

# Executive Diploma / Certificate in Legal Risk for Enterprise Risk Management

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

**Application deadline: 14 April 2023**

**Application Code:** 2080-EP047A

**Application Fee: HK\$200 (NON-REFUNDABLE)**

## 1. PERSONAL PARTICULARS (Enter the following information in BLOCK LETTERS)

Title: Mr.  Ms.

Family Name: \_\_\_\_\_

Given Names: \_\_\_\_\_

(Note: It is important that you fill in your name **exactly** as stated on your Hong Kong ID card / passport).

Name in Chinese: \_\_\_\_\_

Date of Birth: \_\_\_\_\_

DD / MMM /YYYY [e.g. 1/Jan/1990]

Hong Kong I.D. Card / Passport No. : \_\_\_\_\_

SPACE Student No. (if any) : \_\_\_\_\_

(Holders of H.K.I.D card must fill in their H.K.I.D No.)

Permanent Hong Kong Resident: Yes  No

(If you are not a permanent resident, it is your responsibility to ensure you have a visa which allows you to study this course. Please refer to "Notes to non-local applicants")

Nationality: \_\_\_\_\_

Email address: \_\_\_\_\_

Correspondence Address (This address will be used for all correspondence):  Residential

Business

[Room/Floor/Block/Building] \_\_\_\_\_

[Estate, Street/Road] \_\_\_\_\_

[District] \_\_\_\_\_

[Area]

HK  KLN  NT

Hong Kong telephone No. : \_\_\_\_\_

[Mobile]

[Office]

[Home]

Present occupation: \_\_\_\_\_

### Application Procedures

Please enclose:

1. Completed **Application Form** and a crossed cheque for HK\$200 application fee (Non-refundable) payable to 'HKU SPACE'
2. Certified photocopies of full educational certificates and transcripts & Evidence of Professional Membership; (please produce originals of the documents for certification upon admission at SPACE Learning Centre);
3. Testimonials or other documentary proof of the applicant's working experience for non-standard admission requirement;
4. A recent photos of the applicant and copy of HKID.

After screening the documents, programme team will inform students by email for paying the course fee.

1. Please submit the Enrolment /Payment Slip and a crossed cheque payable to 'HKU SPACE' to enrolment counter. Credit card (VISA/MASTER) payment are also acceptable at enrolment counter.

Note:

1. An application form without copies of supporting documents **WILL NOT** be processed. You will be required to produce originals of the documents for certification upon admission to the programme Payment for application fee and course fee by credit card (VISA / Master) are also acceptable.
2. Applicants are required to provide a HKID card for admission assessments and student records. Applicants will be asked to present HKID for verification if applying in person at enrolment counters or to attach a copy of HKID if applying by post

Please affix a recent photo (in plain background) of the applicant for our record.

45mm x 55mm

### Postal Address

Please complete this part in **BLOCK LETTERS**

Name \_\_\_\_\_

Postal Address \_\_\_\_\_

\_\_\_\_\_

\_\_\_\_\_

\_\_\_\_\_

Application Fees are not refundable

Please see overleaf

**2. ACADEMIC QUALIFICATIONS** (in reverse chronological order)

Examination/ Awarding Institution	Class or Subject/Degree Awarded	Grade	Date of Award

**3. WORKING EXPERIENCE** (in reverse chronological order)

Company Name	Position held	Dates	
		from	to

**4. I learned about this programme from :**

- |  |   |
|--|---|
| <input type="checkbox"/> Newspapers: _____<br>(Please specify name of newspaper) | <input type="checkbox"/> HKU SPACE Prospectus |
| <input type="checkbox"/> Employers, friends and relatives                        | <input type="checkbox"/> HKU SPACE Website    |
| <input type="checkbox"/> Others : _____  | <input type="checkbox"/> E-marketing          |

**Notes to non-local Applicants**

To study in Hong Kong, all non-local applicants are required to obtain a student visa issued by the Immigration Department of the HKSAR Government, except for those admitted to Hong Kong as dependants, who do not need prior approval before taking up full-time and part-time studies. Non-local applicants issued with a valid employment visa also do not need prior approval to pursue part-time studies. It is the responsibility of individual applicants to make appropriate visa arrangements. Admission to a HKU SPACE academic programme/course does not guarantee the issue of a student visa. Applicants may wish to note that part-time courses are not considered by the Immigration Department for visa purposes except for self-financed, part-time locally accredited taught postgraduate programmes awarded within the HKU system through HKU SPACE.

