



Executive Certificate in  
**FINANCE AND COMPLIANCE**

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

<http://hkuspace.hku.hk/cbf/>

# Executive Certificate in FINANCE AND COMPLIANCE

## INTRODUCTION

The Executive Certificate in Finance and Compliance programme 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.

## AWARD

Upon satisfactory completion of the whole programme, students will be awarded “Executive Certificate in Finance and Compliance” within the HKU System through HKU SPACE.

## PROGRAMME STRUCTURE

The programme offers the following 3 modules:

**Module 1:** Financial Regulations and Compliance – 15 hours

**Module 2:** Compliance in Banking and Wealth Management – 15 hours

**Module 3:** Compliance in Asset Management – 15 hours

## COURSE OUTLINE

### *Module 1: Financial Regulations and Compliance*

- Compliance principles; independence and conflicts of interest; resources and responsibilities; internal audit; cross border issues
- Overview of regulation of Hong Kong financial industry
- Supervision, controlled functions, customer due diligence
- Scope of Securities and Futures Commission Ordinance (SFO); role and function of Securities and Futures Commission (SFC)
- Market Misconduct; Market Misconduct Tribunal; improper trading practices, disclosure standards and compliance
- Social responsibility and ethical issues
- Anti-money laundering controls; terrorist financing; insider dealing & prevention of financial crime
- Current issues of the Hong Kong financial regulations and compliance

### *Module 2: Compliance in Banking and Wealth Management*

- Key sections of Banking Ordinance
- Supervisory Approach (Risk-based supervisory approach + Outsourcing)
- Statutory Guideline – Internal Control (include stress-testing); Capital Adequacy; Credit Risk Management; Liquidity Risk Management
- Guidance Note – Operational Risk Management; Interest Rate Management; Technology Risk Management (include supervision of e-banking)
- Know your customer (KYC) and customer due diligence (CDD) compliance
- Anti-Money Laundering (AML) compliance requirement in banking and wealth management
- Guidance note - Credit Card Business; Reputation Risk Management and Wealth Management

### *Module 3: Compliance in Asset Management*

- Regulatory requirements in asset management; SFC's licensing and registration regime
- Code of Conduct for Persons Licensed by or Registered with the SFC
- Management, Supervision and Internal Control Guidelines for Persons Licensed by or Registered with the SFC
- Personal Data (Privacy) Ordinance; Money laundering and terrorist financing in asset management
- Back-Office Compliance
- Fund Manager Code of Conduct
- SFC's supervisory regime for trustees; custodians and investment companies
- Case studies on malpractices and improper trading

## TEACHING MODE

Part-time programme: Face-to-face lectures to be held on weekdays or weekends

Lecture Hours: 15 hours per module

Medium of Instruction: English

Duration of Programme: 4 months

## ASSESSMENT METHODS

Each module will be assessed by written assignments (100%). All assessments will be in English.



## ENTRY REQUIREMENTS

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.

## APPLICATION PROCEDURE

1. Complete the enclosed application form and enrolment form.
2. Submit the application form with the following documents:
  - (a) certified copies of all relevant academic and/or professional qualifications
  - (b) photocopy of HKID card
  - (c) a non-refundable application fee of HK\$150 by crossed cheque / bank draft made payable to 'HKU SPACE'
3. Submit the complete set of applications forms with all relevant supporting documents in person at any of the following HKU SPACE enrollment centres:

- |                                                                                                                                                                                                                                                 |                                                                                                                                                                                                                                 |                                                                                                                                                                                                                                 |
|-------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|---------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|---------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| (i) HKU SPACE Admiralty Learning Centre<br>3/F, Admiralty Centre, 18 Harcourt Road, Hong Kong<br>(Exit A, Admiralty MTR Station)<br>Weekdays: 8:30 am to 7:30 pm<br>Saturdays: 8:30 am to 5:30 pm<br>Telephone: 3761 1111 Fax: 2559 4666        | (iii) HKU SPACE Island East Campus<br>2/F, 494 King's Road, North Point Hong Kong<br>(Exit B3, North Point MTR Station)<br>Weekdays: 8:30 am to 7:30 pm<br>Saturdays: 8:30 am to 5:30 pm<br>Telephone: 3762 0000 Fax: 2214 9493 | (v) HKU SPACE Po Leung Kuk Stanley Ho<br>Community College (HPSHCC) Campus<br><br>1/F, 66 Leighton Road, Causeway Bay,<br>Hong Kong<br>Weekdays: 9:00 am to 5:30 pm<br>Saturdays: closed<br>Telephone: 3762 0100 Fax: 3923 7188 |
| (ii) HKU SPACE Fortress Tower Learning Centre<br>1/F, Fortress Tower, 250 King's Road, North Point<br>Hong Kong (Exit B, Fortress Hill MTR Station)<br>Weekdays: 8:30 am to 7:30 pm<br>Saturdays: closed<br>Telephone: 3762 0888 Fax: 2508 9349 | (iv) HKU SPACE Kowloon East Campus<br>1/F, 28 Wang Hoi Road, Kowloon Bay, Kowloon<br>(Exit B, Kowloon Bay MTR Station)<br>Weekdays: 8:30 am to 7:30 pm<br>Saturdays: 8:30 am to 5:30 pm<br>Telephone: 3762 2222 Fax: 2305 5070  |                                                                                                                                                                                                                                 |

