

# 國立中興大學財務金融學系

## 博士班修業辦法(108~114 級適用)

The Ph.D. Program Regulations of the Department of Finance and Banking,  
National Chung Hsing University (Applicable to the 108th to 114th cohorts)

民國 96 年 08 月 31 日系務會議通過  
Revised and approved by the department meeting on August 31, 2007  
民國 99 年 04 月 13 日系務會議通過  
Revised and approved by the department meeting on April 13, 2010  
民國 99 年 06 月 23 日系務會議通過  
Revised and approved by the department meeting on June 23, 2010  
民國 99 年 10 月 28 日系務會議通過  
Revised and approved by the department meeting on October 28, 2010  
民國 100 年 08 月 24 日系務會議通過  
Revised and approved by the department meeting on August 24, 2011  
民國 103 年 02 月 12 日課程會議通過  
Revised and approved by the department meeting on February 12, 2014  
民國 106 年 12 月 28 日系務會議通過  
Revised and approved by the department meeting on December 28, 2017  
民國 107 年 03 月 15 日系務會議通過  
Revised and approved by the department meeting on March 15, 2018  
民國 107 年 06 月 14 日課程會議通過  
Revised and approved by the department meeting on June 14, 2018  
民國 108 年 05 月 16 日課程會議通過  
Revised and approved by the department meeting on May 16, 2019

### 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 3 門課 9 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 39 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 3 required courses totaling 9 credits. An additional 18 credits of elective courses may be selected from both master's and doctoral programs, but at least 4 of the electives must be doctoral-level courses. Research papers account for 12 credits. A total of 39 credits must be completed in order to graduate. Additionally, doctoral students in this department must complete required prerequisite courses, the specific courses and the timing of which are determined by the department meeting.

### 第三條、主修科目

Major Subjects

科目名稱 Course Title		學分數 Number of Credits
1.	管理理論 Management Theory	3
2.	高等研究方法 Advanced Research Methods	3
3.	財務數學與衍生性金融商品 Financial Mathematics and Derivative Financial Instruments	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。博士生必須修畢本系所開設「管理理論」課程，方得申請「財務理論」資格考試；須修畢本系所開設「高等研究方法」課程，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。

入學後新作且為第一或通訊作者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 核心管理期刊列為 B 級期刊。申請人需提供完整論文確認抵免科目並到場報告，報告會場開放全體教師參與，申請人報告後離席由委員進行審查。

獲本系同意抵免資格考或認列為畢業門檻之論文，同一篇論文不得再申請為同一人或他人抵免資格考或畢業門檻論文等其它任何一項抵免，即同一篇論文僅限抵免一次。

#### 4. Qualification Exam

The qualification exam is organized and graded by the department meeting. The doctoral qualification exam consists of two subjects: "Financial Theory" and "Financial Econometrics

Research Methods." Doctoral students may apply to take the qualification exam before the end of each semester (before January 31st for the first semester and before July 31st for the second semester). The exam for the first semester is held by March 15th, and the exam for the second semester is held by September 15th. Each exam is divided into two parts: the "Financial Theory" exam in the morning and the "Financial Econometrics Research Methods" exam in the afternoon. Each subject's exam lasts for 3 hours and is administered by one faculty member.

Doctoral students must complete the "Management Theory" course offered by the department before applying for the "Financial Theory" qualification exam. Similarly, students must complete the "Advanced Research Methods" course offered by the department before applying for the "Financial Econometrics Research Methods" qualification exam.

Each doctoral student is allowed only two attempts at the qualification exam. If the student fails the second attempt, they may request a retake from the department meeting. Whether to accept the request for a retake will be decided by the department meeting, and a retake is limited to only one additional attempt.

