

# 國立中興大學財務金融學系

## 博士班修業辦法(103~106 級適用)

Doctoral Program Academic Regulations of the Department of Finance, National  
Chung Hsing University  
(Applicable to students in the 103rd to 106th cohorts).

民國 96 年 08 月 31 日系務會議通過  
Approved by the department's administrative meeting on August 31, 2007  
民國 99 年 04 月 13 日系務會議通過  
Approved by the department's administrative meeting on April 13, 2010  
民國 99 年 06 月 23 日系務會議通過  
Approved by the department's administrative meeting on June 23, 2010  
民國 99 年 10 月 28 日系務會議通過  
Approved by the department's administrative meeting on October 28, 2010  
民國 100 年 08 月 24 日系務會議通過  
Approved by the department's administrative meeting on August 24, 2011  
民國 103 年 02 月 12 日課程會議通過  
Approved by the department's administrative meeting on February 12, 2014

### 第一條、修業年限

博士班修業期限以二～七年為限。

1. The duration of the doctoral program is limited to 2 to 7 years.

### 第二條、學分及先修科目

博士班至少須修滿必修 6 門課 18 學分；選修 18 學分可碩、博互選但其中博士班選修課至少 4 門；研究論文 12 學分，共 48 學分方得畢業。此外，本系博士生須修習必要先修課程，課程科目及修習時間由系務會議決定。

2. Credits and Prerequisite Courses

Doctoral students must complete at least 6 required courses, totaling 18 credits, and 18 elective credits. Elective courses can be chosen from both the Master's and Doctoral programs, but at least 4 of the elective courses must be from the Doctoral program. Additionally, 12 credits must be earned for the research thesis, totaling 48 credits for graduation. Furthermore, doctoral students in the department are required to complete necessary prerequisite courses. The specific courses and their duration are determined by the department's administrative meeting.

### 第三條、主修科目

#### Major Subjects

科目名稱 Course Title		學分數 Number of Credits
1.	財務數學理論與應用 Financial Mathematics: Theory and Application	3

2.	高等財務管理 Advanced Financial Management	3
3.	計量經濟學 Econometrics	3
4.	財務經濟理論 Financial Economic Theory	3
5.	衍生性金融商品 Derivatives in Financial Markets	3
6.	投資理論 Investment Theory	3

#### 第四條、資格考試

資格考試由系務會議負責命題及評分等事宜。博士班資格考試分「財務理論」、「財務計量研究方法」二項科目。博士生得於每學期結束前(上學期即 1/31 日前;下學期即 7/31 日前)向本系提出申請參加資格考試。上學期考試日期於 3/15 日前舉行,下學期考試日期於 9/15 日前舉行,每次考試於上午進行「財務理論」資格考試,下午進行「財務計量研究方法」資格考試,每科目考試 3 小時並由 1 位老師出題。博士生必須修畢「高等財務管理」、「投資理論」課程,方得申請「財務理論」資格考試;須修畢「計量經濟學」方得申請「財務計量研究方法」資格考試。資格考試以二次為限,若第二次資格考試仍未通過,得向系務會議申請補考,是否接受補考則由系務會議決議,補考以一次為限。

入學後新作之期刊論文得抵資格考試,經系務會議審查通過確定抵免後,不得再申請為學位考試之論文。西文期刊依國科會分類標準屬 A 級期刊者,1 篇抵 2 科資格考試;屬 B 級期刊者,1 篇抵 1 科考試,2 篇抵 2 科考試。TSSCI 管理期刊或「台灣管理學刊」列為 B 級期刊。

#### 4. Qualifying Examination

The qualifying examination is managed by the department's administrative meeting, which is responsible for the examination topics, grading, and related matters. The doctoral qualifying examination consists of two subjects: "Financial Theory" and "Financial Econometrics and Research Methods." Doctoral students may apply to take the qualifying examination by the end of each semester (by January 31 for the spring semester and by July 31 for the fall semester). The exam for the spring semester is held before March 15, and the exam for the fall semester is held before September 15. Each examination consists of two parts: the "Financial Theory" exam in the morning and the "Financial Econometrics and Research Methods" exam in the afternoon. Each subject is examined for 3 hours, with one instructor responsible for setting the questions.

Doctoral students must complete the courses "Advanced Financial Management" and "Investment Theory" before applying for the "Financial Theory" qualifying exam. They must complete "Econometrics" before applying for the "Financial Econometrics and Research Methods" qualifying exam. The qualifying exam is limited to two attempts. If the student does not pass the second attempt, they may apply for a re-examination, which will be decided by the department's administrative meeting. Re-examination is limited to one attempt.

Journal articles published after enrollment may be counted toward the qualifying examination, provided they are approved by the department's administrative meeting and confirmed for exemption. Once confirmed, these articles cannot be re-applied for use as a thesis in the degree examination. Journal articles published in English-language journals classified as A-level according to the National Science Council's classification standards will count as one article for two subjects in the qualifying exam; articles published in B-level journals will count as one article for one subject in the qualifying exam, with a maximum of two articles counted for two subjects. TSSCI management journals or "Taiwan Management Review" are considered B-level journals.

