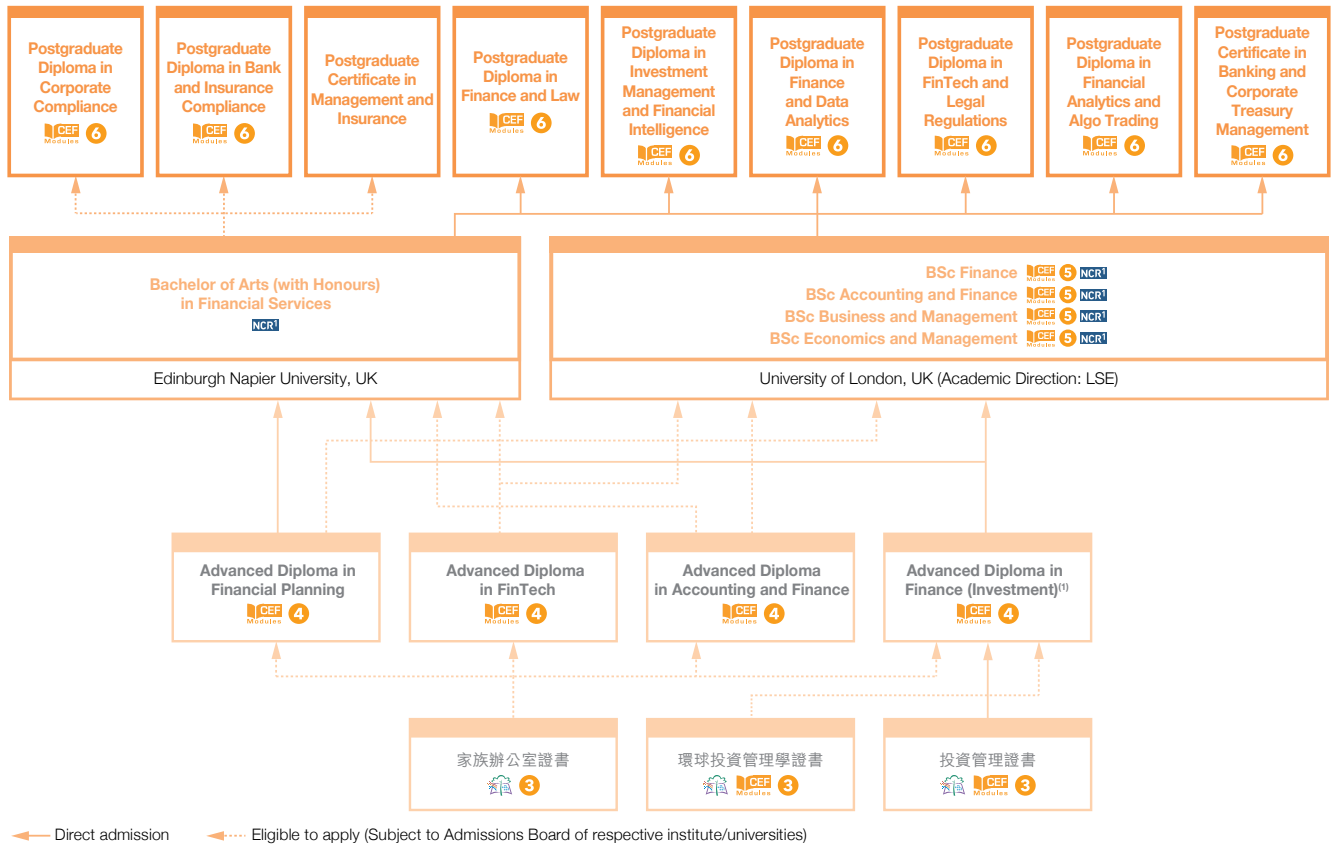


Pathways in Financial Studies



Notes:

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

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.125

Programme Title	Programme Code	QF Level	QR Registration No.	QR Registration Validity Period
BSc Accounting and Finance	NCR1 CEF Modules 5 MS044A	5	13/000446/L5	01 Sep 2013 - 31 Aug 2026
BSc Finance	NCR1 CEF Modules 5 MS046B	5	23/000462/L5	01 Sep 2023 - 31 Aug 2026
BSc Business and Management	NCR1 CEF Modules 5 MS041A	5	14/000003/L5	01 Sep 2014 - 31 Aug 2026
BSc Economics and Management	NCR1 CEF Modules 5 MS025A	5	13/000312/L5	01 Sep 2012 - 31 Aug 2026

Postgraduate Diploma in Bank and Insurance Compliance

Programme Code: AC055A

Application Code: 2270-AC055A

☎ 2867 8409

✉ 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.

