

The University of Hong Kong School of Professional and Continuing Education College of Business and Finance

RELEVANT & PRACTICAL PROGRAMME IN FINANCIAL, LEGAL AND LISTING COMPLIANCE

The Postgraduate Diploma in Corporate Compliance (The Programme) 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.

The most updated and contemporary cases will be discussed; drawing reference from the standards and rules highlighting the issues and grey areas.

PROGRAMME OBJECTIVES

The objectives of the Programme are to equip students with skills and knowledge to analyse and interpret relevant listing rules, SFC regulations and financial standards. Students will be able to identify non-compliance issues and grey areas with reference to the rules and practices and prepare them for a career in compliance and related sectors.

The programme provides the knowledge relating to regulatory environment as well as governance from strategic and operational perspectives. Graduates well trained in the governance discipline would be able to manage the risks better and accomplish their responsibilities with higher ethical standard and greater confidence.



PROGRAMME STRUCTURE

Students need to complete six modules in order to be awarded the Postgraduate Diploma. The programme consists of following modules, duration of each ranging from 33 to 36 contact hours;

- Internal Controls Concepts and Issues
- Corporate Governance (core)
- Listing Rules and Regulations
- Securities and Futures Regulations and Practices (core)
- Impact of Artificial Intelligence and Big Data on Compliance and Risk Management
- Anti-money Laundering Practices and Issues

All the modules such as internal control, listing and SFC regulations offered in tandem with each other will deliver a well-structured and comprehensive coverage of compliance. The main focus of this programme is its emphasis upon the importance of compliance issues in the increasingly stringent regulatory environment.

The programme is designed to equip students with contemporary financial reporting standards which need to be complied with in order to provide true and fair financial information for business decision making; the legal framework and listing regulations applicable to the listed corporations; and the application of accounting, legal and listing compliances to enhance the corporate governance in listed and private companies.

ENTRY REQUIREMENTS

Applicants shall:

- a) hold a bachelor's degree in any discipline* awarded by a recognized institution;
- b) provide evidence of English proficiency (if the degree or equivalent qualification is from an institution where the languare 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;
 - 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;
 - iii. HKALE Use of English at Grade E;
 - iv. HKDSE Examination English Language at Level 3 or above;
 - v. other equivalent qualifications.

Applicants with other qualifications will be considered on individual merit.

* Applicants who have not studied accounting in their prior bachelor degree education are required to take supporting modules of accounting.



MODE OF DELIVERY & CLASS DETAILS

Real-life examples and updated cases will be discussed during the class. Either, weekday evenings, 7:00 - 10:00pm or, Saturday afternoons, 2:30 - 5:30pm, or Saturday evenings, 6:30 - 9:30pm Medium of Instruction: English

APPLICATION DEADLINE & COURSE COMMENCEMENT

Course Commencement: February/ May/ October

http://hkuspace.hku.hk/prog/postgrad-dip-in-corporate-compliance



ENQUIRY

Tel: 2867 8409 Fax: 2861 0278 Email: pgdcc@hkuspace.hku.hk



APPLICATION FORM AC009A

Postgraduate Diploma in CORPORATE COMPLIANCE 企業担策逐步運

For office use	only	
☐ Admitted	\square Waiting List	☐ Rejected

ヘイ	5. 4.1	45 3	心光生	- T	/柱
4년 3	 模規	田川 先	おか白	文	1553
	~/ "	-	N /		•

PERSONAL	L PARTI	CULARS				Sur	name I	Given Name		
Name in	Chinese				Name in En	glish				
Title * Mr. Date of Bi		s. / Miss	* Please delete the ina		D Card / Pas	sport No				
Nationa	lity				Mart	ial Status	5			
Permanent	LIV Posidor	ot □ Vos	☐ No (if No, plea	so soo Notos	to Non loca	Applica	ats)			
Correspo		it 🗀 ies	Li No (II No, pied	se see Notes	to Non-loca	Арріісаі	113)			
Home Telephone			Mobile Phone				Office Telephone			
Email Address						_	Fax Number			
Current Occupation					P	osition				
Employer's Name / Address										
Emergency	Contact Pe	rson In ca	se of emergency, we i	may need to	contact your	family o	r friend. Ple	ase suggest.		
Contact Person					Phone					
ACADEMIC	C QUAL	IFICATIO	DN (in reverse ch	ronologica	l order)					
Institution			Award Received			Dates	s of attendan	ce (From / To)	Part-time or Full-	time
Name				4						
Full Post	al Address									
				—	── Please al 請填寫此	so compl 部分	ete this part			
				Note:	printing m	achine en ne School	try of the deta	ils above at th	e without validation e University or Tow ng Education, The U	n Centre

