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

Course code: AC055
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 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


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
**PERSONAL PARTICULARS**

<table>
<thead>
<tr>
<th>Name in Chinese</th>
<th>Name in English</th>
<th>Surname</th>
<th>Given Name</th>
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**Title**  *Select Mr. / Mrs. / Ms. / Miss*  *Please delete the inappropriate*

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<tr>
<th>Date of Birth</th>
<th>HKID Card / Passport No.</th>
<th>Martial Status</th>
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**Nationality**

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<tr>
<th>Permanent HK Resident</th>
<th>Yes</th>
<th>No</th>
<th>(if No, please see Notes to Non-local Applicants)</th>
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**Correspondence Address**

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<tr>
<th>Home Telephone</th>
<th>Mobile Phone</th>
<th>Office Telephone</th>
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**Current Occupation**

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

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<th>Contact Person</th>
<th>Phone</th>
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**ACADEMIC QUALIFICATION (in reverse chronological order)**

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<th>Institution</th>
<th>Award Received</th>
<th>Dates of attendance (From / To)</th>
<th>Part-time or Full-time</th>
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**Name**

**Full Postal Address**

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**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)

<table>
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<tr>
<th>Name of Employer</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 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
4. Upon enrolment, applicants will be required to submit a recent colour photo for student identification purpose.
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 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.

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 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).
Survey (Optional)

To help you 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. 擬實名報名者可填上方／右方。

1. Your highest education level achieved (please select only one) (請選填答內容一)
   - 1.001 □ Below Secondary 5 (HKECE) 以前 (或香港中學會考) 以下
   - 1.002 □ Secondary 5 (HKECE or equivalent) 中五 (香港中學會考) 成就水平
   - 1.003 □ Secondary 6 – 7 (HKAL) or equivalent 中六 – 七 (香港學士進修文憑) 或同等水平
   - 1.004 □ Secondary 6 + (HKDSE) or equivalent 中六 + (香港中學文憑) 或同等水平
   - 1.005 □ Associate degree / sub-degree / certificate / diploma 副學士／副學士文憑／會計學文憑 / 文憑
   - 1.006 □ Bachelor's degree 博士學位
   - 1.007 □ Postgraduate certificate / Postgraduate diploma 碩士證書／碩士文憑
   - 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? 如果選項未填選,請備註說明其它影響因素是什麼? (You can select the THREE most important factors and rank them from “1” to “3”, with “1” as the most important). 當選項未填選,請備註說明其它影響因素是什麼? (You can mark THREE most important factors and rank them from “1” to “3”, with “1” as the most important).
   - 2.001 □ Good reputation of the institution 機構有良好聲譽
   - 2.002 □ A variety of courses to choose from 有多種課程可選擇
   - 2.003 □ High academic quality of the courses 课程的學術質素高
   - 2.004 □ Qualification awarded are widely recognized 專業被社會廣泛認可
   - 2.005 □ Good quality of teaching staff 教師質量高

3. Which channel(s) do you usually receive information on continuing education? (若您選填,請備註說明其它影響因素是什麼? (You can choose MORE THAN ONE) (可作多個選擇)
   - 3.001 □ School website & School Direct Mail (ADM) 學院網頁／校園直郵信件
   - 3.002 □ School prospectus / programme brochure 學院短冊／課程海報
   - 3.003 □ TV / radio / advertising / community 透過電視／電台／廣告／社區
   - 3.004 □ Newspaper / magazine / advertising /。“報章／雜誌／廣告／傳媒
   - 3.005 □ Transport / outdoor advertising / soil transport / outdoor 透過交通工具／戶外交通工具
   - 3.006 □ Internet advertising / School 網絡廣告／學院
   - 3.007 □ Mobile advertising / School 網絡廣告／學院

4. Profession 行業 (You can choose MORE THAN ONE) (可作多個選擇)
   - 4.001 □ Accounting / Auditing 會計／審計
   - 4.002 □ Administration / Secretarial / General Management 行政／秘書／一般管理
   - 4.003 □ Advertising / Sales and Marketing / Customer Services 廣告／銷售及市場推廣／顧客服務
   - 4.004 □ Architectural / Building / Construction / Project Engineering / City Planning 建筑／建築／城市工程／項目工程／城規
   - 4.005 □ Art / Creative / Design 美術／創意／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
   - 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 / Machine Engineering / 電腦工程／機械工程
   - 4.013 □ Entertainment / Recreation / Sports 娛樂／康樂／體育
   - 4.014 □ Environmental Sciences 環境科學
   - 4.015 □ Food and Beverage / 購物

5. What are your area(s) of interest? (若您選填,請備註說明其它影響因素是什麼? (You can choose MORE THAN ONE) (可作多個選擇)
   - 5.001 □ Accounting and Finance 財務
   - 5.002 □ Architectural, Housing and Built Environment 開發／屋宇及環境
   - 5.003 □ Art, Design and Performing Arts 藝術／設計及表演藝術
   - 5.004 □ Business and Management 工商管理
   - 5.005 □ Chinese Medicine 中醫
   - 5.006 □ Hospitality and Tourism Management 餐飲及旅遊管理
   - 5.007 □ Information Technology and Library Science 資訊科技及圖書館科學

6. Are you going to pay the fee of the course you have applied for in full by yourself? 當選項目 allo 應報讀名額之全數支付？
   - 6.001 □ Yes 是
   - 6.002 □ No, I shall pay ______ % of the course fee by myself. 不，本次支付全額報讀名額之百分之__________

7. Monthly personal income 月收入為：
   - 7.001 □ $0 - $9,999
   - 7.002 □ $10,000 - $14,999
   - 7.003 □ $15,000 - $19,999
   - 7.004 □ $20,000 - $29,999

End 問卷完
Thanks 謝謝