

Postgraduate Diploma in FinTech and Legal Regulations

FN078A

FinTech and Financial Intelligence



About the Programme

Financial Technology (FinTech) brings innovative services in finance and investment globally. It also improves operational efficiency and brings new user experiences in banking and financial services. By applying FinTech, artificial intelligence (AI), Machine Learning (ML), blockchain and robo advisory, financial services and investment functions, including business transaction and payments, clearing and settlement, monetary deposits and transfer, borrowing and lending, insurance and financial planning, asset allocation and portfolio performance evaluation, can be performed swiftly. With a view to the rapid technological advancement, all players in the financial market should follow the regulatory framework and comply with relevant regulations. Regulatory technology (RegTech), the management of regulatory processes within the financial industry through technology, becomes a hot topic. The Postgraduate Diploma in FinTech and Legal Regulations nurtures learners with contemporary knowledge of FinTech with practical applications and related regulations understanding in the financial market.



Objective

The programme aims to impart inter-disciplinary knowledge of FinTech and legal regulations to students who are interested in the latest applications of FinTech and related legal issues. It examines contemporary elements and issues of FinTech and applies computational tools to finance and investment through practical workshops in the computer laboratory. The programme illustrates the applications of AI, RegTech, blockchain and robo advisory as well as explains the regulatory framework and statutory compliance.

Who should apply

Analysts, strategists and executives in finance and investment sectors, professionals in legal, compliance, banking and finance services fields, system developers and programmers in IT and FinTech fields, investment professionals and financial executives who want to refresh their knowledge and explore the latest FinTech development are welcome to apply the programmes. For graduates of HKU SPACE Postgraduate Diploma (e.g., Postgraduate Diploma in Investment Management and Financial Intelligence, Postgraduate Diploma in Applied Financial Engineering, and Postgraduate Diploma in Finance and Data Analytics), one exempted module will be granted.



Programme Structure

Students pursuing this programme must successfully complete 60 credits comprising 6 modules.

60
credits

6
modules

Module 1: FinTech: Law and Regulation

CEF Course Code: 33Z141306
QF Level: 6 QR Registration No.: 22/000225/L6
QR Registration Validity Period: 01 May 2022 - on-going



Module 2: AI and Financial Computing

CEF Course Code: 33Z138909
QF Level: 6 QR Registration No.: 22/000225/L6
QR Registration Validity Period: 01 May 2022 - on-going



Module 3: Machine Learning for Financial Analytics

CEF Course Code: 33Z138917
QF Level: 6 QR Registration No.: 22/000225/L6
QR Registration Validity Period: 01 May 2022 - on-going



Module 4: Regulatory Framework of Blockchain and Digital Currency

CEF Course Code: 33Z141314
QF Level: 6 QR Registration No.: 22/000225/L6
QR Registration Validity Period: 01 May 2022 - on-going



Module 5: RegTech Applications in Finance

CEF Course Code: 33Z138925
QF Level: 6 QR Registration No.: 22/000225/L6
QR Registration Validity Period: 01 May 2022 - on-going



Module 6: Robo Advisory and Portfolio Management

CEF Course Code: 33Z13893
QF Level: 6 QR Registration No.: 22/000225/L6
QR Registration Validity Period: 01 May 2022 - on-going



Some modules of this course have been included in the list of reimbursable courses under the Continuing Education Fund



This course is recognised under the Qualification Framework (QF) level 6

Admission

There are various intakes per year around January, March, May, July, September and November.

Mode of Delivery

The programme will be taught in part-time face-to-face teaching mode. 30 to 42 contact hours (lectures and/or practical classes in computer laboratory) will be provided. Classes are held on weekday evenings and/or weekends at HKU SPACE Campus. The language of instruction for all modules will be in English

(*For your safety and health, please note that the School may substitute face-to-face classes with online teaching if necessary.)

Assessment Methods

Each module will be assessed by a mix of coursework, group presentation and written reports.

Programme Fee

For the latest course fee, please refer to the programme website for more information. The payment is by module. (*\$150 non-refundable for application fee; course fees are subject to change without prior notice).

Application

Applicants can apply online or fill out the enclosed application form and take it in person to one of the locations below. Applicants should include a non-refundable application fee of HK\$150 to cover the cost of processing (Cheques should be crossed and make payable to "HKU SPACE"). Please also bring the original and photostat copies of your ID Card and relevant certificate and transcripts.

Entry Requirements

Applicants shall hold a bachelor's degree in quantitative or computational areas (e.g., economics, finance, mathematics, statistics, science, computer science, IT, engineering) awarded by a recognized institution or equivalent.

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 who hold the Advanced Diploma for Legal Executives (Graduate Level) awarded within the HKU system through HKU SPACE would be eligible for entry.

Applicants without undergraduate qualifications, but have substantial work experience will be considered on individual merit.

Applicants who do not have a background in quantitative or computational areas are required to take the Certificate for Module (Quantitative Methods in Finance) as the bridging course. They must complete and pass the module before the commencement of the programme.

Enquiries

Enquiries for Modules 1 & 4

Email: studylaw@hkuspace.hku.hk

Tel: 2520 4665

Enquiries for Modules 2, 3, 5 & 6

Email: finpgd@hkuspace.hku.hk

Tel: 2867 8331



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