HKUSPACE
香港大學專業進修學院
HKU School of Professional and Continuing Education

Postgraduate Diploma in
BANK AND INSURANCE COMPLIANCE
銀行及保險規範深造文憑

Course code: AC055

The University of Hong Kong
School of Professional and Continuing Education

College of Business & Finance

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

PIONEER AND COMPREHENSIVE IN
BANK AND INSURANCE COMPLIANCE
GREAT VALUE LIES IN SOLVING PROBLEM AROUND GREY AREAS

INTRODUCTION

This is a unique programme that aims to provide students with a coherent, relevant and practical programme of knowledge in bank and insurance compliance and prepare them for a career in these and related sectors. Real-life cases will be discussed, drawing reference from standards and rules **highlighting the non-compliance issues involved and grey areas.**

PROGRAMME OBJECTIVE

The programme is designed to equip students with contemporary knowledge and development in bank and insurance compliance, accounting and financial reporting standards which need to be complied with in order to provide true and fair financial information for business decision making, the legal framework to enhance the corporate governance in listed and private companies.

PROGRAMME STRUCTURE

This programme offers six modules in two intakes; April/May and October each year, duration of each range from 33 to 36 40 contact hours.
- Financial Reporting Compliance
- Internal Controls - Concepts and Issues
- Business and Company Law
- Corporate Governance
- Compliance in Banking Sector
- Compliance in Insurance Sector
- Anti-money Laundering - Practices and Issues

All the modules in tandem with each other will deliver a well-structured and comprehensive coverage of financial, legal operational aspects of banking and insurance compliance.

ENTRY REQUIREMENTS

Applicants shall:
• hold a bachelor's degree in any discipline awarded by a recognized institution;
• provide evidence of English proficiency (if the degree or equivalent qualification is from an institution where the language of teaching and assessment is not
    English) such as:
 1. an overall band of 6.0 with no sub-tests lower than 5.5 in the IELTS;
 2. a score of 550 in the paper-based TOEFL, or a score of 213 in the computer-based TOEFL, or a score of 80 in the internet-based TOEFL;
 3. HKALE Use of English at Grade E;
 4. other equivalent qualifications.
• Applicants with other qualifications will be considered on individual merit.

APPLICATION DEADLINE & COURSE COMMENCEMENT

Course Commencement: February/ June/ October

https://hkuspace.hku.hk/prog/postgrad-dip-in-bank-and-insurance-compliance

APPLICATION FEE HK$200, non-refundable

COURSE FEE HK$7,000 per module

ENQUIRY Tel: 2867 8409 Fax: 2858 4750 Email: pgdcc@hkuspace.hku.hk

HKU SPACE

Postgraduate Diploma in
BANK AND INSURANCE COMPLIANCE
銀行及保險規範深造文憑

For office use only
☐ Admitted ☐ Waiting List ☐ Rejected

PERSONAL PARTICULARS

Name in Chinese

Name in English
Surname | Given Name

Title * Mr. / Mrs. / Ms. / Miss   * Please delete the inappropriate

Date of Birth

HKID Card / Passport No.

Nationality

Martial Status

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

Current Occupation

Position

Employer's Name / 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)

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

Name

Full Postal Address

← Please also complete this part
請填寫此部分

Note : **This application acknowledgment 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 →

EMPLOYMENT HISTORY (in reverse chronological order)

Name of Employer	Job Title	Date (From / To)

HKU SPACE ALUMNI

All new enrolled students in the School will automatically become ordinary members of the HKU SPACE ALUMNI. If you DO NOT WISH to be a member of the HKU SPACE ALUMNI, please check this box. ☐

Equal Opportunities for Learning at HKU SPACE

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

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 related papers 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.
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 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, 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 through various communication channels such as direct-mail, email and mobile phone, 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 of information should be addressed to the Data Protection Officer, HKU SPACE. 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.

General Notes to Applicants

1. Enrolment can be done in person at any of the School's Enrolment Counters by completing this application form and submitting it with the appropriate fee and relevant documents. You can also mail to the "The Programme Director, Postgraduate Diploma in Corporate Compliance, College of Business & Finance, HKU SPACE" 34/F, United Centre, 95 Queensway, Hong Kong.
2. Fees paid by crossed cheque or bank draft should be made payable to "HKU SPACE".
3. For general and short courses, applicants may be required to pay the course fee in cash or by EPS, Visa or MasterCard if the course will start shortly.
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 do not know the teaching venue within 3 days of the starting date of the course, please check with the relevant programme team.
7. Course fees paid are not refundable except as statutorily provided or under very exceptional circumstances (e.g. course cancellation due to insufficient enrolment).
8. Please refer to the HKU SPACE Prospectus and the official website for full details of enrolment procedures for HKU SPACE Programmes.

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 generally 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.

