Postgraduate Diploma in
CORPORATE COMPLIANCE
企業規範深造文憑

The University of Hong Kong
School of Professional and Continuing Education
College of Business and Finance
http://hkuspace.hku.hk/cbf/
RELEVANT & PRACTICAL PROGRAMME IN FINANCIAL, LEGAL AND LISTING COMPLIANCE

The Postgraduate Diploma in Corporate Compliance (The Programme) is a unique programme that focuses on practical applications and all-round training in corporate compliance; it is positioned to be the pioneer in the market.

The most updated and contemporary cases will be discussed; drawing reference from the standards and rules highlighting the issues and grey areas.

PROGRAMME OBJECTIVES

The objectives of the Programme are to equip students with skills and knowledge to analyse and interpret relevant listing rules, SFC regulations and financial standards. Students will be able to identify non-compliance issues and grey areas with reference to the rules and practices and prepare them for a career in compliance and related sectors.

The programme provides the knowledge relating to regulatory environment as well as governance from strategic and operational perspectives. Graduates well trained in the governance discipline would be able to manage the risks better and accomplish their responsibilities with higher ethical standard and greater confidence.

PROGRAMME STRUCTURE

There will be other elective courses offered from time to time. Students need to complete six modules in order to be awarded the Postgraduate Diploma. The programme consists of following modules, duration of each ranging from 33 to 40 contact hours;

- Financial Reporting Compliance
- Internal Controls - Concepts and Issues
- Corporate Governance (core)
- Listing Rules and Regulations
- Securities and Futures Regulations and Practices (core)
- Business and Company Law
- Anti-money Laundering - Practices and Issues

All the modules such as financial reporting compliance, internal control, listing and SFC regulations offered in tandem with each other will deliver a well-structured and comprehensive coverage of compliance. The main focus of this programme is its emphasis upon the importance of compliance issues in the increasingly stringent regulatory environment.

The programme is designed to equip students with contemporary 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 and listing regulations applicable to the listed corporations; and the application of accounting, legal and listing compliances to enhance the corporate governance in listed and private companies.
ENTRY REQUIREMENTS

Applicants shall:
a) hold a bachelor's degree in any discipline* awarded by a recognized institution;
b) 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:
   i. an overall band of 6.0 with no subtests lower than 5.5 in the IELTS;
   ii. 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;
   iii. HKALE Use of English at Grade E;
   iv. HKDSE Examination English Language at Level 3 or above;
   v. other equivalent qualifications.

Applicants with other qualifications will be considered on individual merit.

* Applicants who have not studied accounting in their prior bachelor degree education are required to take supporting modules of accounting.

MODE OF DELIVERY & CLASS DETAILS

Real-life examples and updated cases will be discussed during the class.
Either, weekday evenings, 7:00 - 10:00pm or, Saturday afternoons, 2:30 - 5:30pm, or Saturday evenings, 6:30 - 9:30pm
Medium of Instruction: English

APPLICATION DEADLINE & COURSE COMMENCEMENT

Course Commencement: February/ June/ October

ENQUIRY

Tel: 2867 8409   Fax: 2858 4750
Email: pgdce@hkuspace.hku.hk
**PERSONAL PARTICULARS**

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<tr>
<td>Permanent HK Resident</td>
<td>□ Yes □ No (if No, please see Notes to Non-local Applicants)</td>
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<td>Employer's Name / Address</td>
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| 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)

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<tr>
<th>Institution</th>
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<th>Dates of attendance (From / To)</th>
<th>Part-time or Full-time</th>
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| Name         | Full Postal Address |

**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.
EMPLOYMENT HISTORY (in reverse chronological order)

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<th>Name of Employer</th>
<th>Job Title</th>
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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 correct. 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.
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.

Use of Personal Data related to Direct Marketing
6. 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. □

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 statute 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, Declaration on Collection of Personal Data and HKU SPACE policy on personal data (privacy).

Signature
Date
APPLICATION PROCEDURES

1. Complete the application form and attach one passport size photo.

2. Submit the application form with the following documents:
   (a) certified copies of all relevant academic and/or professional qualifications
   (b) copy of HKID card / passport
   (c) A non-refundable application fee of HK$200 by crossed cheque made payable to "HKU SPACE"

3. The complete set of application forms with all relevant supporting documents may be submitted in person or by post to any of the following HKU SPACE enrolment centers*:

   (i) HKU SPACE Admiralty Learning Centre
       3/F, Admiralty Centre, 18 Harcourt Road, Hong Kong
       (Exit A, Admiralty MTR Station)
       Weekdays: 8:30 am to 7:30 pm
       Saturdays: 8:30 am to 5:30 pm
       Telephone: 3761 1111  Fax: 2559 4666

   (ii) HKU SPACE HKU Campus
        3/F, T.T. Tsui Bldg, The University of Hong Kong
        Pokfulam Road, Hong Kong
        Weekdays: 8:30 am to 6:00 p.m
        Saturdays: closed
        Telephone: 2975 5680  Fax: 2546 3538

   (iii) HKU SPACE Fortress Tower Learning Centre
        14/F., Fortress Tower, 250 King’s Road, North Point
        Hong Kong (Exit B, Fortress Hill MTR Station)
        Weekdays: 8:30 am to 7:30 pm
        Saturdays: closed
        Telephone: 3762 0888  Fax: 2508 9349

   (iv) HKU SPACE Island East Campus
        2/F, 494 King’s Road, North Point Hong Kong
        (Exit B3, North Point MTR Station)
        Weekdays: 8:30 am to 7:30 pm
        Saturdays: 8:30 am to 5:30 pm
        Telephone: 3762 0000  Fax: 2214 9493

