postgraduate Diploma in Corporate Compliance

Programme Code: AC009A

Application Code: 1950-AC009A



✉ pgdco@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.

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

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

Postgraduate Diploma in Bank and Insurance Compliance

Programme Code: AC055A

Application Code: 1950-AC055A



✉ pgdipi@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.

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

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

☎ 2867 8409 / 2867 8314

- R 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 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.

\$ HK\$7,000 per module
Application Fee: HK\$200

D 1 year to 3 years

🇬🇧 English, supplemented with Cantonese

Finance Series Programme

According to official statistics, the contribution of the financial services sector to HK GDP increased to 18% in 2016. Our programme are designed to equip you with up-to-date and professional knowledge of financial planning and wealth management.

More details



Postgraduate Diploma in Finance and Law

Programme Code: FN017A

Application Code: 1945-FN017A



☎ 2867 8312

✉ pgdfl@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:
- 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

D 12 months to 48 months

🇬🇧 English

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

Bachelor of Arts (with Honours) in Financial Services

Programme Code: FN015A

Edinburgh Napier University, UK



Application Code: 1945-FN015A

☎ 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:
- 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.

See legend on page 1 & 9 圖像說明於第1及9頁

R Minimum Entry Requirements 基本入學要求 (P.300)

\$ Fee 學費

D Duration 修業期

🇬🇧 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

For more and latest programme information, please visit our website
有關最新課程資訊及詳情, 請瀏覽學院網站 hkuspace.hku.hk

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

D 2 years

E English

Advanced Diploma in Finance (Investment)

Programme Code: FN013A

Application Code: 1945-FN013A



T 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
- 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.

S HK\$4,380
Application Fee: HK\$150

D 24 months to 36 months

E English

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

投資管理證書

課程編號: FN030A

報名代碼: 1955-FN030A



T 2867 8322

E ciim@hkuspace.hku.hk

近年金融市場瞬息萬變，環球經濟充斥著很多不穩定因素，投資者要於日趨複雜的投資市場獲利，便須進一步了解各種投資產品，並運用不同的交易策略以增加投資回報及避險。本課程除包含股票、外匯、衍生產品及對沖基金的投資理論外，更引用不同實例講解複雜的交易策略，務求以深入淺出的方法讓學員掌握不同市況的投資策略。

R 申請人必須:

- 於香港中學會考獲5科E級，包括於中國語文科(2007年或以前);或
- 於香港中學會考獲4科E級及中國語文科第2級(2007年或以後);或
- 於香港中學文憑考試獲5科第2級，包括中國語文科。

申請人如持有其他同等學歷及21歲以上或擁有3年相關工作經驗者將會作個別考慮。

S 單元一(30小時): HK\$3,850 股票投資策略

單元二(30小時): HK\$3,850 金融技術及趨勢分析

單元三(40小時): HK\$5,100 外匯、衍生工具、結構性產品及對沖基金交易策略

三個單元共HK\$12,800

報名費用: HK\$150

D 9個月

E 粵語

Q 資歷架構級別: 3 資歷名冊登記號碼: 15/002752/L3

資歷名冊登記有效日期: 2015年7月24日 - 持續有效

University of London Business Programmes

These BSc degrees are awarded by the University of London and with academic direction from the globally renowned London School of Economics and Political Science (LSE). The degrees enable students of various backgrounds to earn a world-class degree without relocating. They offer students a thorough grounding in the principles of accounting, finance, business, economics and management. It is ideal if you are pursuing careers towards the profession of accountancy, financial, management or if you are already professionally qualified and now would like to take a degree.



BSc Banking and Finance

Programme Code: MS046A



Q Level 5 (Reg. No.: 13/000448/L5) Validity Period: 01 Sep 2013 - 31 Aug 2026

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

BSc Accounting and Finance

Programme Code: MS044A



Q Level 5 (Reg. No.: 13/000446/L5) Validity Period: 01 Sep 2013 - 31 Aug 2026

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

BSc Business and Management

Programme Code: MS041A



Q Level 5 (Reg. No.: 14/000003/L5) Validity Period: 01 Sep 2014 - 31 Aug 2026

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

BSc Economics and Management

Programme Code: MS025A



Q Level 5 (Reg. No.: 13/000312/L5) Validity Period: 01 Sep 2012 - 31 Aug 2026

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

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

T 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.104.

Finance and Compliance

金融法規

FinTech Programme

FinTech and Financial Intelligence are important developments shaping the future of the financial sector. In its latest Policy Address, the HKSAR Government announced plans to support innovation and technological development so that we can become a smart city. There is no doubt that the demand for FinTech and Financial Intelligence professionals will continue to increase. Our FinTech programmes aim to develop and sharpen your skills and knowledge which you can immediately apply in your work.

More details



Advanced Diploma in FinTech

Programme Code: FN049A

Application Code: 1945-FN049A



2867 8312

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.