## PROGRAMME ENQUIRIES

Tel: 2867 8392 Email: [ec.fc@hkuspace.hku.hk](mailto:ec.fc@hkuspace.hku.hk)

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



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Application Fee: HK\$150 (non-refundable)

Proposed intake of Study

\_\_\_\_\_ intake \_\_\_\_-EP025A

**PERSONAL PARTICULARS**

Name in Chinese (if appropriate)  Name in English (Surname first)

Title \* Mr. / Mrs. / Ms. / Miss.

Date of Birth

HKID Card / Passport No.

Nationality

Permanent HK Resident  Yes  No  
(if No, please see Notes to Non-local Applicants)

Correspondence Address

Home Telephone

Mobile Phone

Office Telephone

Email Address

Fax Number

Start date of Current Employment

Position

Employer's name and address

Emergency Contact Person In case of emergency, we may need to contact your family or friend. Please suggest.

Contact Person

Phone

**ACADEMIC QUALIFICATION (in reverse chronological order)**

Please state qualifications relevant to the programme / course entry requirements you are applying for and attach the relevant proof of qualifications.

Institution	Award Received	Dates of attendance (From / To)	Part-time or Full-time

Name  
Full Postal Address

← Please also complete this part

Please see overleaf →

## EMPLOYMENT HISTORY (in reverse chronological order)

Name of Employer	Job Title	Date (From / To)

### Declaration

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*

Proposed intake of Study (Please tick)

**intake** **-EP025A**

Executive Certificate in  
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- Module 1: Financial Regulations and Compliance FINA 5067
- Module 2: Compliance in Banking and Wealth Management FINA 5068
- Module 3: Compliance in Asset Management FINA 5069

Fee enclosed: \_\_\_\_\_ Cheque / Draft No. \_\_\_\_\_

**PERSONAL PARTICULARS**

Name in Chinese

Name in English

Title \* Mr. / Mrs. / Ms. / Miss.

Date of Birth

HKID Card / Passport No.

Nationality

Permanent HK Resident  Yes  No  
(if No, please see Notes to Non-local Applicants)

Correspondence Address

Home Telephone

Mobile Phone

Office Telephone

Email Address

Fax Number

Name  
Full Postal Address

← Please also complete this part

Note: This application acknowledgement is not complete without validation by official printing machine entry of the details above at the University or Town Centre office of the School of Professional and Continuing Education, The University of Hong Kong.

Please see overleaf →



## Part IV 丁部：Other Relevant Information 其他相關資料

(Applicable to NEW students or PAST students who have an update 新生或需更新其他相關資料之舊生適用)

### HKU SPACE Alumni 香港大學專業進修學院校友

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.

本學院的註冊學生將自動獲發終身學員證為學生證。持證人可成為香港大學專業進修學院校友。如閣下不想成為校友，請在方格內填上剔號。

### Equal Opportunities for Learning at HKU SPACE 香港大學專業進修學院的平等學習機會

The School supports equal opportunity and strongly opposes discrimination/harassment. The document, "Studying in HKU SPACE" is available from the school 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.

