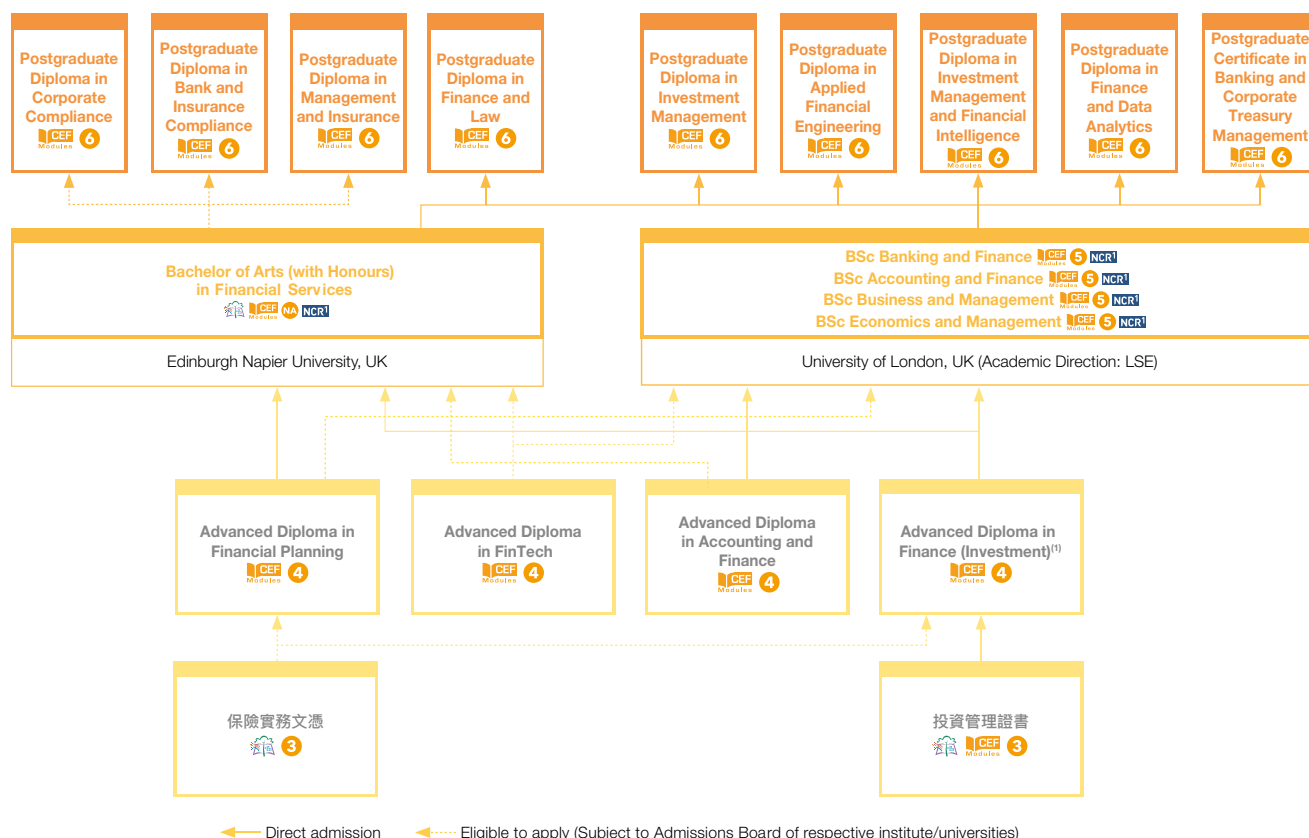


### Pathways in Financial Studies



Notes:

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

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.288)

**\$** 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](http://hkuspace.hku.hk)

### Postgraduate Diploma in Corporate Compliance

Programme Code: AC009A

Application Code: 1970-AC009A



✉ pgdco@hkuspace.hku.hk

**RELEVANT & PRACTICAL PROGRAMME IN 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 details, please refer to the common information below.

### Postgraduate Diploma in Bank and Insurance Compliance

Programme Code: AC055A

Application Code: 1970-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.

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

For 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:  
Applicants with relevant prior studies can apply for exemption, please complete the exemption form and furnish course outline.

**S** HK\$7,300 per module  
Application Fee: HK\$200

**D** 1 year to 3 years

### Postgraduate Diploma in Finance and Law

Programme Code: FN017A

Application Code: 1985-FN017A



☎ 2867 8312

✉ pgdff@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.

**S** HK\$6,800 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

### 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.

For details, please refer to p.105.

Programme Title	Programme Code	QF Level	QF Registration No.	QR Registration Validity Period
BSc Accounting and Finance	MS044A	5	13/000446/L5	01 Sep 2013 - 31 Aug 2026
BSc Banking and Finance	MS046A	5	13/000448/L5	01 Sep 2013 - 31 Aug 2026
BSc Business and Management	MS041A	5	14/000003/L5	01 Sep 2014 - 31 Aug 2026
BSc Economics and Management	MS025A	5	13/000312/L5	01 Sep 2012 - 31 Aug 2026

**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

### Bachelor of Arts (with Honours) in Financial Services

Programme Code: FN015A

Edinburgh Napier University, UK  
Application Code: 1965-FN015A



☎ 2867 8392

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

Edinburgh Napier University, UK

- Awarded 5 Stars for Teaching, Employability and Internationalisation, 2021 QS Stars Ratings

- Raised 38 places in the Good University Guide 2021

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

**D** 2 years

English

### Advanced Diploma in Finance (Investment)

Programme Code: FN013A

Application Code: 1985-FN013A

☎ 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) (i) 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.