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\$7,800 per module
Application Fee: HK\$200

D 1 year to 3 years

🇬🇧 English

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

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

Postgraduate Diploma in Corporate Compliance

Programme Code: AC009A

Application Code: 2270-AC009A



2867 8409

pgdcc@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.

- 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.

NOTES TO APPLICANTS:

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

\$ HK\$7,800 per module
Application Fee: HK\$200

D 1 year to 3 years

English

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

Postgraduate Diploma in Finance and Law

Programme Code: FN017A

Application Code: 2285-FN017A



2520 4617

studylaw@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 who hold the Advanced Diploma for Legal Executives (Graduate Level) would be eligible for entry.

Applicants with other qualifications will be considered on individual merit.

\$ HK\$7,700 per Finance module
HK\$10,900 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: 2265-FN015A

2867 8392

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

Edinburgh Napier University, UK

- In 2023, The Business School increased its overall student satisfaction score to 87% (National Student Survey 2023)
- 85% of TBS graduates are in work or further study 15 months after graduation (Graduate Outcomes Survey, HESA)
- Top 10 UK Modern University for Accounting & Finance (THE World University Rankings 2022)
- The Business School is accredited by AACSB for excellence in teaching, research, curriculum development, and student learning; meaning that it is recognised as being among the top 6% of institutions offering Business degrees globally.

PROGRAMME FEATURES

- Top in the UK for Value Added to students by Guardian University Guide 2017
- Take Current Insights from Thematic Seminars in Finance
- 24 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 MINIMUM ENTRY REQUIREMENTS

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\$11,700 per module
Application Fee: HK\$200

D 2 years

English

Advanced Diploma in Finance (Investment)

Programme Code: FN013A

Application Code: 2265-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 the part-time University of London International Degree Programmes and may also be eligible for some course exemptions on the various University of London International Degree Programmes.

- 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\$4,800 per module
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

See legend on page 031 圖像說明於第031頁

- R** Minimum Entry Requirements 基本入學要求 (P.017) **\$** 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

Advanced Diploma in FinTech

Programme Code: FN049A

Application Code: 2265-FN049A



2867 8312

adft@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\$6,700
 Module 2: Principles of Finance HK\$4,900
 Module 3: Programming for FinTech Applications HK\$6,700
 Module 4: Machine Learning in Finance HK\$4,900
 Module 5: Blockchain Applications and FinTech HK\$4,900
 Module 6: Big Data Applications and Financial Analytics HK\$4,900
 Application Fee: HK\$200

D 12 months to 20 months English

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

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

Programme Code: EP087A

Application Code: 2285-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\$5,400
 Regulatory Principles of Anti-Money Laundering and Counter-Terrorist Financing
 Module 2 (30 hrs) HK\$5,400
 Anti-Money Laundering Compliance Programme
 Module 3 (15 hrs) HK\$2,800
 Financial Crime Compliance
 Module 4 (15 hrs) HK\$2,800
 Anti-Money Laundering in Practice
 Application Fee: HK\$150

D 6 months English

Executive Certificate in Aircraft Leasing and Financing

Programme Code: EP166A

Application Code: 2175-EP166A

2975 5767

ecalf@hkuspace.hku.hk

This programme offers the essential concepts and contemporary issue about aircraft leasing and financing. It provides a broad overview of main categories of different aircraft leasing transactions.

R Applicants shall hold:
 i) a Bachelors Degree awarded by a recognized University or equivalent; or
 ii) an Associate Degree or a Higher Diploma or equivalent, and have at least 2 years of relevant work experience.
 Applicants with other qualifications and substantial senior work experience will be considered on individual merit.

\$ HK\$8,000
 Application Fee: HK\$150

D 1 month to 2 months English

Executive Certificate in Finance and Compliance

Programme Code: EP025A

Application Code: 2265-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\$3,000 per module,
 HK\$9,000 per programme
 Application Fee: HK\$150

D 4 months English, supplemented with Cantonese

Finance and Compliance Workshop Series

Programme Code: SC407A

Application Code: 2265-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\$3,100 per module

D 4 months English, supplemented with Cantonese

Finance and Compliance

金融法規

Executive Certificate in Fund Administration and Regulatory Compliance

Programme Code: EP175A

Application Code: 2275-EP175A

2867 8312

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 relevant work experience.

Applicants with other qualifications will be considered on individual merits.

\$ HK\$8,800 per programme
Application Fee: HK\$150

D 30 hours

English

Certificate for Module (Anti-money Laundering – Cryptocurrency, Data Analytics and Financial Crime Sanctions)

Programme Code: AC119A

Application Code: 2285-AC119A

2867 8409

pgdcc@hkuspace.hku.hk

The programme aims to equip students with knowledge of the anti-money laundering regulations, data analytics to safeguard finance crimes or using cryptocurrencies in money laundering.