學院支持平等機會並強烈反對歧視/騷擾行為。在課程手冊/網頁刊載的【學在 HKU SPACE】進一步闡述有關政策。

學院的方針就是為所有人士提供平等的學習機會。為了配合學生的需要，請在此報名表上說明你是否需要特殊的幫助。如有需要，學院將聯絡閣下，以獲取更多相關資料及提供更完善的服務。

Special assistance required 是否需要特殊的幫助

Yes is  (if you check yes, you agree to give us further information on your special needs and consent to our further processing of your data  
如選擇需要，閣下同意提供進一步詳情及同意學院處理相關資料)

No 否

### Statement on Collection of Personal Data 收集個人資料聲明

- 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.
- The personal data provided to the school 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.
- 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.
- Upon enrolment, applicants will be required to submit a recent colour photo for student identification purpose.
- 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

- 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 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.

From time to time, the alumni office will send the latest updates to alumni members on the alumni events, privileges and offers, volunteering activities, and networking opportunities to you. Various communication channels such as direct-mail, email and 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 enrolment year etc). You always have the right to make subsequent changes on your choice of receiving further information for alumni by sending a written unsubscribe request (by email or by post) to the ALUMNI 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.

- 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.
- 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>).
- 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.

- 申請人必須提供其個人資料及課程申請所需資料，否則本學院將不能有效處理其申請。
- 在法律許可情況下，個人資料將會作為入學申請、註冊、有關學術及行政通訊、校友事務及聯絡、研究、統計、市場分析及推廣（包括直接銷售）等用途。只有香港大學專業進修學院職員才能處理有關資料，但亦可能會轉移到為學院提供有關服務的委託人處理。
- 完成報名程序及課程註冊後，申請人如不獲取錄，其個人資料將會被銷毀（如申請人於以下第 6 項表明願意接收學院的推廣訊息，申請人的聯絡資料及同意接收學院推廣訊息的記錄將保留作此等用途），獲取錄者的個人資料將會被留作學生記錄，只有香港大學專業進修學院職員或為學院提供有關服務的委託人才能處理有關檔案，而閣下提供的所有個人資料將絕對保密。報名付款時所收集的個人資料，則循法例規定留作相關用途，以及退款處理之用（如需要）。
- 如獲取錄，申請人需呈交彩色近照一張以作學生證明之用。
- 在緊急情況下，學院將向學生發放電話短訊，或在有需要時附以其他方式，如電子郵件，以作通知。請準確填寫有關資料以便聯絡。如有任何更改，請儘快向學院提出更新。如閣下對接收電話短訊通知遇有困難，請聯絡課程組，以便作適當安排。

#### 個人資料用作直接銷售

- 申請人提供的個人資料（包括姓名、聯絡方法及其他資料如曾報讀的課程、畢業年份等）將用作與學院溝通渠道，學院將透過信件、電子郵件、流動電話和其他社交媒體等為申請人、學員和校友送上學院的最新課程資料及推廣訊息，這些資訊亦將包括學院講座及活動、折扣優惠、診所服務及籌款活動等，當中亦可能包括香港大學或其附屬機構的不定期資訊。閣下可隨時以書面或電郵方式向學院申明是否願意繼續接收有關資訊。

如不欲收到任何透過上述渠道發出的資訊，包括折扣優惠，請在方格內填上剔號。

申請人提供的個人資料（包括姓名、聯絡方法及其他資料如曾報讀的課程、畢業年份等）將用作與校友會溝通渠道，校友會將透過信件、電子郵件、流動電話和社交媒體等為學員和校友送上校友會的最新資訊及推廣訊息，如校友會講座及活動、校友會會員尊享優惠、義工活動及校友聯誼等。閣下可隨時以書面或電郵方式向校友會申明是否願意繼續接收有關資訊。如不欲收到任何透過上述渠道發出的資訊，包括折扣優惠，請在方格內填上剔號。

- 根據個人資料（私隱）條例，申請人有權知悉學院有否保留其個人資料，同時亦可查閱、索取及更改其個人資料。申請人如欲查閱其個人資料，請填妥指定表格並交回本學院個人資料私隱主任（請註明“查閱資料要求”）。本學院將會酌情收取行政費用。如欲更改一般個人資料，請填妥「申請更改個人資料表格」並交回本學院。
- 如欲了解本學院私隱政策的詳情，請參閱本學院的課程手冊或網頁 (<http://hkuspace.hku.hk/cht/policy-statement/privacy-policy>)。
- 本學院作為香港大學的一部分，大學的收集個人資料聲明及有關通用數據保障條例之附加內容亦適用於本學院，詳情請參閱 <http://www.aal.hku.hk/admissions/documents/pics.pdf> 及 [https://admissions.hku.hk/tpg/sites/default/files/GDPRPrivacyNotice\\_ApplicantsandStudents.pdf](https://admissions.hku.hk/tpg/sites/default/files/GDPRPrivacyNotice_ApplicantsandStudents.pdf)（只提供英文版本）。學院亦與海外院校合作，在可行範圍內當遵從當地法律及條例處理相關個人資料，但學院仍需依循本院收集個人資料目的，保留某些項目作為永久學生記錄。