   (v) HKU SPACE Kowloon West Campus
       38-46, Nassau Street, Mei Foo Sun Chuen (Phase 6),
       Kowloon (Exit B, Mei Foo MTR Station)
       Weekdays: 8:30 am to 7:30 pm
       Saturdays: 8:30 am to 5:30 pm
       Telephone: 3762 4000  Fax: 2302 1609

   (vi) HKU SPACE Kowloon East Campus
        1/F, 28 Wang Hoi Road, Kowloon Bay, Kowloon
        (Exit B, Kowloon Bay MTR Station)
        Weekdays: 8:30 am to 7:30 pm
        Saturdays: 8:30 am to 5:30 pm
        Telephone: 3762 2222  Fax: 2305 5070

   (vii) HKU SPACE Po Leung Kuk Stanley Ho Community College (HPHCC) Campus
         1/F, HPHCC Campus, 66 Leighton Road, Causeway Bay, Hong Kong
         Weekdays: 9:00 am to 5:30 pm
         Saturdays: closed
         Telephone: 3923 7171  Fax: 3923 7188

PROGRAMME ENQUIRIES

HKU SPACE College of Business and Finance, HKU SPACE
34/F, United Centre, 95 Queensway, Hong Kong
Tel: 2867 8409  Fax: 2858 4750  Email: pgdcc@hkuspace.hku.hk
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. Please tick the appropriate boxes.  請填妥下列問題。  願意將資料予本校研究使用之請在○內打叉。

1. Your highest education level achieved: (Please select ONE only)  請選定其中一個
   1.02 □ Secondary 5 (HKCE) or equivalent 中五（香港中學會考）或同等學歷
   1.03 □ Secondary 6 – 7 (HKAL) or equivalent 中六 - 中七（香港咭試普通會考）或同等學歷
   1.04 □ Secondary 6 – 7 (HKDSE) or equivalent 中六 - 中七（香港普通文憑會考）或同等學歷
   1.05 □ Associate degree / sub-degree / certificate / diploma 副學士 / 學士或以下學歷 / 證書

2. What are the most important factors for your choosing the present course at HKU SPACE?  請選擇對本課程選擇之最重要因素
   2.01 □ Good reputation of the institution 學校有良好聲望
   2.02 □ A variety of courses to choose 有多項課程可選擇
   2.03 □ High academic quality of the courses 教學質素高
   2.04 □ Qualification awarded are widely recognized 學歷被社會廣泛承認
   2.05 □ Good quality of teaching staff 教師資質高

3. Which channel(s) do you usually receive information on continuing education?  你通常通過下列哪些渠道獲得有關持續進修的資料?
   3.01 □ School website & School Direct Mail (SDM) 學校網頁 & 電子郵件
   3.02 □ School prospectus / programme brochure 學校宣傳單 / 課程編冊
   3.03 □ TV / radio advertising / television /电台廣告
   3.04 □ Newspaper / magazine advertising / online / 報紙 / 雜誌 / 網上廣告
   3.05 □ Transport / outdoor advertising / 各式宣傳 / 戶外廣告
   3.06 □ Internet advertising / 網絡廣告
   3.07 □ Mobile advertising / 短訊廣告

4. Profession: (You can choose MORE THAN ONE 你可以多選)
   4.01 □ Accounting / Auditing 會計 / 核算
   4.02 □ Administration / Secretarial / General Management 行政 / 秘書 / 總管理
   4.03 □ Advertising / Sales and Marketing / Customer Services 广告 / 調動及市場推廣 / 客戶服務
   4.04 □ Architectural / Building & Construction / Project Engineering / City Planning 建築 / 建築 / 城市建築及規劃
   4.05 □ Art / Creative / Design / 藝術 / 創意設計
   4.06 □ Banking / Finance / Investment / Insurance 銀行 / 財政 / 投資 / 保險
   4.07 □ Business Management 經理管理
   4.08 □ Chinese Medicine 中醫
   4.09 □ Community / Social Services 社會服務
   4.10 □ Computer Science / Information Technology 電算 / 電算科技
   4.11 □ Education / 教育
   4.12 □ Engineering / Mechanical Engineering / 機械工程
   4.13 □ Environmental Science 環境科學
   4.14 □ Food and Beverage / 食品及飲食

5. What are your areas of interest? 該課程對你有什麼興趣? (You can choose MORE THAN ONE 你可以多選)
   5.01 □ Accounting and Finance 會計及財務
   5.02 □ Architecture, Housing and Built Environment 建築 / 環境及建築學
   5.03 □ Art, Design and Performing Arts 美術 / 設計及表演藝術
   5.04 □ Business and Management 工商管理
   5.05 □ Chinese Medicine 中醫
   5.06 □ Hospitality and Tourism Management 旅業及旅遊管理
   5.07 □ Information Technology and Library Science 電算及圖書館科學

6. Are you going to pay the fee of the course you have applied for in full by yourself?  請問你會全額支付本課程的費用嗎?
   6.01 □ Yes 是
   6.02 □ No, I shall pay ______% of the course fee by myself.  我會支付 ______% 的課程費用

7. Monthly personal income 每月個人收入:
   7.01 □ $0 - $9,999
   7.02 □ $10,000 - $14,999
   7.03 □ $15,000 - $19,999
   7.04 □ $20,000 or above

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: ________________
**FOR OFFICIAL USE**

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<th>Documents received and checked</th>
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<td>Exemption granted</td>
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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.