	YMENT HISTORY (i	<u> </u>	ai order)	
Name of En	nployer	Job Title		Date (From / To)
KU SPACE ALUI Il new enrolled		ome ordinary members of the HKU SPACE	ALUMNI. If you DO NOT WISH to be a member of the	HKU SPACE ALUMNI, please check this box. \Box
is the School po			us to meet the needs of all students, you are invited to	indicate on this form whether you require any special assistan
•	e required Yes No	subsequently to obtain further details so a	is to facilitate our planning and assess flow best we can	ттер уод.
. It is necessary . The personal	data provided in this form will be used for pr	ocessing your application for admission, a	nd for registration, academic and administrative comm	ol may be unable to process and consider their applications. unication, alumni management and contacts, research, statist
and prescribe	d purposes as allowed by the law from time coessing and consideration of all the application	o time. ons for a particular programme have been	n completed: (a) the application papers of unsuccessful	providing services to the School in relation to the above purporcandidates will be destroyed (if you have indicated to receive
student record information ye	ds and will be handled by HKU SPACE staff or ou supply will be kept strictly confidential.	by staff of an authorised third party provid	ing services to the School in relation to the stated purpo	successful candidates will serve as part of the applicant's offi ses. In all such circumstances, please be assured that any perso
. The School wi the applicant	provides are accurate. Any change should be	Message Services (SMS) and supplement	by other means such as email (if the need arises). It is the	herefore important that the mobile phone and email address t sages via SMS should contact the programme teams for separ
From time to	Data related to Direct Marketing time, the School will send the latest updates			es and courses, seminars and events, discounts and offers, clin n channels such as direct-mail, email and mobile phone, by us
			mation collected in your profile such as the programme og a written unsubscribe request (by email or by post) to	e(s) you enrolled, your graduation year etc). You always have
If you DO NO	T WISH to receive our latest updates and	promotional materials through the comm	munication channels as stated above, including disco	ounts and offers from time to time, please check this box.
deemed incor Officer, HKU S	rect. Applications for access to personal data SPACE. For general requests of personal data	should be made by using a special reques amendment, please fill out the "Application	it form and on payment of a fee. Such applications for a on Form for Personal Data Amendment" and submit it	ata, to be given a copy, and to apply for correction of the data access of information should be addressed to the Data Protect to HKU SPACE.
. For details on	the School's policy on personal data (privacy	, please refer to the School Prospectus or	Website.	
	be done in person at any of the School's Enr		ation form and submitting it with the appropriate fee ar E" 34/F, United Centre, 95 Queensway, Hong Kong.	nd relevant documents. You can also mail to the "The Program
	rossed cheque or bank draft should be made nd short courses, applicants may be required		sa or MasterCard if the course will start shortly.	
. If admission is . If admission is	on a first come, first served basis and if you by selection, the official receipt is not a gua	do not hear from us before the course sta rantee that your application has been acce	rts, you may assume that your application has been acc	cepted, and should attend the course as scheduled. ble after the closing date for application. Unsuccessful applica
will be given a refund of programme/course fee if already paid. 5. If you do not know the teaching venue within 3 days of the starting date of the course, please check with the relevant programme team.				
7. Course fees paid are not refundable except as statutorily provided or under very exceptional circumstances (e.g. course cancellation due to insufficient enrolment). 8. Please refer to the HKU SPACE Prospectus and the official website for full details of enrolment procedures for HKU SPACE Programmes.				
otes to Non-loc	·	2.2. 2. Secans of enforment proces		
study in Hong	Kong, all non-local applicants are required to			or those admitted to Hong Kong as dependants, who do not no
make appropri	ate visa arrangements. Admission to a HKU S	PACE academic programme/course does n		ue part-time studies. It is the responsibility of individual applica y wish to note that part-time courses are generally not conside IKU System through HKU SPACE.
100	Ill information given in this section to the		act of mulkpouladge accurate and accurate	
eclaration		and also have also all also account has also be-		
I declare that a I authorise the I consent that	if registered, I will conform to the Statutes ar	d Regulations of the University and the ru		
I declare that a I authorise the I consent that	if registered, I will conform to the Statutes ar	s to release, any information about my qu d Regulations of the University and the ru		
I declare that a I authorise the I consent that	if registered, I will conform to the Statutes ar	s to release, any information about my qu d Regulations of the University and the ru	ules of the School.	