\$ 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

D 1 year

English

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

Executive Certificate in RegTech

Programme Code: EP167A

Application Code: 1945-EP167A

2867 8322

ecrt@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:
a) a bachelor's degree awarded by a recognized institution or equivalent; or
b) an Associate Degree / a Higher Diploma awarded by a recognized institution or equivalent and have at least 2 years of work experience.

Applicants with other qualifications will be considered on individual merit.

\$ HK\$9,000
Application Fee: HK\$150

D 4 months

English

Compliance Programmes

Compliance departments of banks and brokerage firms have been expanding in both size and importance over the past few years. Financial institutions are putting more resources into compliance teams to minimize the possibility of receiving fines from regulators. There is a skill shortage in finance and compliance. Our programmes are designed to fill that gap.

More details



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

Programme Code: EP087A

Application Code: 1955-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.

- 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:
(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.

\$ Module 1 (30 hrs): HK\$4,900
Regulatory Principles of Anti-Money Laundering and Counter-Terrorist Financing
Module 2 (30 hrs): HK\$4,900
Anti-Money Laundering Compliance Programme
Module 3 (15 hrs): HK\$2,500
Financial Crime Compliance
Module 4 (15 hrs): HK\$2,500
Anti-Money Laundering in Practice
Application Fee: HK\$150

D 5 months

English

Executive Certificate in Finance and Compliance

Programme Code: EP025A

Application Code: 1945-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:
(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 work experience; or
(c) hold relevant professional qualifications.

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

\$ HK\$2,600 per module
HK\$7,800 per programme
Application Fee: HK\$150

D 4 months

English

See legend on page 1 & 9 圖像說明於第1及9頁

R Minimum Entry Requirements 基本入學要求 (P.300)

\$ Fee 學費

D Duration 修業期

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

For more and latest programme information, please visit our website
有關最新課程資訊及詳情，請瀏覽學院網站 hkuspace.hku.hk

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

Programme Code: FN045B

Application Code: 1935-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)

\$ 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  English

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

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

Programme Code: FINA9321

Application Code: 1935-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.

\$ HK\$1,500
HK\$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  English

Executive Certificate in Applied Analytics on Anti-Money Laundering (AML) Compliance

Programme Code: EP156A

Application Code: 1945-EP156A

2867 8409

ExCert_Programme@hkuspace.hku.hk

The programme aims to equip students with the knowledge and skills in using related tools and software for investigating Money Laundering activities and meeting AML compliance procedure.

R Applicants shall hold:
(i) a bachelor's degree awarded by a recognized university or equivalent; or
(ii) an Associate Degree / a Higher Diploma or equivalent, and have at least 2 years of work experience.

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

\$ HK\$7,000
- Early Bird Rate: HK\$6,300 (ENROLL in the course 2 weeks before class commencement.)
- Alumni Rate 6,300
Application Fee: HK\$150

D 10 weeks to 12 weeks  English, supplemented with Cantonese

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

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

Programme Code: FN056A

Application Code: 1950-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.

Finance and Compliance

金融法規

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

D 36 hours



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

金錢服務經營者打擊洗錢及恐怖分子 資金籌集合規持續專業發展課程

課程編號: FINA9355

報名代碼: 1935-1545NW

R 2975 5767

E ecfaml@hkuspace.hku.hk

洗錢及恐怖分子資金籌集是主要的金融犯罪之一，它會破壞金融機構的完整性和穩定性，並損害國際金融中心的聲譽。財務行動特別組織(The Financial Action Task Force)作為打擊洗錢問題的國際標準制度，對防禦這種濫用金融系統犯罪形式是當中重要的一部分。隨著越來越多複雜的方法以達致非法目的，在這個迅速變化的金融監管制度下，要如何實施一個全面打擊洗錢的合規持續專業發展對金錢服務經營者來說是主要的挑戰。

S HK\$900

D 3小時



HKICPA Professional Examinations Preparatory Programme: Financial Accounting

Programme Code: ACCT5078

R 2867 8475

E hkicpaasso@hkuspace.hku.hk

For course details, please refer to P.033.

Introduction to Corporate Finance

Programme Code: FINA9021

Application Code: 1950-1932NW

R 2867 8476

E finedec@hkuspace.hku.hk

This module is tailored for non-financial executives as an introduction to the practical issues and strategies in corporate financial management. Key topics include Cost of Capital, Working Capital Management, Capital Budgeting, Raising Capital for Firms, Capital Structure, Dividend Policy, Agency Costs and International Financial Management.

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 work experience; or
- a recognized professional qualification.

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

S HK\$4,500 per module

D 5 weeks



career
SPACE

實用文章、建議及
創業過來人分享

助你踏出創業第一步



See legend on page 1 & 9 圖像說明於第1及9頁

R Minimum Entry Requirements 基本入學要求 (P.300)

S Fee 學費

D Duration 修業期

E 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

For more and latest programme information, please visit our website
有關最新課程資訊及詳情，請瀏覽學院網站 hkuspace.hku.hk