國立陽明交通大學資訊管理與財務金融學系財務金融碩士班研究生修業規章

（115 學年度入學新生適用）

Graduate Program of Finance
Department of Information Management and Finance
National Yang Ming Chiao Tung University
Academic Regulations for Master Students

(Applicable to students admitted in academic year 2026)

111.03.16　110 學年度第 4 次系課程委員會通過修訂
Stipulated at the 4th Academic Affairs Meeting in Academic Year 2021 (16 March 2022)
111.03.23　　110 學年度第 4 次系務會通過修訂
Stipulated at the 4th Academic Affairs Meeting in Academic Year 2021 (23 March 2022)
112.03.15　111 學年度第 4 次系課程委員會通過修訂
Stipulated at the 4th Academic Affairs Meeting in Academic Year 2022 (15 March 2023)
113.03.20　112 學年度第 5 次系課程委員會通過修訂
Stipulated at the 5th Academic Affairs Meeting in Academic Year 2023 (20 March 2024)

第一條　國立陽明交通大學(以下簡稱本校)資訊管理與財務金融學系(以下簡稱本系)為督促本系財務金融碩士班研究生(以下簡稱碩士生，含一般生與在職生)進修，特依據本校研究生學位授予作業規章，訂定本規章。

1. The Department of Information Management and Finance (referred to as DIF hereunder) of National Yang Ming Chiao Tung University (referred to as NYCU hereunder) hopes to supervise and encourage its master students of Graduate Program of Finance (referred to as master students hereunder, including full-time and on-job students) to study. Hence, it follows "National Yang Ming Chiao Tung University Regulations for Master and Doctoral Degrees Conferment" to stipulate "Academic Regulations for Master degree of Graduate Program of Finance."

第二條　財務金融碩士班(以下簡稱財金碩士班)一般生之修業期限以一至四年為限；在職生之修業期限以一至五年為限。

2. For the master program of Finance (referred to as IOF MA program hereunder), the study period of full-time students is limited within one to four years, and that of on-job students is within one to five years.

第三條　本校其他系所碩士班研究生若欲轉入本碩士班就讀，須先獲得原就讀系所之同意，且獲得本系教師二人以上推薦，方得提出申請，由本系負責審查，並將審查結果報系務會議核定。若獲通過，則自通過後之次一學年度起轉入本系就讀。

3. Graduate students of other departments or institutes of NYCU may apply to transfer to IOF MA program, if they acquire the approval of the original departments or institutes, and acquire recommendations of more than two teachers from our department. The DIF should examine the applications, and submit the examination result to the Academic Affairs Meeting for approval. Students who acquire the approval should transfer to IOF MA

program in the next semester.

第四條 碩士生先修課程為：

一、 財務工程組/財務決策組：「經濟學」、「會計學」、「統計學」三科。研究生於入學後，得憑大學以上成績單或其他同等級課程相關證明提出申請，可免修或改修相關課程，由本系審核，成績及格即可免修。

二、 資料科學組：「資料結構」、「程式設計」、「經濟學」、「統計學」(或「機率學」)四科。研究生於入學後，得憑大學以上成績單或其他同等級課程相關證明提出申請，可免修或改修相關課程，由本系審核，成績及格即可免修。

4. The preliminary courses of master students are as follows:

(1) Financial Engineering / Financial Decision: Economics, Accounting, and Statistics, 3 credits for each subject. Students may apply to exempt the courses or change to other courses according to their transcriptions of university level or above, or certificates of other programs at the same level after enrollment. After being reviewed by the department, students who pass the grades can be exempted to study the preliminary courses.

(2) Data Science: Data Structure, Programming, Economics, and Statistics (or Probability), 3 credits for each subject. Students may apply to exempt the courses or change to other courses according to their transcriptions of university level or above, or certificates of other programs at the same level after enrollment. After being reviewed by the department, students who pass the grades can be exempted to study the preliminary courses.

