



## 1. General Information

Course Subject	FINA
Course Number	3335
Course Title	Current Issues in Asset Management and Private Banking
Academic Years	2024-2025
Grading Method	Letter

## 2. Instructors

Mr POON, Chi Lik Eric  
Office: Room 103 /F K.K. Leung Building  
Email: profpoon@hku.hk  
Office: 9161 2500  
Subclasses: 1A

Mr WONG, Ming Tak Philip  
Office: Room 103 /F K.K. Leung Building  
Email: p33wong@hku.hk  
Office: 9630 7477  
Subclasses: 1A

## 4. Course Description

Course Description	<p>This course seeks to cover current development and current issues in the asset management and private banking industry. The issues identified may be related to new business opportunities, new risk areas, new development affecting the AMPB market/industry.</p> <p>Course assessment is based on group research report and the group presentation of the report. Students are to pick a topic of current issue and research on the topic. Evaluation is based on the quality of the research and the relevancy of the identified opportunity/risk to the development of the AMPB industry.</p>
Prerequisites	FINA 3383: Financial Regulations and Compliance
Co-requisites	FINA 3383: Financial Regulations and Compliance
Free Elective	Yes

## 5. Course Objectives

1. The course is to provide a practical understanding of the current opportunities and risks in the asset management and private banking business.
2. Students are expected to apply their research skills and critically analyze the background to the identified issue, its implications to the industry/market and how the industry should capture the opportunities or reduce the risk.
3. Students' interviewing skills, discussion, debating, presentation and teamwork skills should be developed.

## 5. Course Objectives

4. Students' writing skills in a research paper should also be developed.

5. Students who are interested in a career in the AMPB industry will gain insights to the current happenings in the industry and enhance their ability to understand the industry dynamics.

## 6. Faculty Learning Goals

Goal 1: Acquisition and internalization of knowledge of the programme discipline

Goal 2: Application and integration of knowledge

Goal 3: Inculcating professionalism

Goal 4: Developing global outlook

Goal 5: Mastering communication skills

Goal 6: Cultivating leadership

## 7. Course Learning Outcomes

Course Teaching and Learning Activities	Aligned Faculty Learning Goals					
	1	2	3	4	5	6
CLO1. Identifying and analyzing real business issues in the asset management and private banking industry.	✓	✓		✓		
CLO2. Able to make recommendations to capture business opportunities or reduce business risk applicable to the asset management and private banking industry.	✓	✓	✓	✓		
CLO3. To develop skills to conduct research, writing research report and deliver presentations on topics related to asset management and private banking industry.	✓	✓	✓	✓	✓	
CLO4. To understand regulatory requirements, compliance, ethics and risk management in the private banking and asset management business.	✓	✓	✓	✓		

## 8. Course Teaching and Learning Activities

Course Teaching and Learning Activities #	Expected Study Hours	Study Load (% of study)
T&L1. In-class Lectures and in-class presentation  Students are expected to present their topic proposal and the final presentation in class. Peer students should actively engage themselves in discussions and sharing their ideas. Students will also be assessed on their ability to ask questions and contribute to discussions at peer's presentation.	33	24.8
T&L2. Research & interview/meeting with industry practitioners on the research topic  Students will be connected to an industry practitioner who should be able to give some insights to the student on their selected topics. Students should prepare before meeting with the industry practitioner.	50	37.6
T&L3. Preparation for Presentation and Written Report	50	37.6

## 8. Course Teaching and Learning Activities

	Total: 133	Total: 100
--	------------	------------

## 9. Assessment Methods

Assessment Methods	Description	Weight %	Aligned Course Learning Outcomes
A1. Proposal Presentation		10%	1,2,3,4
A2. Presentation of the Report		30%	1,2,3,4
A3. Written Research Report		50%	1,2,3,4
A4. Peer discussions – in class participation		10%	1,2,3,4

## Assessment Rubrics

A1. Proposal Presentation	
A+,A,A-	Strong evidence of superb ability to fulfill the intended learning outcomes of the course at all levels of learning: describe, apply, evaluate and synthesis.
B+,B,B-	Strong evidence of ability to fulfill the intended learning outcomes of the course at all levels of learning: describe, apply, evaluate and synthesis.
C+,C,C-	Evidence of adequate ability to fulfill the intended learning outcomes of the course at low levels of learning: such as describe and apply, but not at high levels of learning such as evaluate and synthesis.
D+,D	Evidence of basic familiarity with the subject.
F	Little evidence of basic familiarity with the subject.
A2. Presentation of the Report	Each student will be graded according to the performance of his/her group. However, the Instructor has the discretion to adjust the individual student's grade based on peer evaluation by each group member and/or each student's presentation ability.
A+,A,A-	Strong evidence of superb ability to fulfill the intended learning outcomes of the course at all levels of learning: describe, apply, evaluate and synthesis.
B+,B,B-	Strong evidence of ability to fulfill the intended learning outcomes of the course at all levels of learning: describe, apply, evaluate and synthesis.
C+,C,C-	Evidence of adequate ability to fulfill the intended learning outcomes of the course at low levels of learning: such as describe and apply, but not at high levels of learning such as evaluate and synthesis.
D+,D	Evidence of basic familiarity with the subject
F	Little evidence of basic familiarity with the subject
A3. Written Research Report	Each student will be graded according to the performance of his/her group. However, the Instructor has the discretion to adjust the individual student's grade based on peer evaluation by each group member and/or each student's presentation ability.
A+,A,A-	Strong evidence of superb ability to fulfill the intended learning outcomes of the course at