**\$** HK\$4,380 (per course)

Application Fee: HK\$150

**D** 24 months to 36 months

English

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

### Advanced Diploma in FinTech

Programme Code: FN049A

Application Code: 1985-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.

**\$** Application Fee: HK\$200

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

**D** 1 year

English

**Q** Level 4 (Reg. No.: 20/000091/L4)

Validity Period: 01 Mar 2020 - on-going

More details



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.288)

**\$** 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](http://hkuspace.hku.hk)

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

Programme Code: EP087A

Application Code: 1985-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:
- 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.

**\$** Application Fee: HK\$150

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

**D** 5 months

🇬🇧 English

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

Programme Code: 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:
- 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.

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

### Executive Certificate in Finance and Compliance

Programme Code: EP025A

Application Code: 1965-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 work experience; or
  - 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

More details



### 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

### Executive Certificate in Fund Administration and Regulatory Compliance

Programme Code: EP175A

Application Code: 1970-EP175A

☎ 2975 5767

✉ farc@hkuspace.hku.hk

The programme takes an integrated approach to fund administration and the regulatory landscape in asset management. The programme offers an overview of investment fund structures, strategies, regulation and fund administration from front-end to back office operations. It also covers the current development of fund regulatory compliance in the Greater Bay Area.

- 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.

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

**\$** HK\$7800 per programme  
Application Fee: HK\$150

**D** 30 hours

🇬🇧 English

**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

### Executive Certificate in RegTech

Programme Code: EP167A

Application Code: 1970-EP167A

2867 8322

ect@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 bachelor's degree awarded by a recognized institution or equivalent; or
  - 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

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

Programme Code: FN045B

Application Code: 1965-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 <http://www.hkib.org/>)

**D** 18 hours

English

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

### Certificate for Module (Introduction to Financial Time Series Analysis)

Programme Code: FN062A

Application Code: 1970-FN062A

2520 4612

finsc@hkuspace.hku.hk

The programme aims to provide students with elementary knowledge of time series analysis for financial data. It introduces basic time series models, models and tests for long-run relationships, volatility models and simultaneous equation models. Computational tools will be used to analyze time series and build financial models. This programme is suitable for students to prepare for postgraduate studies in finance and investment disciplines.

- R** Applicants should hold an Advanced Diploma, a Higher Diploma or an Associate Degree preferably in the areas of business and statistics (e.g., mathematics, statistics, computer science, IT, engineering, economics or finance) awarded by a recognized institution. Applicants with other equivalent qualifications will be considered on individual merit.

**\$** HK\$7,500 per programme

**D** 5 weeks

English

**Q** Level 5 (Reg. No.: 21/000427/L5) Validity Period: 01 Jul 2021 - on-going

### Certificate for Module (Quantitative Methods in Finance)

Programme Code: FN063A

Application Code: 1965-FN063A

2520 4612

finsc@hkuspace.hku.hk

The programme aims to provide students with fundamental knowledge of statistical and quantitative methods in analyzing financial data. It covers time value of money, descriptive statistics, probability and probability distributions, inferential statistics and regression. Computational tools will be used to assist solving the finance and statistics problems. This programme is suitable for students preparing for postgraduate studies in finance and investment disciplines.

- R** Applicants should hold an Advanced Diploma, a Higher Diploma or an Associate Degree awarded by a recognized institution. Those with a mathematics or science background would be at an advantage.  
Applicants with other equivalent qualifications will be considered on individual merit.

**\$** HK\$6,600 per programme

**D** 5 weeks

English

**Q** Level 5 (Reg. No.: 21/000428/L5) Validity Period: 01 Jul 2021 - on-going

### 證書 (單元: 財富管理誠信顧問)

課程編號: FN060A

報名代碼: 1975-FN060A

2867-8322

tawm@hkuspace.hku.hk

本課程旨在加深入壽保險業界從業員對保險業界不同領域的認識，以提高其個人服務水平及誠信標準。完成課程後，學員能夠因應不同客戶的需要，制訂製合適的保險及理財工具組合，為客戶提供詳盡有效和切實可行的財務方案。課程內容包括保險業最新監管要求、信託概念和知識、不同地區的稅務事項、財富傳承的策略與執行步驟、高端客戶的財富管理及財富心理學的應用。

**\$** HK\$9,800  
報名費用: HK\$150

**D** 3個月

粵語輔以英語

**Q** 資歷架構級別: 3 資歷名冊登記號碼: 21/000389/L3  
資歷名冊登記有效期: 2021年6月1日 - 持續有效

See legend on page 1 & 9 圖說說明於第1及9頁

**R** Minimum Entry Requirements 基本入學要求 (P.288) **\$** 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](http://hkuspace.hku.hk)

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

S

Programme Code: FINA9321

Application Code: 1965-SC490A

☎ 2975 5767

✉ ecfaml@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.)

More details

**D** 6 hours

🌐 English

## 持牌保險中介人打擊洗錢及恐怖分子資金籌集合規持續專業發展課程

S

課程編號：FINA9356

☎ 2867 8487 / 2867 8314



✉ shortcourse@hkuspace.hku.hk

本課程會將介紹打擊清洗黑錢及反恐怖份子融資活動的相關法例及保險業規例的基本原則；重點是香港的洗錢及恐怖分子融資風險評估報告，並設有實際經驗分享、案例研究，及如何應用相關的案例和法律法規。

**\$** HK\$450**D** 3小時

## Introduction to Corporate Finance

S

Programme Code: FINA9021

Application Code: 1950-1932NW



☎ 2867 8476

✉ 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.

**\$** HK\$4,500 per module**D** 5 weeks

🌐 English