## HKU SPACE Alumni

All new enrolled students in the School will automatically receive a lifelong learner card which serves as the student card. It also confers eligibility to become an alumnus of HKU SPACE. If you DO NOT WISH to be an alumnus, please check this box.

## Equal Opportunities for Learning at HKU SPACE

The School supports equal opportunity and strongly opposes discrimination / harassment. The document, "Studying in HKU SPACE" is available from the Prospectus/Website and sets out such policy more fully.

It is the School policy to offer equal opportunities to all applicants with or without disabilities. To enable us to meet the needs of all students, you are invited to indicate on this form whether you require any special assistance. If you do need such assistance, the School may approach you subsequently to obtain further details so as to facilitate our planning and assess how best we can help you.

Special assistance required Yes  No   
(if you check yes, you agree to give us further information on your special needs and consent to our further processing of your data)

## Statement on Collection of Personal Data

1. It is necessary for applicants to supply their personal data and to provide all the information requested in the application documents, as otherwise the School may be unable to process and consider their applications.
2. The personal data provided in this form will be used for processing your application for admission, and for registration, academic and administrative communication, alumni management and contacts, research, statistical and marketing (including direct marketing) purposes. The data will be solely handled by HKU SPACE staff but may be transferred to an authorised third party providing services to the School in relation to the above purposes and prescribed purposes as allowed by the law from time to time.
3. When the processing and consideration of all the applications for a particular programme have been completed: (a) the application papers of unsuccessful candidates will be destroyed (if you have indicated to receive our promotional materials in Paragraph 6 then your contact details and opt-in consent would be retained for such purposes); and (b) the application papers of successful candidates will serve as part of the applicant's official student records and will be handled by HKU SPACE staff or by staff of an authorised third party providing services to the School in relation to the stated purposes. In all such circumstances, please be assured that any personal information you supply will be kept strictly confidential. Personal data collected arising from any payment for this application may be retained as statutorily required and for processing refund, if necessary.
4. Upon enrolment, applicants will be required to submit a recent colour photo for student identification purpose.
5. The School will send urgent messages to students via Short Message Services (SMS) and supplement by other means such as email (if the need arises). It is therefore important that the mobile phone number and email address that the applicant provides are accurate. Any change should be reported to the School immediately. Those who have genuine difficulty in receiving urgent messages via SMS should contact the programme teams for separate arrangements.

## Use of Personal Data related to Direct Marketing

6. From time to time, the School will send the latest updates and promotional materials to applicants/students and alumni on the availability of the programmes and courses. This will also include seminars and events, discounts and offers, clinics and other services as well as the alumni events, privileges and offers, networking opportunities and fund-raising initiatives. Occasionally information from our parent University and fellow HKU subsidiaries may also be sent. Various communication channels will be employed such as direct-mail, email, mobile phone and other forms of social media, by using your personal data (including, but without limitation to, your name, contact details and other information collected in your profile such as the programme(s) you enrolled, your graduation year etc). You always have the right to make subsequent changes on your choice of receiving further marketing materials by sending a written unsubscribe request (by email or by post) to the School at any time.

If you DO NOT WISH to receive our latest updates and promotional materials through the communication channels as stated above, including discounts and offers from time to time, please check this box.

7. Under the provisions of the Personal Data (Privacy) Ordinance, applicants have the right to request the School to ascertain whether it holds your personal data, to be given a copy, and to apply for correction of the data, if deemed incorrect. Applications for access to personal data should be made by using a special request form and on payment of a fee. Such applications for access to information should be addressed to the Data Protection Officer, HKU SPACE (please quote "Data Access Request"). For general requests of personal data amendment, please fill out the "Application Form for Personal Data Amendment" and submit it to HKU SPACE.
8. For details on the School's policy on personal data (privacy), please refer to the School Prospectus or Website (<http://hkuspace.hku.hk/policy-statement/privacy-policy>).
9. HKU SPACE, being part of the University of Hong Kong, the Personal Information Collection Statement and the Supplement in relation to the General Data Protection Regulation of the University also apply where applicable and can be accessed from <http://www.aal.hku.hk/admissions/documents/pics.pdf> and [https://admissions.hku.hk/tpg/sites/default/files/GDPRPrivacyNotice\\_ApplicantsandStudents.pdf](https://admissions.hku.hk/tpg/sites/default/files/GDPRPrivacyNotice_ApplicantsandStudents.pdf). Being in partnership with other overseas Universities, it also endeavours to comply to their laws and regulations as far as practicable. However, the School is obliged to maintain part of the students' records in perpetuity for reasons stated in this PIC.