APPLICATION PROCEDURES

- 1. Complete the application form and attach one passport size photo.
- 2. Submit the application form with the following documents:
 - (a) certified copies of all relevant academic and/or professional qualifications
 - (b) copy of HKID card / passport
 - (c) A non-refundable application fee of HK\$200 by crossed cheque made payable to "HKU SPACE"
- 3. The complete set of application forms with all relevant supporting documents may be submitted in person or by post to any of the following HKU SPACE enrolment centers*:

(iv) HKU SPACE Island East Campus

- (i) HKU SPACE Admiralty Learning Centre
 3/F, Admiralty Centre, 18 Harcourt Road, Hong Kong (Exit A, Admiralty MTR Station)
 Weekdays: 8:30 am to 7:30 pm
 Saturdays: 8:30 am to 5:30 pm
 Telephone: 3761 1111
 Fax: 2559 4666
- (ii) HKU SPACE HKU Campus

 3/F, T.T. Tsui Bldg, The University of Hong Kong
 Pokfulam Road, Hong Kong
 Weekdays: 8:30 am to 6:00 p.m
 Saturdays: closed
 Telephone: 2975 5680 Fax: 2546 3538
- (iii) HKU SPACE Fortress Tower Learning Centre
 14/F., Fortress Tower, 250 King's Road, North Point
 Hong Kong (Exit B, Fortress Hill MTR Station)
 Weekdays: 8:30 am to 7:30 pm
 Saturdays: closed
 Telephone: 3762 0888 Fax: 2508 9349

Weekdays: 8:30 am to 7:30 pm
Saturdays: 8:30 am to 5:30 pm
Telephone: 3762 0000 Fax: 2214 9493

(v) HKU SPACE Kowloon West Campus
38-46 Nassau Street Mei Foo Sun Chuen (Phas

(Exit B3, North Point MTR Station)

38-46, Nassau Street, Mei Foo Sun Chuen (Phase 6), Kowloon (Exit B, Mei Foo MTR Station) Weekdays: 8:30 am to 7:30 pm Saturdays: 8:30 am to 5:30 pm Telephone: 3762 4000 Fax: 2302 1609

2/F, 494 King's Road, North Point Hong Kong

(vi) HKU SPACE Kowloon East Campus

1/F, 28 Wang Hoi Road, Kowloon Bay, Kowloon
(Exit B, Kowloon Bay MTR Station)
Weekdays: 8:30 am to 7:30 pm
Saturdays: 8:30 am to 5:30 pm
Telephone: 3762 2222
Fax: 2305 5070

(viii) HKU SPACE Po Leung Kuk Stanley Ho Community College (HPSHCC) Campus

1/F, HPSHCC Campus, 66 Leighton Road, Causeway Bay,

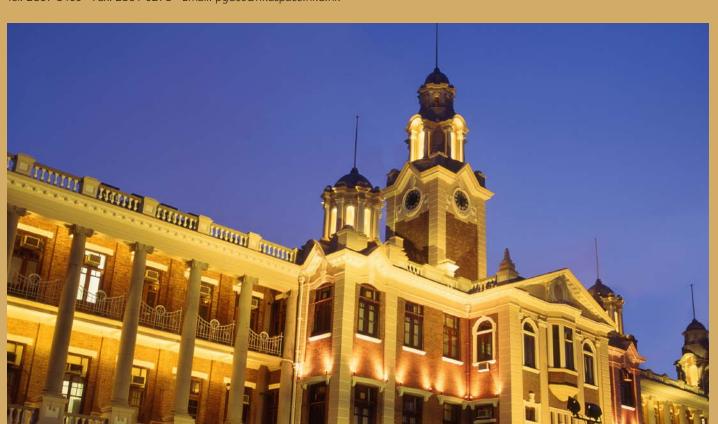
Weekdays: 9:00 am to 5:30 pm

Saturdays: closed Telephone: 3923 7171 Fax: 3923 7188

PROGRAMME ENQUIRIES

HKU SPACE College of Business and Finance, HKU SPACE 34/F, United Centre, 95 Queensway, Hong Kong

Tel: 2867 8409 Fax: 2861 0278 Email: pgdcc@hkuspace.hku.hk



Survey (Optional)

1.

2

3.

5.

7.

to time of the committee of the committe	
For Office Use Only 只供內部使用	
Receipt No. 收據編號:	
4. SERVINGUESCON 24	

To help us understand your learning needs, please answer the following questions. Please note that the information you provide may be used to assist the School's research in continuing education. This part of the form is optional.