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* _____

Survey (Optional)

To help us understand your learning needs, please answer the following questions. Please note that the information you provide may be used to assist the School's research in continuing education. This part of the form is optional.

為使本學院了解學員的學習需要，請填妥以下問卷。你所提供的資料，可能作為本學院對持續教育研究之用。學員可根據個人意願決定填寫與否。

Please tick the appropriate boxes. 請在適當方格加上 ✓ 號。

1. **Your highest education level achieved 你的最高學歷程度：(Please select ONE only 請選擇其中一項)**

   1.001 ☐ Below Secondary 5 (HKCEE) 中五（香港中學會考）以下
   1.002 ☐ Secondary 5 (HKCEE) or equivalent 中五（香港中學會考）或同等程度
   1.003 ☐ Secondary 6 – 7 (HKAL) or equivalent 中六 – 中七（香港高級程度會考）或同等程度
   1.004 ☐ Secondary 6 (HKDSE) or equivalent 中六（香港中學文憑）或同等程度
   1.005 ☐ Associate degree / sub-degree / certificate / diploma 副學士／副學位或非學位證書／文憑
   1.006 ☐ Bachelor's degree 學士學位
   1.007 ☐ Postgraduate certificate / Postgraduate diploma 深造證書／深造文憑
   1.008 ☐ Master's degree 碩士學位
   1.009 ☐ Doctorate degree 博士學位

2. **What are the most important factors for your choosing of the present course at HKU SPACE? 你選擇在香港大學專業進修學院修讀此課程，最重要的因素是什麼？**
   Please select the THREE most important factors and rank them from "1" to "3", with "1" as the most important. 請選擇3個最重要因素並以1至3排列，以1為最重要。

   2.001 ☐ Good reputation of the institution 機構有良好聲譽
   2.002 ☐ A variety of courses to choose 有多種課程可供選擇
   2.003 ☐ High academic quality of the courses 課程的學術質素高
   2.004 ☐ Qualification awarded are widely recognised 學歷被社會廣泛承認
   2.005 ☐ Good quality of teaching staff 導師質素高
   2.006 ☐ Good teaching and learning facilities 教學設備完善
   2.007 ☐ Convenient locations of learning centres 上課地點方便
   2.008 ☐ Reasonable course fees 學費合理
   2.009 ☐ Others其他 (Please specify 請列明：_____)

3. **Which channel(s) do you usually receive information on continuing education? 你通常透過以下哪個渠道獲得有關持續教育的資訊？(You can choose MORE THAN ONE 可作多項選擇)**

   3.001 ☐ School website & School eDirect Mail (eDM) 學院網站／學院電子郵件
   3.002 ☐ School prospectus / programme brochure 學院課程手冊／課程單張
   3.003 ☐ TV / radio advertising 電視／電台廣告
   3.004 ☐ Newspaper / magazine advertising 報章／雜誌廣告
   3.005 ☐ Transport / outdoor advertising 公共交通工具／戶外廣告
   3.006 ☐ Internet advertising 網站廣告
   3.007 ☐ Mobile advertising 流動電話廣告
   3.008 ☐ eDirect Mail (eDM) 電子郵件
   3.009 ☐ Keyword search (SEM) 關鍵字搜尋
   3.010 ☐ Seminar / Exhibition / School Open Day 講座／展覽／開放日
   3.011 ☐ From the organisation currently working at 從現職機構獲得資訊
   3.012 ☐ Office building 商業大廈派發點
   3.013 ☐ From friends / relatives 親朋推介
   3.014 ☐ Others 其他 (Please specify 請列明：_____)

4. **Profession 行業： (You can choose MORE THAN ONE 可作多項選擇)**

   4.001 ☐ Accounting / Auditing 會計、核數
   4.002 ☐ Administration / Secretarial / General Management 行政、秘書、一般管理工作
   4.003 ☐ Advertising / Sales and Marketing / Customer Services 廣告、營銷及市場推廣、顧客服務
   4.004 ☐ Architectural / Building & Construction / Project Engineering / City Planning 建築、建造、項目工程、城市規劃
   4.005 ☐ Art / Creative / Design 藝術、創意行業、設計
   4.006 ☐ Banking / Finance / Investment / Insurance 銀行、金融、投資、保險
   4.007 ☐ Business Management 商業管理
   4.008 ☐ Chinese Medicine 中醫藥
   4.009 ☐ Community / Social Services 社會服務
   4.010 ☐ Computer Science / Information Technology (IT) 電腦、資訊科技
   4.011 ☐ Education 教育
   4.012 ☐ Engineering / Machinery工程、機械
   4.013 ☐ Entertainment / Recreation / Sports 娛樂、康樂、體育管理
   4.014 ☐ Environmental Sciences 環境科學
   4.015 ☐ Food and Beverage 餐飲
   4.016 ☐ Government / Public Utilities 政府部門、公共機構
   4.017 ☐ Hospitality and Tourism 款客服務、旅遊
   4.018 ☐ Housing / Property Management / Real Estate 樓宇、物業管理、地產
   4.019 ☐ Human Resource / Training 人事、培訓
   4.020 ☐ Legal 法律
   4.021 ☐ Library Management 圖書管理
   4.022 ☐ Logistics / Transportation 物流、運輸交通
   4.023 ☐ Manufacturing 製造業
   4.024 ☐ Media / Communications / Public Relations / Publishing / Translation 媒體、傳訊、公關、出版、翻譯
   4.025 ☐ Medical / Health Care / Nutrition / Beauty 醫療、保健、營養、美容
   4.026 ☐ Merchandising / Purchasing / Trading 採購、貿易
   4.027 ☐ Retail / Wholesale 零售、批發
   4.028 ☐ Science and Technology 科學及科技
   4.029 ☐ Telecommunications 電訊
   4.030 ☐ Others 其他 (Please specify 請列明：_____)

