

Executive Diploma/ Certificate in Legal Risk for Enterprise Risk Management

行政人員文憑 / 證書 (企業風險管理的法律風險)

Programme Code: EP047A / LW 17-102-00 (21)

Application Code: 2080-EP047A

CPD points accredited by The Law Society of Hong Kong

Programme Objectives

This programme aims to:

- 1) help participants to identify major legal issues and the calculated litigation risks affecting commercial, banking and business practices.
- 2) implement the corporate governance standards in Hong Kong and Mainland China
- 3) critically analyze legal compliance issues in enterprise risk management locally and internationally
- 4) apply practical legal skills to real life business issues, making high-level decisions and strategic planning in the marketplace

This programme consists of a total **90 contact hours** with 2 modules.

Module 1 (45 hours)	Module 2 (45 hours)
Commercial Crimes and Money Laundering Law (清洗黑錢法律及商業罪案)	Legal Compliance and Liability Risks in Banking and Commercial Practice (銀行、商業實務中的法律監管及責任風險)

Entry Requirements – Open Entry for all degree holders in any discipline

- 1) Applicants shall hold:-
 - i. a Bachelor's Degree awarded by a recognized university or equivalent; or
 - ii. relevant professional qualifications.
- 2) Applicants with other qualifications or substantial senior level / managerial work experience in accounting, law, auditing, finance, banking, government, risk management, or other business, areas will be considered on individual merit.

Course Exemption

Successful graduates of Executive Diploma in Asset Recovery Law, Receivable and Fraud Control Practice ("RMS's Executive Diploma") are eligible to apply for exemption from the elective module of the Executive Diploma in Legal Risk for Enterprise Risk Management.

For enquiry, please contact Lydia Yung, HKU SPACE at 2520-4665, or e-mail at lydia.yung@hkuspace.hku.hk

Assessment and Awards

To obtain the **Executive Diploma award**, students must:-

1. Achieve at least 70% attendance of lectures for each module, AND
2. Pass the continuous assessment and the examination (*both contribute 50% of the final grade*) of each module.

To obtain the **Executive Certificate award / Statement of Attendance for a single module:-**

1. Students can enrol on any individual module of the programme. Students studying for the Executive Certificate award will need to pass the module assessment with a minimum 70% attendance requirement.
2. If students fail to pass the assessment but have over 70% attendance for a module, a *Statement of Attendance* will be issued for that module.

Programme Schedule and Class Venue

	Spring Intake
Application Deadline	14 April 2023
Commencement Date	29 April 2023
Duration	6 months to 8 months Intensive workshops will take place on weekday evenings at 7-10 pm and/or Weekend afternoons at 2:30-5:30 pm Classes will be scheduled one/two sessions per week.
Venue	HKU SPACE Learning Centre (Hong Kong Island) [To be advised]

Fee (All fees are subject to change with prior notice)

Whole Programme (Two modules)	HK\$14,350
Single Module Enrolment	HK\$ 7,350
Application Fee (non-refundable)	HK\$ 200

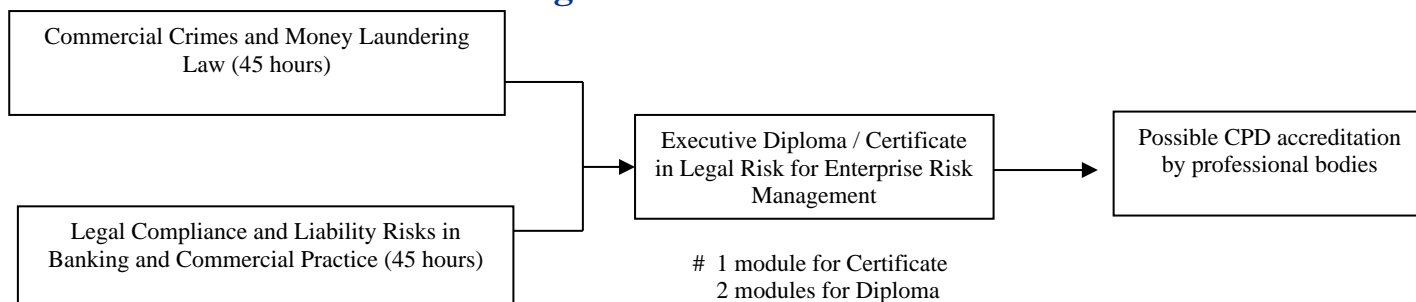
Language

English supplemented with Chinese Language if necessary.

Application Procedure

- 1) Course fees paid are not refundable or transferable except in special circumstances.
- 2) All applications, either by post or in person must be accompanied by
 - i. Photocopies of full educational certificates and transcripts.
 - ii. Testimonials or other documentary proof of the applicant's working experience.
 - iii. A separate non-refundable crossed cheque payable to "HKU SPACE" for HK\$200 application fee.
 - iv. A signed enrolment form (SF26) and a crossed cheque for the course fee payable to "HKU SPACE".

Your Advancement Path to Higher Education



Modules' Highlights

PLES9019 Commercial Crimes and Money Laundering Law

(45 hours)

清洗黑錢法律及商業罪案

The objectives of the course are to critically analyze issues risk management arisen from commercial crimes and regulatory framework against money laundering activities and related business operation.

Upon completion of the module, students should be able to :-

1. critically assess and explore strategies to cope with the latest legal development in Enterprise Risk Management;
2. apply legal skills to sustain their business regulated under money laundering law and compliance policies;
3. critically assess and implement effective legal policies to reduce their operation costs and financial risks;
4. critically examines both the procedural and cross-broader challenges presented to law enforcement and business community locally and internationally

Topics will include:-

1. legal framework in Hong Kong and other jurisdictions for commercial crimes and money launderings activities
2. different categories and forms of commercial crimes and money laundering activities;
3. key elements of commercial crimes, statutory offences and practice directions by government and different governing authorities
4. varying policy issues underpinning the criminalization of certain business, banking and financial activities;
5. evidence gathering methods against commercial crimes
6. the challenges and problems when using the forensic procedures
7. translational implications of commercial crimes and money laundering law
8. practical strategies and risk management plans to combat commercial crimes and money laundering activities

Modules' Highlights

PLES 9020 Legal Compliance and Liability Risks in Banking and Commercial Practice 銀行、商業實務中的法律監管及責任風險	(45 hours)
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This course examines the significant legal principles and statutory framework affecting business practice and commercial disputes in Hong Kong and Mainland China.

It will address specific legal issues affecting commercial transactions in both contentious and non-contentious practices;

Upon completion of the module, students should be able to:

1. critically analyze legal issues, business liability risk management and regulatory framework under PRC commercial law and business practice;
2. possess a broad intellectual outlook on the legal aspects of doing business in China.
3. critically study the legal infrastructure, process and institutions in PRC civil and commercial law in the context of an evolving political, economic and social environment.
4. critically examine the anti-fraud control and prepare business plans under PRC anti-corruption law

Topics will include:-

1. comparative legal approach in HK and PRC business framework;
2. various compliance rules and guideline issued by the governing bodies (e.g. SFC, HKMA) and Practice Directions of Law Society of HK
3. specific legal issues underlying commercial transaction in Hong Kong and Mainland China; common mistakes and legal pitfalls
4. key legal aspects of doing business in HK and PRC jurisdictions
5. legal infrastructure, process and institutions in civil and commercial law in HK and PRC
6. case studies and group discussion Legal Risks and Loss Prevention Techniques when granting Financial and Trade Credits
7. case studies and group discussion Legal Liability Risk in bank loan financing and property transactions: a comparative approach in Hong Kong and Mainland China