

REGULATIONS FOR THE DEGREE OF MASTER OF LAWS IN COMPLIANCE AND REGULATION [LLM(CR)]

These regulations apply to candidates admitted to the LLM(CR) curriculum in the academic year 2025-2026 and thereafter.

(See also [General Regulations](#) and [Regulations for Taught Postgraduate Curricula](#).)

LLMCRI. Admission Requirements

To be eligible for admission to the courses leading to the degree of Master of Laws in Compliance and Regulation, a candidate

- (a) shall comply with the General Regulations and the Regulations for Taught Postgraduate Curricula;
 - (i) shall hold the degree of Bachelor of Laws with at least second class honours of this University; or a qualification of equivalent standard from this University or another comparable institution accepted for this purpose; or
 - (ii) shall hold a degree in a discipline other than law with at least second class honours of this University; or a qualification of equivalent standard from this University or another comparable institution accepted for this purpose and have at least two years relevant experience and professional qualifications; or
 - (iii) shall have obtained either the Common Professional Examination of England and Wales or the Common Professional Examination Certificate of this University provided that in either case the candidate has also obtained at least second class honours degree of this University; or a qualification of equivalent standard from this University or another comparable institution accepted for this purpose and have at least two years relevant experience and professional qualifications;
 - (b) shall satisfy any other admission requirements which may be prescribed from time to time for the curriculum; and
 - (c) for a candidate who is seeking admission on the basis of a qualification from a university or comparable institution outside Hong Kong of which the language of teaching and/or examination is not English, shall satisfy the University English language requirement applicable to higher degrees as prescribed under General Regulations G2(b).
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LLMCR2. Advanced Standing

Advanced Standing may be granted to candidates in recognition of studies completed successfully no more than 5 years before admission to the curriculum. Candidates who are awarded Advanced Standing will not be granted any further credit transfer for those studies for which Advanced Standing has been granted. The amount of credits to be granted for Advanced Standing shall be determined by the Board of the Faculty of Law, in accordance with the following principles:

- (a) a candidate may be granted a total of not more than 9 credits (one course) for Advanced Standing unless otherwise approved by the Senate; and
 - (b) credits granted for Advanced Standing shall not normally be included in the calculation of the GPA unless permitted by the Board of the Faculty of Law but will be recorded on the transcript of the candidate.
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LLMCR3. Period of Study

- (a) The curriculum for the degree of Master of Laws shall normally require one academic year of full-time study and two academic years of part-time study, and shall include any assessment to be held during and/or at the end of each semester including summer semester.
 - (b) Candidates shall not in any case be permitted to extend their studies beyond the maximum period of registration of two academic years in the case of full-time candidates and three academic years in the case of part-time candidates, unless otherwise permitted or required by the Board of the Faculty of Law.
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LLMCR4. Completion of Curriculum

To complete the curriculum for the degree of Master of Laws in Compliance and Regulation, a candidate shall

- (a) satisfy the requirements prescribed under TPG 6 of the Regulations for Taught Postgraduate Curricula; and
 - (b) satisfactorily complete 72 credits in the case of a full-time study in one academic year, including a capstone experience, or 36 credits in the case of a part-time study in each of the two academic years of study, including a capstone experience.
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LLMCR5. Selection of Courses

- (a) Candidates shall select their courses in accordance with these regulations and the guidelines specified in the syllabus before the beginning of each semester. Changes to the selection of courses may be made only during the add/drop period

of the semester in which the course begins, and such changes shall not be reflected in the transcript of the candidate. Requests for changes after the designated add/drop period of the semester shall not normally be considered.

- (b) Withdrawal from courses beyond the designated add/drop period will not be permitted, except for medical reasons or with the approval of the Board of the Faculty of Law. Withdrawal without permission will result in a fail grade in the relevant course(s).