R Applicants shall hold a bachelor's degree awarded by a recognized institution, with 1-2 years of relevant work experience in anti-money laundering.

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\$8,000 per programme
Application Fee: HK\$150

D 33 hours

English

Q Level 6 (Reg. No.: 23/000047/L6) Validity Period: 01 Jan 2023 - on-going

Certificate for Module (Anti-money Laundering – Practices and Issues)

Programme Code: AC120A

Application Code: 2270-AC120A

2867 8409

pgdcc@hkuspace.hku.hk

This programme equips students with knowledge of practices and procedures to combat money laundering in the workplace.

R Applicants shall hold a bachelor's degree awarded by a recognized institution, with 1-2 years of relevant work experience in anti-money laundering.

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\$8,000 per programme
Application Fee: HK\$150

D 33 hours

English

Q Level 6 (Reg. No.: 23/000048/L6) Validity Period: 01 Jan 2023 - on-going

See legend on page 031 圖像說明於第 031 頁

R Minimum Entry Requirements 基本入學要求 (P.017)

\$ 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

Certificate for Module (Big Data Governance and Data Compliance)

Programme Code: FN055A

Application Code: 2275-FN055A

2867 8331 / 2867 8424

finedec@hkuspace.hku.hk

For details, please refer to p.069

Certificate for Module (Compliance for Fintech and Insurtech)

Programme Code: AC106A

Application Code: 2350-AC106A

2867 8409 / 2867 8314

pgdipbi@hkuspace.hku.hk

Fintech and Insurtech are new and hot technology in bank and insurance sectors. Programme Team proposes to introduce a Certificate for module 'Compliance for Fintech and Insurtech' which is an evolving area with market demand and is also a unique and pioneering course introduced by HKU SPACE.

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\$8,000 per programme
Application Fee: HK\$150

D 36 hours

English

Q Level 6 (Reg. No.: 21/000476/L6) Validity Period: 01 Jul 2021 - on-going

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

Programme Code: FN045B

Application Code: 2270-FN045B

2867 8392

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\$5,000

D 18 hours

English

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

Certificate for Module (Environmental, Social and Governance Reporting)

Programme Code: AC121A

Application Code: 2350-AC121A



2867 8409 / 2867 8314

pgdco@hkuspace.hku.hk

This programme equips students with knowledge of local and international standards in ESG reporting. They would also be able to report using the appropriate guidelines and apply relevant skills in analysing material ESG and sustainability issues in companies.

- 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.
- \$** HK\$8,000 per programme
Application Fee: HK\$150
- D** 33 hours English
- Q** Level 6 (Reg. No.: 23/000172/L6) Validity Period: 01 Feb 2023 - on-going

Certificate for Module (Global Sports Business and Finance)

Programme Code: FN102A

Application Code: 2235-FN102A



2975 5767

cmrt@hkuspace.hku.hk

The programme provides students with an in-depth understanding of the principles and trends of global sports business and finance. It covers a range of topics such as revenue models, talent management, social impact, and emerging global trends. Students will explore different organisation formats and tournament events in different regions and scales with their financial impact. Students will also gain insights into variety of real-life cases. By the end of the programme, students will be equipped with the knowledge and skills needed to succeed in the dynamic and rapidly evolving field of global sports business. The programme can help students to plan and organise different sports business in the future.

- R** Applicants shall hold:
 - (i) a relevant bachelor's degree awarded by a recognised university or equivalent; or
 - (ii) a relevant Associate Degree / Higher Diploma or equivalent, and have at least 2 years of related work experience.
 Applicants with other qualifications will be considered on individual merit.
- \$** HK\$9,000
Application Fee: HK\$150
- D** 30 hours English
- Q** Level 5 (Reg. No.: 23/000829/L5) Validity Period: 01 Oct 2023 - on-going

Certificate for Module (Introduction to Financial Time Series Analysis)

Programme Code: FN062A

Application Code: 2260-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\$7,600
- D** 5 weeks English
- Q** Level 5 (Reg. No.: 21/000427/L5) Validity Period: 01 Jul 2021 - on-going

證書 (單元：持牌放債人業務管理)

課程編號：FN100A

報名代碼：2270-FN100A



2867 8392

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ringo.chan@hkuspace.hku.hk

本課程旨在教授學員有關持牌放債人管理人員執行企業策略、財務管理、風險管理及內部控制。課程範疇包括持牌放債人管理人員的金融合規要求、防止金融及網絡犯罪、管理層於反洗錢的角色和責任、金融科技的應用及放債人業務的成功元素。