## General Notes to Applicants 一般注意事項

1. Enrolment can be done in person at or by post (specifying "Programme/Course Application") to any of the School's Enrolment Centres by completing this application form and submitting it with the appropriate application/course fee(s) and any required supporting documents.
  2. Fees paid by crossed cheque or bank draft should be made payable to "HKU SPACE".
  3. If the programme/course is starting within five working days, application by post is not recommended to avoid any delays. Applicants are advised to enrol in person at HKU SPACE Enrolment Centres and avoid making cheque payment under this circumstance.
  4. If admission is on a first come, first served basis and if you do not hear from us before the course starts, you may assume that your application has been accepted, and should attend the course as scheduled.
  5. If admission is by selection, the official receipt is not a guarantee that your application has been accepted. We will inform you of the result as soon as possible after the closing date for application. Unsuccessful applicants will be given a refund of programme/course fee if already paid.
  6. If you are applying to/have enrolled for more than one programme/course with HKU SPACE, please check to ensure that there are no scheduling conflicts before submitting your application form.
  7. 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.
  8. Course fees paid are not refundable except as statutorily provided or under very exceptional circumstances (e.g. course cancellation due to insufficient enrolment).
  9. Please refer to the HKU SPACE Prospectus and the official website for full details of enrolment procedures for HKU SPACE Programmes.
1. 報讀課程，請填妥報名表格，連同報名費/學費以及所需證明文件，親往學院各報名中心或以郵遞方式(註明「報讀課程」)呈交。
  2. 如以劃線支票或銀行本票付款，抬頭請書名「香港大學專業進修學院」。
  3. 如報讀課程將在五個工作天內開課，為免郵遞延誤報名程序，建議申請人親身到學院報名中心報名，並避免使用支票付款。
  4. 以「先到先得」方式獲取錄的學生，可自行依照課程手冊或學院網頁所列的時間到有關地點上課。除特殊情況外，學院將不作另行通告。
  5. 如須甄選入學，則正式收據並不可作為閣下已獲取錄的證明。學院將在截止報名日期後儘快通知申請者是否獲得取錄。落選的申請人將獲退還已繳交的學費。
  6. 如打算/已經在學院報讀多於一個課程或以上，請細閱各個課程的上課時間地點，以免上課時間重疊。
  7. 如在開課前三天仍未知悉上課地點，請與課程組聯絡。
  8. 除特殊情況(例如課程因報名人數不足而被取消)及法例規定外，一切已繳費用，概不退還。
  9. 有關香港大學專業進修學院的入學程序及詳情，請參閱香港大學專業進修學院的課程手冊及官方網頁。

## Notes to Non-local Applicants 非本地申請人注意事項

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.

非本地申請人必須持有由香港特區政府入境事務處所簽發的學生簽證方可入讀本院，申請人入學前須辦妥有關手續。惟以受養人士身分獲批准來港者，毋須經事先批准，可修讀全日制及兼讀制課程。而獲發有效工作簽證之非本地申請人毋須事前批准，亦可修讀兼讀制課程。獲香港大學專業進修學院課程取錄並不代表能成功獲發有關學生簽證。除自資並經本地評審，而有關學銜按香港大學體制，經香港大學專業進修學院頒發的兼讀制深造修讀課程外，兼讀制課程暫不在入境處考慮批發簽證之列。

## Declaration 聲明

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).
1. 本人聲明本申請表及隨附文件所載一切資料，依本人所知均屬正確，並無遺漏。
  2. 本人授權香港大學專業進修學院向相關機構查閱有關本人申請課程所列出的學歷及專業資格。
  3. 本人同意如本人註冊入學，當遵守大學及學院的規例。
  4. 本人已細閱、明白並同意以上注意事項、收集個人資料聲明及有關香港大學專業進修學院在處理個人資料(私隱)的守則。

Signature 簽署 \_\_\_\_\_

Date 日期 \_\_\_\_\_