Students who have published a new paper as the first or corresponding author in a journal after enrollment may substitute the qualification exam. The paper must have been accepted or published after entering the doctoral program and must be reviewed and approved by the department meeting for exemption. The paper cannot be used for any further qualification or degree exam substitution. For English-language journals, if the paper is published in an A-level journal according to the National Science Council classification, one paper may replace two qualification exams. If the paper is in a B-level journal, one paper replaces one subject, and two papers can replace two subjects. TSSCI core management journals are classified as B-level journals.

The applicant must provide the full paper for confirmation of the exempted subject and deliver a presentation. The presentation session will be open to all faculty members, and after the presentation, the applicant must leave the room while the committee reviews the paper.

If a paper is approved by the department for qualification exemption or recognition as a graduation requirement, it cannot be used for qualification exemption or graduation requirement by the same applicant or any other individual again. The same paper may only be used for exemption once.

#### 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

A doctoral student becomes a doctoral candidate after completing the required course credits and passing the qualification exams.

#### 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, the student 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 may not exceed three, with no more than one external advisor.

#### 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。

論文口試時開放旁聽，並由考試委員會之召集人事先指定專人詳實記錄口試過程。委員評定結果時，旁聽人員應即離席

#### 7.Thesis Proposal Oral Defense

The thesis proposal oral defense is conducted as an oral examination. The examiners must be assistant professors (or above) who meet the qualifications specified by the Ministry of Education. The number of examiners present must not be fewer than five, with at least one-third of them being external examiners. The examiners first review the thesis proposal and conduct an initial oral examination. If the student passes, they may then follow the required application procedure to apply for the doctoral thesis defense.

The oral defense is open to auditors, and a designated person, appointed by the chairperson of the examination committee, will keep a detailed record of the proceedings. When the committee evaluates the results, the auditors must leave the room immediately.

#### 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. Doctoral Degree Examination Committee

The doctoral degree examination committee consists of five to nine professors or experts, both internal and external to the university. At least one-third of the members must be from the department or external to the university. The committee chairperson will be selected from among the external members recommended by the committee, but the advisor cannot serve as the chairperson.

### 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，必需為第一或通訊作者（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。

申請人需提供完整論文並到場報告，報告會場開放全體教師參與，申請人報告後離席由委員進行審查。

一、中文期刊以 TSSCI 核心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)至少一個月後及全部必修課程及格後方能提出口試申請。

論文口試時應開放旁聽，並由考試委員會之召集人事先指定專人詳實記錄口試過程。委員評定成績時，旁聽人員應即離席

## 9. Application for Dissertation Examination

Before applying for the dissertation examination, doctoral students must have published or had accepted at least one paper in a recognized academic journal (domestic or international), as the first or corresponding author. Co-authorship with faculty members is allowed, but the paper must be a new work completed after entering the doctoral program. The paper must be reviewed and approved by the department's faculty meeting.

The applicant must provide the complete paper and present it in person. The presentation will be open to all faculty members, and after the presentation, the applicant will leave the room for the committee to conduct its review.

1. Chinese journals must be listed in the TSSCI core management or economics categories. The paper must be submitted or published while the journal is on the list.
2. Foreign journals must be listed in the FLI, EconLit, or SSCI indexes.
3. The paper must be presented at an international A-level conference.

The application procedure and timeline for the dissertation examination will follow the university's relevant regulations.

The doctoral degree examination can only be applied for after the dissertation proposal defense has been completed at least one month prior and after passing all required courses.

The dissertation defense will be open for auditing, and the committee chair will designate someone to keep a detailed record of the examination process. Once the committee begins the evaluation, the auditors must leave the room.

#### 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 eligible for graduation:

1. Completing and passing the required courses and credits within the specified time frame.
2. Successfully passing all exams as stipulated by these regulations.
3. Obtaining passing grades for conduct in 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 section, and have their doctoral degree qualifications approved by the Ministry of Education, will be issued a degree certificate by the university, conferring the degree of Doctor of Philosophy 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 Affairs Meeting and will be implemented from the date of publication after being signed for school approval. The same applies to any amendments. For matters not covered in this regulation, the relevant university regulations shall apply.