第五條 碩士生擇定指導教授之規定如下：

一、繳交指導教授申請表的期限：

（一）財務工程組/財務決策組：研一上學期的 12 月 1 日至 12 月 15 日由班代統籌舉辦教授研究領域說明會；12 月 16 日起可個別與教授約談並簽署指導教授申請表，指導教授申請表繳交期限為研一上學期的 12 月 16 日起至研一下學期的開學第 2 週止。

（二）資料科學組：放榜後可個別與教授約談並簽署指導教授申請表，指導教授申請表繳交期限為放榜後至研一上學期開學第 1 週結束前。

（三）碩士生逾期未敦請指導教授者由系主任約談，並通知家長。

二、指導教授至少一人須為本系主聘之專任教師。本系專任教師每學年指導本碩士班同一屆學生之名額上限為：當屆學生人數(含僑生、陸生、外籍生)除以當學期專任教師人數並無條件進位後再加 1。

三、指導學生名額的計算：由二位或以上教師共同指導者，以指導教授人數之倒數來計算指導學生的名額；如共同指導者為非本系主聘之專任教師(即

外系或外校教師或系內兼任教師)，系內教師的指導學生名額以 1 人次計算。本校教師與研究生具有配偶、前配偶或三親等內之血親或姻親，或曾有上述關係者，不得擔任其論文指導教授。

四、 研究生於就讀期間，如擬終止論文指導關係或更換論文指導教授，應以書面文件向本系提出申請，經完成本系規定之程序後生效，無須經原指導教授同意。研究生申請終止論文指導關係或更換指導教授時，在原指導教授提供原始構想或概念及受指導下所獲得之研究成果，須經原指導教授同意，始得作為學位論文。研究生提出之學位論文與本系專業領域不符或有違反學術倫理情事時，由教師評審委員會審議指導教授應負之相應責任。

五、 指導教授欲終止指導關係，應依規定，以書面文件向本系提出申請，由本系協調，並通知研究生審查結果。終止指導關係後，本系得協助研究生另覓指導教授。研究生無法覓得指導教授或指導教授因生病、辭職、出國或其他因素無法再繼續指導時，本系應提供研究生必要之協助。

六、 本條文第四項、第五項追溯適用財金碩士班全體在學學生。

七、 本條文若有未盡事宜或有爭議時，依據本校「論文指導教授與研究生互動準則」辦理。

5. The rules for MA Students to select advisors are as follows:

(1) the deadline of submitting the advisor application form:

A. Financial Engineering / Financial Decision: hold the meeting of Professor's research field introduction by the class leader during December 1 to December 15 in the first semester of first year after enrollment.

B. Data Science: After being admitted, students can have an individual interview with the professor and sign the application form. The deadline for submitting the application form is from being admitted to before the end of the first week of the first semester.

C. Students will be interviewed by department chairperson, and their parents will be informed if they didn’t select advisors before the deadline.

(2) at least one of the advisors should be the full-time teachers in our department. The upper limit of the number of full-time teachers of the department to guide the same class of students in each academic year is: the number of students in the current year (including overseas Chinese students, mainland students, and foreign students) divided by the number of full-time teachers in the current semester, plus 1 after unconditional carry.

(3) rule of counting the number of guided students: For those who are jointly supervised by two or more teachers, the number of guided students shall be calculated based on the reciprocal of the number of advisors; if the co- advisor is a full-time teacher who is not hired by the department head (i.e. a teacher from an external department or school or a part-time teacher in the department) , the number of students guided by teachers in the department is counted as 1 person. No advisor can be the spouse, ex-spouse, or have

had blood relative or in-law within three degrees of consanguinity of the students.

(4) During the study period, if students are planning to change advisor, they should submit a written application to the department and the application will be effective after completed the department process and the application doesn't need the consent of the original advisor. When students changed advisor, they will need the consent of the original advisor if they are going to use the research result which is come from the guidance of the original advisor as their degree thesis. When students' degree thesis does not conform to the professional field of our department or violates academic ethics, the Faculty Evaluation Committee shall review the corresponding responsibilities of their advisor

(5) The advisors who plan to terminate the guidance to students, in accordance with the regulations, should submit a written application to the department, and the department will process the application and notify results to the students. After the termination of guidance to students, the department may assist students to find another advisor. The department should assist students to find another advisor if students cannot find an advisor or their advisor is unable to guide them because of sickness, resigned, go-abroad or other reasons.

(6) The fourth and fifth items of this rule are applied retrospectively to all master students.

(7) Matters not covered in this rule shall be handled in accordance with the National Yang Ming Chiao Tung University Guidelines for interaction between advisors and graduate students.

第六條 財務金融碩士班分「財務工程組」、「財務決策組」及「資料科學組」3 組；碩士生修課，依本碩士班之修課規定辦理。

6. The graduate program of finance consists of three groups: "Financial Engineering," "Financial Decision," and " Data Science." Students should study in accordance with the "Academic Requirements for Master Students".