Assessment Rubrics	
	all levels of learning: describe, apply, evaluate and synthesis.
B+,B,B-	Strong evidence of ability to fulfill the intended learning outcomes of the course at all levels of learning: describe, apply, evaluate and synthesis.
C+,C,C-	Evidence of adequate ability to fulfill the intended learning outcomes of the course at low levels of learning: such as describe and apply, but not at high levels of learning such as evaluate and synthesis.
D+,D	Evidence of basic familiarity with the subject.
F	Little evidence of basic familiarity with the subject.
A4. Peer discussions – in class participation	
A+,A,A-	Strong evidence of superb ability to fulfill the intended learning outcomes of the course at all levels of learning: describe, apply, evaluate and synthesis.
B+,B,B-	Strong evidence of ability to fulfill the intended learning outcomes of the course at all levels of learning: describe, apply, evaluate and synthesis.
C+,C,C-	Evidence of adequate ability to fulfill the intended learning outcomes of the course at low levels of learning: such as describe and apply, but not at high levels of learning such as evaluate and synthesis.
D+,D	Evidence of basic familiarity with the subject.
F	Little evidence of basic familiarity with the subject.

10. Course Grade Descriptors	
A+,A,A-	Strong evidence of superb ability to fulfill the intended learning outcomes of the course at all levels of learning: describe, apply, evaluate and synthesis.
B+,B,B-	Strong evidence of ability to fulfill the intended learning outcomes of the course at all levels of learning: describe, apply, evaluate and synthesis.
C+,C,C-	Evidence of adequate ability to fulfill the intended learning outcomes of the course at low levels of learning: such as describe and apply, but not at high levels of learning such as evaluate and synthesis.
D+,D	Evidence of basic familiarity with the subject.
F	Little evidence of basic familiarity with the subject.

11. Course Content and Tentative Teaching Schedule		
Topic/Session	Content	Other information
		The lectures will cover the following topics [such topics may change year-on-year as the market changes]. The lecturer will highlight recent development, current issues and opportunities, market practitioners will also be invited to share their experience and views on the latest development of some of these topics. Students are not necessarily required to confine their research to topics highlighted by the lecturer, students are free to identify other

### 11. Course Content and Tentative Teaching Schedule

		current issues/opportunities.
1	Financial and political issues arising from the global financial crisis, the fall of the global financial system and its implications.	
2	Hong Kong government's initiatives to enhance Hong Kong as an asset management centre; HKEx's proposition to broaden investors' investment choices and opportunities.	
3	Growth of China in the asset management and private banking business and its implications - wealth creation in China; QFII, RQFII; Shanghai/Shenzhen/HK shares connect; bonds connect; China Depository Receipt; HK/China mutual funds recognition.	
4	Implication and opportunities from One-belt-one-road and Guangzhou/HK/Macau Great Bay.	
5	Application of Fintech in asset management and private banking business; implications of global and universal block chain methodology development and its derivative solutions – crypto currency, common and shared ledger, smart contract, robo-advisory.	
6	Key success factors and critical risks areas of private banks and asset management companies; challenges arising from regulatory requirements and compliance requirements.	

### 12. Required/Recommended Readings & Online Materials

Reading	Lecture Notes: Before each class students can download the lecture notes from the course website in Moodle.
Textbook	Required Textbook: there is no required textbook. The lecturer will distribute relevant articles and research papers via Moodle

### 13. Means / Processes for Student feedback on Course

✓	Conducting mid-term survey in additional to SETL around the end of the semester
	Online response via Moodle site
	Others

## 14. Course Policy

### **Academic Honesty**

Plagiarism (<http://aao.hku.hk/sy3/plan-of-study/exa-and-ass/plagiarism/>)

“Plagiarism is defined as the unacknowledged use, as one’s own, of work of another person, whether or not such work has been published. It is a very serious academic offence and the University does not allow or tolerate plagiarism. Any student who commits plagiarism is liable to disciplinary action which can result in serious consequences – including expulsion from the University.

You are strongly advised to read the booklets “What is Plagiarism” and “Plagiarism and How to Avoid It” and to consult your teachers if you have any questions about how to avoid plagiarism.”

### **Cheating**

Cheating is another very serious academic offence. Any student who commits cheating on homework assignments or midterm or final examination will receive a grade “F” for the whole course. In addition, the case will be reported to the relevant Board of Examiners and/or the Senate of the University for further actions.

### **Class Attendance and Work Load**

To maximize learning experience, students are strongly recommended to attend all the lectures, submit report on time and participate actively in class and in the preparation of the research project. The work load of this course is quite heavy and students are expected to spend at least 133 contact/study hours as described above.

### **Class Conduct**

The guiding principle governing class conduct is mutual respect. All mobile phones must be switched off or on silent mode. No eating or drinking is allowed. Students should not disturb others in class.

## 15. Additional Course Information

### **Penalty for Late Submission of Assignments and Term Project**

Any late submission of homework assignments, cases, or the Term Project will be subject to a 50% penalty deduction of the respective total marks per calendar day after 11:59 pm of the due date, unless prior written permission is obtained from the Instructor under special circumstances, e.g. medical leave.