LLMCR6. Dissertation

- (a) Candidates must successfully complete LLAW6022 Advanced Research Methodology in order to be eligible to submit a dissertation.
- (b) Candidates, whether full-time or part-time, who elect to submit a dissertation shall propose a title for the dissertation, secure a supervisor, and secure the approval of the Programme Director by November 30 of the academic year in which they intend to submit a dissertation. Candidates shall submit the dissertation no later than May 1 of that academic year.
- (c) In exceptional circumstances a candidate may apply to the Board of the Faculty of Law for an extension of the period within which the dissertation must be submitted. Such application must be made at least one month before the prescribed date of submission. Late applications for extension will not be considered, except for medical reasons or with the approval of the Board of the Faculty of Law.
- (d) The candidate shall submit a statement that the dissertation represents his or her own work undertaken after registration as a candidate for the degree. The examiners may require an oral examination on the subject of the dissertation.

LLMCR7. Progression in Curriculum

- (a) Candidates shall normally be required to undertake a combination of courses and study requirements as prescribed in the curriculum regulations and syllabuses, and in the manner as specified below, unless otherwise permitted or required by the Board of the Faculty of Law:
 - (i) Candidates, who are on one-year full-time mode of study, shall normally be required to take not fewer than 27 credits nor more than 36 credits in any one semester (except the summer semester).
 - (ii) Candidates, who are on two-year part-time mode of study, shall normally be required to take not fewer than 9 credits nor more than 18 credits in any one semester (except the summer semester).

- (iii) Where candidates are required to make up for failed credits, the Board of the Faculty of Law may give permission for candidates to exceed the required curriculum study load of 72 credits.
 - (iv) In each case under (i) or (ii) above, the total number of credits taken shall not exceed the required curriculum study load of 72 credits for the normative period of study specified in LLMCR3(a).
 - (b) Candidates may, with the approval of the Board of the Faculty of Law, transfer credits for courses completed at other institutions during their candidature. The number of transferred credits may be recorded in the transcript of the candidate, but the results of courses completed at other institutions shall not be included in the calculation of the GPA. The combined total number of credits to be granted for Advanced Standing and credit transfer shall not exceed half of the total credits normally required under the curriculum of the candidates during their candidature at the University.
 - (c) Unless otherwise permitted by the Board of the Faculty of Law, candidates shall be recommended for discontinuation of their studies if they have:
 - (i) failed to complete successfully 45 or more credits (under one-year full-time study) or 18 or more credits (under two-year part-time study) in two consecutive semesters (not including the summer semester), except where they are not required to take such a number of credits in the two given semesters; or
 - (ii) failed to achieve an average semester GPA of 1.5 or higher for two consecutive semesters (not including the summer semester); or
 - (iii) exceeded the maximum period of registration specified in LLMCR3(b).
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LLMCR8. Exemption

Candidates may be exempted, with or without special conditions attached, up to 9 credits (one course) of the requirements prescribed in the regulations and syllabuses governing the curriculum with the approval of the Board of the Faculty of Law, except in the case of a capstone experience. Approval for exemption of a capstone experience may be granted only by the Senate with good reasons. Candidates who are so exempted must replace the number of exempted credits with courses of the same credit value.

LLMCR9. Assessment

- (a) Candidates shall be assessed for each of the courses for which they have registered, and assessment may be conducted in any combination of continuous assessment of coursework, written examinations and/or any other assessable activities. Only passed courses will earn credits.

- (b) Candidates suspended under Statute XXXI shall not be allowed to take, present themselves for, and participate in any assessments during the period of suspension, unless otherwise permitted by the Senate.
 - (c) Candidates shall not be permitted to repeat a course for which they have received a passing grade for the purpose of upgrading.
 - (d) Candidates are required to make up for failed courses in the following manner:
 - (i) undergoing re-assessment/ re-examination in the failed course to be held no later than the end of the following semester (not including the summer semester); or
 - (ii) re-submitting failed coursework, without having to repeat the same course of instruction; or
 - (iii) repeating the failed course by undergoing instruction and satisfying the assessments; or
 - (iv) for elective courses, taking another course in lieu and satisfying the assessment requirements.
 - (e) Where candidates are permitted or required to present themselves for re-assessment/ re-examination/ re-submission/ assessment in an alternative course under (d) above, the new grade obtained together with the previous F grade shall be recorded on the transcript and be included in the calculation of the semester GPA, year GPA and the cumulative GPA. Such candidates shall not be eligible for any mark of distinction.
 - (f) There shall be no appeal against the results of examinations and all other forms of assessment.
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LLMCR10. Absence from an Examination

Candidates who are unable through illness to be present at the written examination of any course may apply for permission to present themselves at a supplementary examination of the same course to be held before the beginning of the First Semester of the following academic year. Any such application shall be made on the form prescribed within seven calendar days of the first day of the candidate's absence from any examination. Any supplementary examination shall be part of that academic year's examinations, and the provisions made in the regulations for failure at the first attempt shall apply accordingly.