第七條 碩士生入學後，得申請抵免部分學分，經本系審查通過後方得抵免。抵免學分之限制如下：

一、 非本財金碩士班開設之課程，抵免之總學分數不得超過 12 學分；由本財金碩士班開設之課程，學分數皆可抵免。

二、 申請抵免學分之學科名稱與學分數，原則上應與曾修習及格之學科名稱與學分數相同，申請時須附有學分證明。

三、 大學部曾先修研究所課程，成績達研究所及格標準且該學科不計入大學部畢業學分數者，方得申請該學科之抵免。

四、 抵免學分者仍至少須在校修業一年(不含休學)且符合財金碩士班畢業相關規定。

五、 抵免學分申請應於取得學分後次學期(新生為入學後第一學期)開學後第一週結束前辦理，因故逾期再申請者，須經系務會議同意。

六、 碩士生於入學前修習非財金碩士班開設但性質相同之課程，若同意抵免財金碩士班必修課程，需另修同等學分替代，但可抵免學分以 6 學分為上限。

七、 學生不得申請抵免非財金碩士班課程之選修學分，與本校管理學院有雙聯學位合作關係之外國學校所開設之財金相關課程不在此限。與本校管理學院有雙聯學位合作關係之外國學校所開設之財金相關課程，經申請核准者得列入選修學分，但最多採計 12 學分(含非本財金碩士班所開設之課程 6 學分在內)。

7. After admission, students may have partial credits waived by applying for the approval of our department. The limitations of waiving credits are listed as follows:
   (1) Credits of the courses offered by other departments or institutes can be waived for at most 12 credits. Credits of courses offered by DIF can be all waived.
   (2) The course title and credits of the courses applied to be waived should be the same as the course title and credits of the completed courses. The application should be attached with the credit statement.
   (3) The course of graduate institute completed in the undergraduate period may be applied to be waived if the grade of the course is fulfilled the passing grade, and the course is not accumulated in the graduate credits of undergraduate certificate.
   (4) Students who apply to waive credits should study in NYCU for at least one year (except for suspension), and they should fulfill the relevant graduation regulations of the Graduate Program of Finance.
   (5) Students should apply to waive credits by the end of the 1_{st} week of school beginning in the next semester after acquiring the credits (the 1_{st} semester for the first grader). Otherwise, the delayed applications should be approved by the Academic Affairs Meeting.
   (6) If the required courses of IOF MA program are approved to be waived by the courses of the same type offered by other departments or institutes of former study, students should acquire other credits at the same level as the substitute, but only 6 credits at most can be waived.
   (7) Students should not apply to waive the elective credits offered by other departments or institutes, except for the courses offered by the overseas universities conducting the dual-degree with the College of Management of NYCU. The courses offered by these overseas universities may be applied to be counted in the elective credits, but at most 12 credits can be adopted (including the 6 credits offered by other departments or institutes).

第八條　碩士生提交碩士論文計劃書前，須修滿 15 學分(該 15 學分不包括先修課程之學分及本碩士班修課規定所列財金理論與實務課程之學分)。

8. Before raising thesis proposals, students should accomplish 15 credits (which do not include the credits of preliminary courses or the credits of the course "Theory and Practice in Finance" listed in the Academic Requirements).

第九條　碩士生須於財金碩士班指定期間內提交論文計劃書，由指導教授負責審查。

9. Students should submit their thesis proposals within designated period for the review by their advisors.

第十條　碩士生須於畢業當學期開學後四週內提交論文初稿，並由指導教授以及至少一位審查委員(非指導教授)審查通過，未通過者當學期不得參加學位考試。

10. Students should submit their draft theses within four weeks after the graduation semester started. The draft theses should be reviewed by advisors and a committee who is not the advisors of the theses. Students who do NOT pass the review are NOT allowed to apply for the degree defense.

第十一條　本班碩士生完成碩士學位應修課程(經審查通過可免修或抵免者除外)，獲得應修學分數並通過獲得本班碩士學位所須通過之其他考核規定，提出論文，得申請碩士學位考試，經碩士學位考試委員會考試通過且完成論文者，由本校授予碩士學位。當學期結束才可完成碩士學位應修課程及應修學分數者，若提出論文，經指導教授推薦，得提早舉行碩士學位考試，俟課程完成並獲得應修學分數後授予碩士學位。未能於該學期完成應修課程者，學位考試成績不予採認。

11. Upon completing the required courses (except the exemptions and waived courses after approval), receiving the minimum graduation credits, passing all qualification exams pertaining to the program, and submitting the thesis, master students may apply for an oral defense. After the approval from the oral defense committee, NYCU will confer a master degree upon the students. However, the students who have submitted a thesis and are recommended by the adviser may apply for an oral defense even if they have not completed the required courses and accumulated the minimum graduation credits by the end of the semester. NYCU will confer a master degree upon the students after they have completed the required courses and accumulated the minimum graduation credits. Students' score of degree defense should not be adopted if they do NOT complete the required courses by the end of the semester.

