Pathways in Financial Studies

Master of Science in Finance and Data Analytics
University of Essex, UK

Postgraduate Diploma in Corporate Compliance
Postgraduate Diploma in Bank and Insurance Compliance
Postgraduate Diploma in Management and Insurance
Postgraduate Diploma in Finance and Investment Management
Postgraduate Diploma in Investment Management and Financial Intelligence
Postgraduate Diploma in Banking and Corporate Treasury Management

Bachelor of Arts (with Honours) in Financial Services
Edinburgh Napier University, UK

Advanced Diploma in Financial Planning
Advanced Diploma in FinTech
Advanced Diploma in Accounting and Finance
Advanced Diploma in Finance (Investment)

Postgraduate Certificate in Banking and Corporate Treasury Management
Postgraduate Diploma in Applied Financial Engineering
Postgraduate Diploma in Applied Financial Management and Financial Engineering
Postgraduate Diploma in Investment Management and Financial Intelligence
Postgraduate Diploma in Finance and Data Analytics
Postgraduate Certificate in Banking and Corporate Treasury Management

BSc Banking and Finance
BSc Accounting and Finance
BSc Business and Management
BSc Economics and Management

University of London, UK (Academic Direction: LSE)

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
pgdoc@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
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
pgdinta@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.: 16/003338/L6) Validity Period: 17 May 2016 - on-going
For course details, please refer to the common information on next page.

Bachelor of Arts (with Honours) in Financial Services
Programme Code: FN015A
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
- - More than 2,000 Graduates in HK
- - Cover part of Chartered Financial Analyst (CFA) qualification’s required body of knowledge
- - Honours Top-up Degree in 2 years Part-time
- - Exemption of Associate Financial Planner Certification Education Programme by Institute of Financial Planners of HK

Applicants shall:
(a) have an Associate Degree or Higher Diploma in a business related discipline awarded within the HKU system through HKU SPACE; or
(b) have an equivalent award granted by a recognized 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 another discipline. Degree holders in non-business disciplines will be considered based on individual merit; or
(d) hold equivalent qualifications.

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.
The ongoing turmoil in global financial markets continues to strengthen the need for expertise in financial management. This programme offers in-depth training in analytical aspects 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.

**Application Code:** 1945-FN013A

**Programme Code:** FN013A

**Programme Name:** Advanced Diploma in Finance (Investment)

**Duration:** 2 years

**Application Fee:** HK$200

**Course Fee:** HK$7,350 per module

**Total Fee:** HK$14,700

**Programme Description:**

The programme offers in-depth training in analytical aspects 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.

**Eligibility:**

- Applicants must have completed secondary education or equivalent.
- A minimum of 3 years of work experience in the financial services industry or related fields is preferred.
- English language proficiency is required. (Applicants must provide evidence of English proficiency, such as TOEFL or IELTS scores.)

**Course Content:**

- **Module 1:** Introduction to Financial Markets - 30 hours
- **Module 2:** Portfolio Management - 30 hours
- **Module 3:** Derivatives and Risk Management - 30 hours
- **Module 4:** Investment Analysis - 30 hours

**Assessment:**

- Continuous Assessment: 40%
- Final Exam: 60%

**Additional Information:**

- The programme is conducted on a part-time basis, with modules scheduled on weekends.
- Graduates are eligible for professional certification upon completion of the programme.

**Contact:**

Programme: 2867 8319
Admission: 3761 1122 / Tuition Course: 2867 8319

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This is an excerpted course under the Non-Local Higher and Professional Education (Regulation) Ordinance. It is a matter of discretion for individual employers to recognize any qualification to which this course may lead. It is a matter of discretion for individual employers to recognize any qualification to which this course may lead. It is a matter of discretion for individual employers to recognize any qualification to which this course may lead.

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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 accountancy, 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

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

**BSc Accounting and Finance**

Programme Code: MS044A

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

**BSc Business and Management**

Programme Code: MS041A

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

**BSc Economics and Management**

Programme Code: MS025A

- **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)

Admission: 3761 1122 / Tuition Course: 2867 8319

For course details, please refer to P. 104.

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Programme Code: MS041A

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

**BSc Economics and Management**

Programme Code: MS025A

- **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)

Admission: 3761 1122 / Tuition Course: 2867 8319

For course details, please refer to P. 104.
Finance and Compliance

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.

Advanced Diploma in FinTech
Programme Code: FN049A

Application Code: 1945-FN049A

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.

Application Fee: HK$2,600 per module

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

Applicants shall have completed the HKDSE Examination Level 2 in 5 subjects including English Language and Chinese Language or equivalent.

Executive Certificate in RegTech
Programme Code: EP167A

Application Code: 1945-EP167A

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.

Module 1: Introduction to RegTech
HK$6,000

Module 2: Principles of Finance
HK$4,250

Module 3: Programming for RegTech Applications
HK$6,000

Module 4: Quantitative Methods for Finance
HK$4,250

Module 5: Blockchain Applications and RegTech
HK$4,250

Module 6: Big Data Applications and Financial Analytics
HK$4,250

Application Fee: HK$200

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

Executive Diploma in Anti-Money Laundering in Practice
Programme Code: EP087A

Application Code: 1955-EP087A

- 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.

- 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.

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.

Executive Diploma in Anti-Money Laundering and Counter-Terrorist Financing
Programme Code: EP025A

Application Code: 1905-EP025A

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.

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.

For more details, please visit our website http://hkuspace.hku.hk
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: 1935-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.

Applicants shall hold the Certified Anti-Money Laundering Specialist certification or the International Diploma in AML awarded by The Hong Kong Institute of Bankers (HKIB)

- 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/)

Level 5 (Reg. No.: 18/000298/LS) Validity Period: 24 May 2018 - on-going

Executive Certificate in Applied Analytics on Anti-Money Laundering (AML) Compliance
Programme Code: EP156A
Application Code: 1945-EP156A
2867 8392  ec.fc@hkuspace.hku.hk

This workshop 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.

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

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

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

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

Finance and Compliance Workshop Series
Programme Code: SC407A
Application Code: 1935-SC490A
2975 5767  ecfaml@hkuspace.hku.hk

This programme 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.

Certificate for Module (Compliance) Preparatory Programme for Chartered Alternative Investment Analyst (CAIA) Level I)
Programme Code: FN056A
Application Code: 1950-FN056A
2975 5767  caia@hkuspace.hku.hk

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.

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

This is an exempted course under the Non-Local Higher and Professional Education (Regulation) Ordinance. It is a matter of discretion for individual employers to recognize any qualification to which this course may lead. It is a matter of discretion for individual employers to recognize any qualification to which this course may lead. This course operates under the government’s Higher and Professional Education (Regulation) Ordinance, Section 8(1), exempting (1) exempt programmes from regulation.

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**Finance and Compliance 金融法規**

**Introduction to Corporate Finance 企業財務概論**

Programme Code: FINA9021

Application Code: 1950-1932NW

HK$4,500 per module

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.

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.

**HKICPA Professional Examinations Preparatory Programme: Financial Accounting**

Programme Code: ACCT5078

HK$6,480

Application Fee: HK$150

36 hours

English

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

HK$4,900

3 hours

Cantonese

See legend on page 1 & 9 圖像說明於第1及9頁

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

Medium of Instruction 教學語言  Qualifications Framework 資歷架構

Exemption 豁免  Short Course短期課程

For more and latest programme information, please visit our website hkuspace.hku.hk

See legend on page 1 & 9 圖像說明於第1及9頁

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

Medium of Instruction 教學語言  Qualifications Framework 資歷架構

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