5. **What are your area(s) of interest? 你對以下哪些課程範疇感興趣？ (You can choose MORE THAN ONE 可作多項選擇)**

   5.001 ☐ Accounting and Finance 會計、財務
   5.002 ☐ Architecture, Housing and Built Environment 建築、房屋及建造環境
   5.003 ☐ Art, Design and Performing Arts 美術、設計及表演藝術
   5.004 ☐ Business and Management 工商管理
   5.005 ☐ Chinese Medicine 中醫藥
   5.006 ☐ Hospitality and Tourism Management 款客及旅遊業管理
   5.007 ☐ Information Technology and Library Science 資訊科技及圖書館科學
   5.008 ☐ Languages and Humanities 語言及文史哲
   5.009 ☐ Law 法律
   5.010 ☐ Life, Health and General Sciences 生命、護理及普及科學
   5.011 ☐ Marketing and Communications 市場推廣及傳訊
   5.012 ☐ Social Sciences 社會科學
   5.013 ☐ Sport, Exercise and Recreation Management 康樂及體育管理
   5.014 ☐ Others 其他 (Please specify 請註明：_____)

6. **Are you going to pay the fee of the course you have applied for in full by yourself? 學費是否由你全數支付？**

   6.001 ☐ Yes 是
   6.002 ☐ No, I shall pay _____ % of the course fee by myself. 否，我只支付全數學費的百分之 _____ 。

7. **Monthly personal income 個人每月收入：**

   7.001 ☐ $0 - $9,999
   7.002 ☐ $10,000 - $14,999
   7.003 ☐ $15,000 - $19,999
   7.004 ☐ $20,000 - $29,999
   7.005 ☐ $30,000 - $39,999
   7.006 ☐ $40,000 - $ 49,999
   7.007 ☐ $50,000 or above 或以上

End 問卷完

Thanks 謝謝

Application for Module Exemption for
Part-time Programme

Name of Student : _____ (in Chinese)_____

Telephone: _____ HKID No._____

Email:_____

1. Programme applied for _____

   Title of module requesting exemption

   _____

2. Please state the qualification which is in support of this exemption application:

   Qualification of Title: _____

   Year of Completion: _____

   Equivalent Module: _____
   (no. of lecture hours)

3. Please submit a crossed cheque of HK$500, payable to HKUSPACE for **each** module exemption application, which is non-refundable.

   Fee enclosed: _____ Cheque No.: _____

   Bank: _____

   Student's signature: _____ Date:_____

Documents received and checked	☐ Yes	☐ No

Programme Team's Recommendation

Exemption granted   ☐ Yes   ☐ No. State reason(s)

Name of Programme Leader: _____

Signature:_____ Date:_____

☐ Agree with Recommendation   ☐ Disagree. State reason(s)

Name of the AC Chairman: _____

Signature:_____ Date:_____

Decision by Deputy Director (Academic Services) for controversial case:

☐ Approve   ☐ Not approve

Remarks: _____

Signature: _____ Date:_____
         Deputy Director (Academic Services)

IMPORTANT NOTES TO STUDENTS
1. **Each module requires a separate application.**
2. Module exemption means a student is exempted from all academic activities related to a module.
3. Exemption should not be more than 50% of the total credits of the entire programme. There is no partial module exemption.
4. Students will be assigned a grade of EX for exempted module(s). The EX grade(s) will not be calculated in the Grade Point Average (G.P.A.).
5. Attach all appropriate supporting documents. These will include : copy of the award parchment, copy of a transcript showing the mark obtained for the equivalent module you are applying for exemption, module syllabus, learning outcomes, assessment format.
6. Normally, students should submit the application two weeks before the start of the programme and they will be notified of the result within 10 working days after submitting the application. As programmes in the School are of different varieties and levels, students should consult individual programme teams for the time required as some may need a longer time to process the applications.
7. Please return this form together with a crossed cheque and the relevant documents to the Programme Team of the programme concerned.

November 2017