### HKU SPACE Vaccine Mandate

To minimize the risk of COVID-19 transmission in learning centres and offices and to keep the HKU SPACE community safe, access to the HKU campus or HKU SPACE premises will need to comply with the tightened measures in line with the University. Please refer to details on implementation on our Website/Learner Portal and please do note that there may be further updates from time to time to take account of possible changes in the Government guidelines and University arrangements.

### Class arrangement during COVID-19

The COVID-19 situation may still be fluid and constantly affect class arrangements in the coming months. The health and safety of our students will always be our top priority. To ensure that students' academic progress is not affected, the School may substitute face-to-face classes with online teaching if necessary in the event that face-to-face classes cannot be held. Our respective Programme Teams will contact the students concerned with details of such arrangements as necessary.

## DECLARATION (PLEASE SIGN BEFORE SUBMISSION AND CHECK YOU HAVE ATTACHED ALL REQUIRED DOCUMENTS)

1. I declare that all information given in this application form and the attached documents are, to the best of my knowledge, accurate and complete.
2. I authorise the School to obtain, and the relevant authorities to release, any information about my qualifications and/or employment as required for my application.
3. I consent that if registered, I will conform to the Statutes and Regulations of the University and the rules of the School.
4. I have noted, understood and agree to the contents of the above notes, Statement on Collection of Personal Data and HKU SPACE policy on personal data (privacy).

Signature: \_\_\_\_\_

Date: \_\_\_\_\_

[DD/MMM/YYYY]

HKU SPACE is a non-profit making University company limited by guarantee.

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Enterprise Risk Management**

Provisional Schedule

**PLES9019 Commercial Crimes and Money Laundering Law**

<b><u>Date</u></b>		<b><u>Time</u></b>	<b><u>Lecturer</u></b>
April 29, 2023	Sat	2:30 pm - 5:30 pm	Ms. Anna Ho
May 3, 2023	Wed	7:00 pm - 10:00 pm	Barrister-at-law
May 6, 2023	Sat	2:30 pm - 5:30 pm	
May 10, 2023	Wed	7:00 pm - 10:00 pm	
May 13, 2023	Sat	2:30 pm - 5:30 pm	
May 17, 2023	Wed	7:00 pm - 10:00 pm	
May 20, 2023	Sat	2:30 pm - 5:30 pm	
May 24, 2023	Wed	7:00 pm - 10:00 pm	
May 27, 2023	Sat	2:30 pm - 5:30 pm	
May 31, 2023	Wed	7:00 pm - 10:00 pm	
June 3, 2023	Sat	2:30 pm - 5:30 pm	
June 7, 2023	Wed	7:00 pm - 10:00 pm	
June 10, 2023	Sat	2:30 pm - 5:30 pm	
June 14, 2023	Wed	7:00 pm - 10:00 pm	
June 17, 2023	Sat	2:30 pm - 5:30 pm	
<b>Open-book Examination: [15 minutes reading time + 3 hours' OPEN book Examination]</b>			
July 5, 2023	Wed	6:45 pm - 10:00 pm	

**PLES9020 Legal Compliance and Liability Risks in Banking and Commercial Practice**

*Teaching Period from 26 July 2023 to 4 October 2023.*

*Open-book Examination: [15 minutes reading time + 3 hours' OPEN book Examination] in October 2023.*

**SPECIAL NOTICE TO STUDENTS:**

1. Non-law candidates must take the compulsory law module before studying other law elective.
2. The availability of the class will depend on student enrollment. Early registration on a first-come-first served basis is appreciated.
3. Students are required to meet a minimum of 70% class attendance before they can be allowed to write the examinations for LAW modules.
4. Detailed timetables showing venues for each module you have enrolled on will be sent out ***one week before the start of that course.*** If you do not receive a timetable three days before the course starts, please e-mail [lydia.yung@hkuspace.hku.hk](mailto:lydia.yung@hkuspace.hku.hk) or telephone 25204665.
5. The School reserves the right to change the time and place of module meetings and to change the module Tutor / Lecturer / Teacher, without prior notice.
6. Course fees paid are not refundable or transferable.