- R** 申請人必須：
 1. 於香港中學文憑考試考獲5科第2級或以上的成績 (包括中國語文科)；或
 2. 於香港中學會考考獲5科E級或以上的成績 (包括中國語文科)。
 申請人如持有其他同等學歷、年滿21歲或以上及持有相關的工作經驗，學院將按個別情況考慮。
- \$** HK\$7,500
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：23/000767/L3
資歷名冊登記有效期：2023年8月1日 - 持續有效

證書 (單元：持牌放債人業務營運)

課程編號：FN101A

報名代碼：2265-FN101A



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ringo.chan@hkuspace.hku.hk

本課程旨在教授學員有關持牌放債人相關的法例、法規、執業指引和持牌放債人營運要點。課程範疇包括持牌放債人的金融合規要求、放債流程的營運細節、持牌放債人的風險管理及反洗錢的監管要求。

- R** 申請人必須：
 1. 於香港中學文憑考試考獲5科第2級或以上的成績 (包括中國語文科)；或
 2. 於香港中學會考考獲5科E級或以上的成績 (包括中國語文科)。
 申請人如持有其他同等學歷、年滿21歲或以上及持有相關的工作經驗，學院將按個別情況考慮。
- \$** HK\$7,500
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：23/000766/L3
資歷名冊登記有效期：2023年8月1日 - 持續有效

Certificate for Module (Quantitative Methods in Finance)

Programme Code: FN063A

Application Code: 2270-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\$6,800
- D** 1 month to 2 months English
- Q** Level 5 (Reg. No.: 21/000428/L5) Validity Period: 01 Jul 2021 - on-going

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

Certificate for Module (RegTech)

Programme Code: FN088A

Application Code: 2280-FN088A

2975 5767

cmrt@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 contemporary financial issues, regulatory framework and the impacts of RegTech.

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

Applicants with other qualifications will be considered on individual merit.

\$ HK\$9,500
Application Fee: HK\$150

D 30 hours English

Q Level 5 (Reg. No.: 22/000864/L5) Validity Period: 01 Nov 2022 - on-going

證書 (單元：財富管理誠信顧問)

課程編號：FN060A

報名代碼：2275-FN060A

2975 5767

tawm@hkuspace.hku.hk



本課程旨在加深人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。

- R** 申請人必須為：
1. 副特許財務策劃師 (AChFP) 及具備5年或以上相關保險金融工作經驗；或
 2. 特許壽險策劃師 (ChLP) 及具備5年或以上相關保險金融工作經驗；或
 3. 特許財務策劃師 (FChFP) 及具備3年或以上相關保險金融工作經驗。
- 申請人如持有其他同等學歷及具有5年相關工作經驗者將會被個別考慮。

\$ HK\$9,800
報名費用：HK\$150

D 1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

Actuarial Society of Hong Kong (ASHK) Fellows Programme

Programme Code: SC525A

Application Code: 2265-SC525A

2867 8392

ashk@hkuspace.hku.hk



This programme is a route for grandfathered ASHK Fellows (FASHK) ONLY to demonstrate their knowledge and practical appreciation of Hong Kong's actuarial regulatory environment, business practices, professional conduct code and actuarial guidance notes relevant to different work areas (life insurance or general insurance). The learning outcomes of this CPD course is the same as the ASHK Certificate.

The ASHK Certificate was introduced as a requirement for new ASHK Fellows. At the time, all existing FASHK were eligible for grandfathering and hence not required to obtain the certificate. As part of the transition, this programme is now available for grandfathered FASHK ONLY. The Insurance Authority will introduce new requirements for actuaries. All applicants for Long-Term Appointed Actuaries and General Insurance Certifying Actuaries will need to be a FASHK and demonstrate their local market knowledge, this is expected to become effective on 1 July 2024.

- R** Applicants should hold ASHK fellows membership or other qualifications will be considered on individual merits.

\$ HK\$2,100 per programme

D 7 hours English

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

Application Code: 2270-SC490A

2867 8392

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\$1,800
HK\$600 (Study Guides Fee (optional) - A set of digital version of Study Guide (Core & Professional Levels) is available for purchase by email at cs@hkib.org)

D 6 hours English

Examination Preparatory Programme for ACAMS Certified Anti-Money Laundering Specialist (CAMS)

Programme Code: FINA9357

Application Code: 2275-1808NW

2975 5767

acams@hkuspace.hku.hk



In recent years, Financial Crime has hit the headlines, and the spotlight is firmly on compliance. Money launderers and terrorists engage in money laundering activities through the use of various techniques to disguise funds obtained from illegal activities including drug trafficking, corruption, tax evasion and fraud.

\$ HK\$3,900

D 12 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

課程編號：FINA9356

報名代碼：2050-3004NW

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

See legend on page 031 圖像說明於第031頁

- R** Minimum Entry Requirements 基本入學要求 (P.017) **\$** 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