為使本學院了解學員的學習需要,請填妥以下問卷。你所提供的資料,可能作為本學院對持續教育研究之用。學員可根據個人意願決定填寫與否。

Please tick the appropriate boxes. 請在適當方格加上 ✓ 號。

Varm bind	non-advantage level askinged 恒价与言数应知应,(Dlaces asked ONE ask, 建物棒甘中	7E)	
DATE OF THE PARTY	nest education level achieved 你的最高學歷程度:(Please select ONE only 請選擇其中一	200-0	Doob dorlo dograe 89 + 89/D
	Below Secondary 5 (HKCEE) 中五(香港中學會考)以下		Bachelor's degree 學士學位 Postgraduate certificate / Postgraduate diploma 深造證書 / 深造文憑
	Secondary 5 (HKCEE) or equivalent 中五(香港中學會考)或同等程度		Master's degree 碩士學位
	Secondary 6 – 7 (HKAL) or equivalent 中六 – 中七(香港高級程度會考)或同等程度 Secondary 6 (HKDSE) or equivalent 中六(香港中學文憑)或同等程度		Doctorate degree 博士學位
	Associate degree / sub-degree / certificate / diploma 副學士 / 副學位或非學位證書 / 文憑	1.003 🗖	Doctorate degree 14 - 4 - 12
1.003 🗖	Associate degree / Sub-degree / Certificate / diploma 脚字工 / 脚字区以外字区或音 / 又然		
	the most important factors for your choosing of the present course at HKU SPACE? 你 elect the THREE most important factors and rank them from "1" to "3", with "1" as the		
2.001 🗆	Good reputation of the institution 機構有良好聲響	2.006 🗆	Good teaching and learning facilities 教學設備完善
2.002 🗆	A variety of courses to choose 有多種課程可供選擇	2.007 □	Convenient locations of learning centres 上課地點方便
2.003 🗆	High academic quality of the courses 課程的學術質素高	2.008 🗆	Reasonable course fees 學費合理
2.004 🗆	Qualification awarded are widely recognised 學歷被社會廣泛承認	2.009 🗆	Others其他 (Please specify 請列明:)
2.005 🗆	Good quality of teaching staff 導師質素高		
Which ch	annel(s) do you usually receive information on continuing education? 你通常透過以下哪個	司渠道獲得有 關	顯持續教育的資訊?(You can choose MORE THAN ONE 可作多項選擇)
	School website & School eDirect Mail (eDM) 學院網站 / 學院電子郵件		eDirect Mail (eDM) 電子郵件
	School prospectus / programme brochure 學院課程手冊 / 課程單張		Keyword search (SEM) 關鍵字搜尋
	TV / radio advertising 電視 / 電台廣告		Seminar / Exhibition / School Open Day 講座 / 展覽 / 開放日
	Newspaper / magazine advertising 報章 / 雜誌廣告		From the organisation currently working at 從現職機構獲得資訊
	Transport / outdoor advertising 公共交通工具 / 戶外廣告		Office building 商業大廈派發點
	Internet advertising 網站廣告	3.013 □	From friends / relatives 親朋推介
3.007 🗆	Mobile advertising 流動電話廣告	3.014 🗆	Others 其他 (Please specify 請列明 :)
	202005 SME N/ DEDMINS N		
	on 行業: (You can choose MORE THAN ONE 可作多項選擇)		A 11 100 100 100 100 100 100 100 100 100
	Accounting / Auditing 會計、核數		Government / Public Utilities 政府部門、公共機構
	Administration / Secretarial / General Management 行政、秘書、一般管理工作		Hospitality and Tourism 款客服務、旅遊
	Advertising / Sales and Marketing / Customer Services 廣告、營銷及市場推廣、顧客服務		Housing / Property Management / Real Estate 樓字、物業管理、地產
4.004 LI	Architectural / Building & Construction / Project Engineering / City Planning 建築、建造、項目工程、城市規劃		Human Resource / Training 人事、培訓 Legal 法律
4.005 □	Art / Creative / Design 藝術、創意行業、設計		Library Management 圖書管理
4.006 □	Banking / Finance / Investment / Insurance 銀行、金融、投資、保險		Logistics / Transportation 物流、運輸交通
4.007 □	Business Management 商業管理		Manufacturing 製造業
4.008 🗆	Chinese Medicine 中醫藥		Media / Communications / Public Relations / Publishing / Translation
4.009 □	Community / Social Services 社會服務	4.024	媒體、傳訊、公園、出版、翻譯
4.010 □	Computer Science / Information Technology (IT) 電腦、資訊科技	4.025 □	Medical / Health Care / Nutrition / Beauty 醫療、保健、營養、美容
4.011 🗆	Education 教育	4.026 □	Merchandising / Purchasing / Trading 採購、貿易
4.012 □	Engineering / Machinery工程、機械	4.027 □	Retail / Wholesale 零售、批發
4.013 🗆	Entertainment / Recreation / Sports 娛樂、康樂、體育管理	4.028 □	Science and Technology 科學及科技
4.014 🗆	Environmental Sciences 環境科學	4.029 🗆	Telecommunications 電訊
4.015 🗆	Food and Beverage 餐飲	4.030 □	Others 其他 (Please specify 請列明:)
What are	your area(s) of interest? 你對以下哪些課程範疇感興趣? (You can choose MORE THAN	ONE 可作多	項選擇}
	Accounting and Finance 會計、財務		Languages and Humanities 語言及文史哲
	Architecture, Housing and Built Environment 建築、房屋及建造環境		Law 法律
	Art, Design and Performing Arts 美術、設計及表演藝術		Life, Health and General Sciences 生命、護理及普及科學
	Business and Management 工商管理		Marketing and Communications 市場推廣及傳訊
	Chinese Medicine 中醫藥		Social Sciences 社會科學
	Hospitality and Tourism Management 款客及旅遊業管理		Sport, Exercise and Recreation Management 康樂及體育管理
	Information Technology and Library Science 資訊科技及圖書館科學		Others 其他 (Please specify 請註明:)
2		a want of the	
47 NASSAN JOHN	going to pay the fee of the course you have applied for in full by yourself? 學費是否由例 、V—目		W. I. I. W. W. C. I
6.001 🗆	Yes 是	6.002 🗆	No, I shall pay% of the course fee by myself. 否,我只支付全數學費的百分之。
Monthly	poworal income 網「奈見啦」		
	personal income 個人每月收入: to_to_sooo	7.005	\$20,000, \$20,000
	\$0 - \$9,999		\$30,000 - \$39,999
	\$10,000 - \$14,999 \$15,000 - \$19,999		\$40,000 - \$ 49,999 \$50,000 or above 或以上
	\$50 000 - \$19'aaa	7.007 L	And had all about street

