

## Asset Management Fundamentals

### Overall Aim

To equip the target learners with the required knowledge and skills to enable them to enter into the Asset Management industry.

### Structure

Module	Duration	Key topics to be covered
<b>Overview of Legal and Regulatory Framework for Securities &amp; Futures Industry</b>  (Note 1, 2)	15	<ul style="list-style-type: none"> <li>Regulatory overview of the Hong Kong financial industry</li> <li>Principles of relevant Hong Kong law and the Companies Ordinance</li> <li>Securities and Futures Ordinance ('SFO')</li> <li>Licensing and registration, and subsidiary legislation</li> <li>Business conduct and client relations</li> <li>Business operations and practices</li> <li>Participating in the Hong Kong exchanges</li> <li>Corporate finance and SFC authorised products</li> <li>Market misconduct and improper trading practices</li> </ul>
<b>Financial Markets</b>  (Note 1)	15	<ul style="list-style-type: none"> <li>The global financial system</li> <li>Financial system in Hong Kong</li> <li>The equity market</li> <li>The debt market</li> <li>The foreign exchange and derivatives markets</li> <li>Financial risk management</li> <li>Applications in the financial sector</li> </ul>
<b>Regulation of Asset Management</b>  (Note 3)	10	<ul style="list-style-type: none"> <li>General Regulatory Framework</li> <li>Back-office Compliance</li> <li>Asset Management Regulations</li> <li>Misconduct</li> </ul>
<b>Asset Management</b>	10	<ul style="list-style-type: none"> <li>Overview of the Asset Management Industry</li> <li>Client Objectives and the Products Available</li> <li>Basic Theoretical Aspects of Portfolio Management</li> <li>The Investment Management Process</li> </ul>
<b>Total</b>	<b>50</b>	

*Note 1: Modules 1 & 2 are the core and shared modules of the "Back Office Fundamentals for Wealth & Asset Management Programme"*

*Note 2: 5 hour intensive class is available. However participants who have attended the 5-hour intensive class will NOT be eligible to obtain the Certificate of Completion of this programme*

*Note 3: 5 hour intensive class is available*

### **Who Should Attend**

This programme is primarily targeted to those who would like to gain a solid understanding of and/or those who plan to enter into the Asset Management industry sector.

### **Instructors**

All classes are taught by highly qualified individuals who are subject matter experts with an excellent understanding of the knowledge area. Instructors have substantial industry experiences in their relevant areas.

### **Medium of Instruction**

The medium of instruction will be in English or Cantonese.

### **Continuous Professional Training (CPT) Recognition**

Upon successful completion of each module, the participant will gain the equivalent CPT hours recognised by the Securities and Future Commission.

### **Completion Criteria**

Participants are required to attend and complete all classes specified by each module. Attendance record will be issued based on the actual attendance record. For details, please refer to [HKSI Institute's attendance policy and regulations](#).

Participants are strongly encouraged to take Modules 1 and 2 prior to taking Modules 3 and 4. Upon successful completion of all FOUR modules <sup>(Note 4)</sup>, the participant will be awarded the Certificate of Completion of this programme.

*Note 4: Participants who have attended the 5 hour intensive class of Module 1 "Overview of Legal and Regulatory Framework for Securities & Futures Industry" will NOT be awarded the Certificate of Completion of this programme.*

### **Schedule and Fees**

Module	Schedule	Fees	
		Member (Note 5)	Non Member
1. <a href="#">Overview of Legal and Regulatory Framework for Securities &amp; Futures Industry</a>	3, 5, 6, 13 & 14 September 2018	HK\$ 3,150	HK\$ 6,300
2. <a href="#">Financial Markets</a>	20, 22, 24, 27 & 29 August 2018	HK\$ 3,150	HK\$ 6,300
3. Regulation of Asset Management (10 hour class)	Not scheduled	HK\$ 2,100	HK \$4,200
<a href="#">Regulation of Asset Management (5 hour intensive class)</a>	22 & 29 November 2018	HK\$ 1,050	HK\$ 2,100
4. <a href="#">Asset Management</a>	11, 12, 17 & 19 September 2019	HK\$ 2,100	HK\$ 4,200

*Note 5 – Member refers to HKSI Institute Individual Member or Staff of HKSI Institute Corporate Members  
All fees are subject to change without prior notice.*

### ***Financial Incentive Scheme of the WAM Pilot Programme***

Effective 1 October, 2016, “Asset Management Fundamentals” is one of the eligible courses/programmes under the WAM Pilot Programme.

In-service practitioners of the financial services industry will be eligible for the Scheme. They will be reimbursed 80% of the course fees, subject to a maximum of \$7,000 (whichever is the lower) upon satisfactory completion of a course or seminar under the selected programmes of the Scheme.

Each individual may apply for fee reimbursement for more than one course / seminar, up to a ceiling of \$7,000 per person over the three-year period of the Scheme.

Application to reimburse the course fees, together with the required documents, must be submitted within **four months from the last day of the course attended**.

For **Asset Management Fundamentals Programme**, eligible individual can apply for course reimbursement upon satisfactory completion of each module. Please refer to the WAM Pilot Programme website (Financial Incentive Scheme) for application details.