#### 第五條、博士候選人

博士生修畢應修科目學分及通過資格考試後，取得博士候選人資格。

### 5. Doctoral Candidate

After completing the required course credits and passing the qualifying examination, a doctoral student will be granted the status of a doctoral candidate.

#### 第六條、論文指導教授

博士班研究生入學後，應於第一學年結束前，商請合格之教師擔任其指導教授。論文共同指導教授最多不得超過三人，其中校外教授不得超過一人。

### 6. Thesis Advisor

After enrolling in the doctoral program, students must request a qualified faculty member to serve as their thesis advisor before the end of their first academic year. The number of co-advisors for the thesis cannot exceed three, with no more than one external professor allowed.

#### 第七條、論文計畫書口試(proposal)

論文計畫書口試以口試審查行之，口試委員以符合教育部資格之助理教授（含）以上之教師為限，惟到場口試委員不得少於五位，其中校外口試委員需達三分之一以上。口試委員先行審查論文計畫書

並舉行初試口試，通過後，再依規定之申請程序，報請博士學位論文口試。

## **7.Thesis Proposal Defense**

The thesis proposal defense is conducted as an oral examination. The examining committee consists of assistant professors (or higher) who meet the qualifications set by the Ministry of Education. The number of committee members present at the defense must be no fewer than five, with at least one-third of the members being from outside the university. The committee members will first review the thesis proposal and conduct a preliminary oral examination. Once passed, the student may proceed with the application process to schedule the doctoral dissertation defense as per the established procedures.

## **第八條、學位考試委員會**

博士學位考試委員會，由校內外教授或專家五人至九人組成，其中本系及校外委員各須三分之一(含)以上，委員會召集人由委員會推薦一名校外委員擔任之，但指導教授不得擔任召集人。

## **8.Degree Examination Committee**

The Doctoral Degree Examination Committee is composed of five to nine professors or experts, both from within and outside the university. At least one-third of the members must be from the department and one-third from external members. The committee convener will be recommended by the committee members and must be an external member; however, the thesis advisor cannot serve as the convener.

## **第九條、論文考試申請**

博士生申請舉行論文考試前，應於下列之國內外學術期刊發表或被接受論文一篇（可與本所教師聯名，但需是進入博士班後新作），經系務會議審查通過，

- 一、中文期刊以 TSSCI 管理或經濟學門正式名單為範圍，投稿時或刊登時該期刊在名單上皆可；
- 二、國外期刊以 FLI、EconLit、SSCI 名單為範圍；
- 三、國際 A 級研討會接受並口頭報告一篇。論文考試申請時間及申請程序悉依照本校相關規定辦理。

博士學位考試日期須於論文計畫書口試(proposal)至少一個月後。

自 99 學年度起入學之博士生，必需遵守全部必修課程及格後方能提出口試申請。

## **9.Thesis Examination Application**

Before applying for the thesis examination, doctoral students must have one paper published or accepted for publication in an academic journal, either domestic or international (co-authored with faculty members from the department is allowed, but it must be a new

work completed after entering the doctoral program). The paper must be reviewed and approved by the department's academic committee.

1. For Chinese-language journals, the TSSCI management or economics list is used as a reference. The journal must be on the list at the time of submission or publication.
2. For international journals, the FLI, EconLit, and SSCI lists are used as a reference.
3. One paper accepted and presented orally at an international A-level conference.

The application time and procedure for the thesis examination must follow the university's relevant regulations.

The doctoral degree examination must take place at least one month after the thesis proposal defense.

Starting from the 99th academic year, doctoral students must have passed all required courses before they can apply for the thesis defense.

#### 第十條、畢業及畢業成績

博士生合於左列各項規定者，准予畢業。

- 一、在規定年限內修滿及通過規定科目與學分。
- 二、通過本規則規定之各項考試。
- 三、操行成績各學期均及格。

#### 10. Graduation and Graduation Requirements

Doctoral students who meet the following requirements will be granted graduation:

1. Complete and pass all required courses and credits within the prescribed time frame.
2. Pass all examinations specified in these regulations.
3. Obtain a passing grade in conduct (morality) for each semester.

#### 第十一條、博士學位授予

合於前條規定之博士班研究生，經報請教育部核准博士學位資格，由本校發給學位證書，授與財務學博士學位（Doctor of Philosophy in Finance）候選人。

#### 11. Awarding of Doctoral Degree

Doctoral students who meet the requirements specified in the previous article, upon approval of the Ministry of Education for doctoral degree qualifications, will be awarded a degree certificate by the university, conferring the degree of Doctor of Philosophy in Finance (PhD in Finance).

第十二條、本辦法經系務會議通過，簽請學校核備後公布之日起施行，修訂時亦同；本辦法未盡規定事項，悉依學校相關規定辦理。

12.This regulation was approved by the department meeting and will take effect from the date of publication after being signed and approved by the university. The same applies to any revisions. Any matters not covered by this regulation shall be handled in accordance with the relevant university regulations.