End 問卷完

Thanks 謝謝



Application for Module Exemption for Part-time Programme

Nan	ne of Student :	(in Chinese)		
Tele	Telephone: HKID No			
Ema	nil:			
1.	Programme applied for			
	Title of module requesting exemption			
2.	Please state the qualification which is in support of this	exemption application:		
	Qualification of Title:			
	Year of Completion:			
	Equivalent Module: (no. of lecture hours)			
3.	Please submit a crossed cheque of HK\$500, payable to application, which is non-refundable.	HKUSPACE for each module exemption		
	Fee enclosed: Cheque No.: _			
	Bank:			
	Student's signature:	Date:		

FOR OFFICIAL USE

Documents received and checked ☐ Yes ☐ No	
Programme Team's Recommendation	
Exemption granted	
Name of Programme Leader:	
Signature:	Date:
☐ Agree with Recommendation ☐ Disagree. State reason(s))
Name of the AC Chairman:	
Signature:	Date:
Decision by Deputy Director (Academic Services) for controversial	case:
☐ Approve ☐ Not approve	
Remarks:	
Signature:	Date:
Deputy Director (Academic Services)	

IMPORTANT NOTES TO STUDENTS

- 1. Each module requires a separate application.
- 2. Module exemption means a student is exempted from all academic activities related to a module.
- 3. Exemption should not be more than 50% of the total credits of the entire programme. There is no partial module exemption.
- 4. Students will be assigned a grade of EX for exempted module(s). The EX grade(s) will not be calculated in the Grade Point Average (G.P.A.).
- 5. Attach all appropriate supporting documents. These will include: copy of the award parchment, copy of a transcript showing the mark obtained for the equivalent module you are applying for exemption, module syllabus, learning outcomes, assessment format.
- 6. Normally, students should submit the application two weeks before the start of the programme and they will be notified of the result within 10 working days after submitting the application. As programmes in the School are of different varieties and levels, students should consult individual programme teams for the time required as some may need a longer time to process the applications.
- 7. Please return this form together with a crossed cheque and the relevant documents to the Programme Team of the programme concerned.