LLMCR11. Requirements for Graduation

To be eligible for the award of the degree of Master of Laws in Compliance and Regulation, candidates shall:

- (a) comply with the General Regulations and the Regulations for Taught Postgraduate Curricula;
 - (b) complete the curriculum requirements prescribed in the regulations and syllabuses within the maximum period of registration and satisfy the examiner in not fewer than 72 credits in accordance with the regulations governing examinations procedures, which shall include the successful completion of a capstone experience as specified in the syllabus; and
 - (c) have achieved a Cumulative GPA of 1.50 or above.
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LLMCR12. Grading System

Individual taught postgraduate courses shall be graded in accordance with TPG9 (a) or (c) of the Regulations for Taught Postgraduate Curricula as determined by the Board of Examiners.

LLMCR13. Classification of Awards

Upon successful completion of the curriculum, candidates who have shown exceptional merit may be awarded the degree with distinction as determined by the Board of Examiners, and this mark shall be recorded in the candidates' degree diploma.

SYLLABUS FOR THE DEGREE OF MASTER OF LAWS IN COMPLIANCE AND REGULATIONS

COURSEWORK

The Board of Examiners shall decide what proportion of the final assessment for each module shall be determined by written or other work carried out during the course of study. Candidates will be informed at the beginning of the course of the relative proportions of the final assessment to be derived from coursework and from written examinations which will be held at the end of the teaching programme.

OBJECTIVES

The LLM in Compliance and Regulation enables students to gain exposure to the laws, regulatory codes, industry practices, policies, international influences, and other considerations that affect the compliance task.

The area of compliance and regulation continues to undergo significant development and changes in response to a growing body of legal and regulatory requirements – and the consequences for breaching them – that affect how business in the financial services sector is now undertaken. Teaching provided by a team of knowledgeable and experienced academic staff as well as industry and professional practitioners bring different perspectives to the topic.

Students have the opportunity to study the current issues impacting on various areas of the financial services sector, such as financial and securities law, wealth management, insurance, money laundering, etc. as well as gaining wider perspectives including Hong Kong in the international context and relevant laws in the PRC. The range of courses offered on the programme enable students to choose subjects that suit them.

DISSERTATION

An 18-credit dissertation shall comprise a paper with required length ranging from 16,000 to 20,000 words on a legal topic approved by the Programme Director.

A 9-credit dissertation shall comprise a paper with required length ranging from 8,000 to 10,000 words on a legal topic approved by the Programme Director.

The dissertation must provide evidence of original research work and a capacity for critical legal analysis and argument.

STRUCTURE

Candidates are required to complete 72 credits, including (i) two 9-credit compulsory courses as foundations of the curriculum, (ii) a minimum of two 9-credit core compliance

and regulation courses, (iii) a minimum of one 9-credit course from a list of specialized topics courses, and (iv) a capstone experience in accordance with the regulations for this degree and the syllabuses as set out below. Candidates may choose up to two other electives from courses not listed on the Course List below, but listed as Electives on the Course List for the General LLM programme.

COURSE LIST

(Each of the courses listed below carries 9 credits unless otherwise stated)

Compulsory Foundation Courses (18 credits)

(Candidates must complete the compulsory foundation courses as a first priority to any other course selection in the same semester)

LLAW6255 Compliance and financial markets

LLAW6254 Compliance: regulation in practice

(Note: Candidates will not be allowed to take LLAW6093 Regulation of Financial Markets)

Capstone Courses (9 credits) (or 18 credits if taking LLAW6014 18-credit Dissertation as a capstone)

(Candidates must complete at least one course from the list below)

LLAW6054 9-credit dissertation#

LLAW6014 18-credit dissertation# (18 credits)

LLAW6245 Compliance in the Hong Kong securities industry*

LLAW6127 Current issues in financial law*

LLAW6312 Legal and regulatory aspects of financial risk management*

LLAW6244 Securities regulation II*

(Note: Part-time candidates will not be allowed to undertake a capstone in their first year of study)

Candidates can only enroll in either LLAW6014 or LLAW6054. Enrollment in these two courses requires prior approval by the Programme Director. Candidates must successfully complete LLAW6022 Advanced Research Methodology in order to be eligible to submit a dissertation. Part-time candidates can only enroll in either LLAW6014 or LLAW6054 in their second year of studies.

** Courses marked by an asterisk are designated as both capstone courses and core compliance and regulation courses. If more than one of these courses is selected, one of them will count towards fulfilling the capstone requirement. The remaining course(s) will count as core compliance and regulation courses.*

Core Compliance and Regulation Courses (18 credits)

(Candidates must complete at least two courses from the list below)

LLAW6153 Business and human rights

LLAW6025 China company law

LLAW6257 Compliance for listed companies

LLAW6245 Compliance in the Hong Kong securities industry*

LLAW6127 Current issues in financial law*

LLAW6088 Derivatives: law and regulation

LLAW6303 EU financial regulation and technology

LLAW6282 Financial crime: governance, risk and compliance

LLAW6222 Financial dispute resolution: Hong Kong and international perspectives

LLAW6107 Insurance law

LLAW6133 International economic law

LLAW6057 International securities law

LLAW6110 Law and regulation of banking and insurance in the People's Republic of China

LLAW6239 Law and regulation of private banking and wealth management

LLAW6256 Law of anti-money laundering and counter-terrorist financing and compliance issues

LLAW6312 Legal and regulatory aspects of financial risk management*

LLAW6046 Privacy and data protection

LLAW6049 Securities regulation I

LLAW6244 Securities regulation II*

Specialized Topics Courses (9 credits)

(Candidates must complete at least one course from the list below)

LLAW6022 Advanced research methodology

LLAW6304 AI and competition law

LLAW6139 China information technology and electronic commerce law

LLAW6185 China investment law

LLAW6186 China trade law

LLAW6124 Communications law

LLAW6279 Comparative corporate law and theories

LLAW6187 Competition law and intellectual property

LLAW6264 Competition law and policy in China

LLAW6154 Competition law I

LLAW6155 Competition law II

LLAW6194 Competition law in the digital economy

LLAW6101 Competition, mergers and acquisitions

LLAW6141 Contemporary issues of comparative platform governance

LLAW6082 Corporate governance and shareholder remedies

LLAW6171 Corruption: China in comparative perspective

LLAW6002 Credit and security law

LLAW6084 Cross-border insolvency law

LLAW6114 Cross-border legal relations between the Mainland and Hong Kong (in Putonghua)

LLAW6117 Data protection, cyber security and crime

LLAW6090 Economic foundations of competition law

LLAW6126 e-Finance: law, compliance and technology challenges

LLAW6210 Energy law

LLAW6195 Intellectual property and competition in the digital economy

LLAW6120 Intellectual property and information technology

LLAW6206 International corporate finance

LLAW6007 International dispute settlement

LLAW6037 International environmental law

LLAW6295 Issues in consumer law: theory and policy

LLAW6299 Law and wealth management

LLAW6283 Law of international civil aviation and aircraft finance

LLAW6055 Law of international finance

LLAW6323 Legal concepts and practical application in financial transactions

LLAW6302 LITE lab: emerging technology and business models (postgraduate)

LLAW6224 Mergers and acquisitions
LLAW6201 PRC taxation law and policy
LLAW6314 Regulatory aspects of ESG and sustainable finance
LLAW6305 Sanctions: law and practice
LLAW6311 Sustainability and competition law
LLAW6250 The regulation of biomedical research
LLAW6102 White collar crime: law and practice

Other Electives (0-18 credits) (or 0-9 credits if LLAW6014 18-credit Dissertation is selected as a capstone course)

Candidates should refer to the Electives listed under the Course List for the syllabus for the general degree of Master of Laws. No more than two courses may be taken from any single Cluster in the Electives.

NOTE: Not all courses will be offered in any given year. For actual courses available, please refer to annual course offerings.