第十二條　學位考試含論文考試及論文審查。研究生應於學位考試之前完成「論文原創性比對」，供學位考試委員參考。

12. The degree defense consists of oral defense and thesis review. Student who conducts the

oral defense shall first complete the “thesis originality check” and submit the result to the members of the oral defense committee.

第十三條　碩士學位考試以口試行之，並依下列規定辦理：

一、 碩士學位考試委員會置委員三至五人，就校內外學者專家中對該研究生之研究領域有專門研究，並具備下列資格之一者，向校長推薦，由校長遴聘組成之。

(一)、 現任或曾任教授、副教授、助理教授。

(二)、 中央研究院院士、現任或曾任中央研究院研究員、副研究員、助研究員。

(三)、 獲有博士學位，且在學術上著有成就者。

(四)、 研究領域屬於稀少性、特殊性學科或屬專業實務，且在學術上或專業上著有成就者。

前項第三款、第四款資格之認定基準，由系務會議訂定之。研究生之配偶、前配偶或三親等內之血親、姻親，不得擔任其碩士學位考試委員。

二、 口試由財金碩士班安排固定期間公開舉行，並於事前公佈口試時間、地點及論文題目。

三、 學位考試委員應親自出席，不得委託他人為代表，學位考試須至少有三名委員出席，始得舉行。

四、 學位考試成績，以 B-(百分制七十分)為及格，A+(百分制一百分)為滿分，並以出席委員評定分數平均決定之，但有二分之一(含)以上出席委員評定不及格者，以不及格論，不予平均。

五、 論文有造假、變造、抄襲、由他人代寫或其舞弊情事，經學位考試委員會審查確定者，學位考試成績以零分登錄且不得重考。

13. The degree defenses for master students are generally conducted orally. All oral defenses must comply with the following rules:

(1) There will be three to five members to form a committee for the MA degree oral defense, and were choose from scholars and experts. They must specialize in the area the applicant has studied and fulfill at least one of the following requirements. The committee members were screened and appointed by the university president.

A. Is or was a professor, associate professor, or assistant professor.

B. Is a research fellow, or is or was a researcher, associate researcher, or assistant researcher of Academia Sinica.

C. Holds a doctoral degree, and has outstanding academic achievements.

D. Has been researching in a rare, specific, or practical field, and has outstanding academic or professional achievements.

The qualification criteria of items (3) and (4) should be drawn up at the meeting of department. No committee member can be the spouse, ex-spouse, blood relative or in-law within three degrees of consanguinity of the master’s candidate.

(2) All oral defenses must be conducted openly in fixed time arranged by IOF MA program. The time and place of the oral defense and the title of thesis must be announced in advance.

(3) All members of an oral defense committee must attend the oral defense in person; stand-ins are not permitted. An oral defense for the degree may take place only when attended by at least three committee members.

(4) The passing grade of the oral defense is B- (70 for percentage grades) and the full marks of the oral defense is A+ (100 for percentage grades). The result determined by the average scores given by the present committee members. Nonetheless, a candidate is regarded as failed and no average score should be calculated if more than one-third of present committee members give the scores below the passing grade.

(5) If the thesis is falsified, altered, plagiarized, written by others or cheated, and is confirmed by the degree examination committee, the degree examination score will be recorded as zero and no re-examination is allowed.

第十四條　論文通過口試者由口試委員明示論文修改方向及要點，做為學生修改論文之依據，學生修改論文後應提交論文審查，論文審查至少須經三分之二考試委員同意始為通過。論文審查不另評分，論文審查通過者，由出席論文考試之委員簽署「論文口試委員會審定書」。完成論文審定者，論文考試成績即為學位考試成績。**修改後之論文定稿應完成論文原創性比對報告並經指導教授確認，且扣除引用學生本人為作者發表之文章比例之後，論文原創性比對相似度不得高於20%。**

14. For candidates passing the oral defense, members of the oral defense committee should demonstrate the directions and key points explicitly for the candidates' reference to revise the thesis. The candidates should submit the revised thesis for review. They will pass the review under the agreement of two-thirds of the oral defense committee members. The review does not offer the score separately. For candidates passing the dissertation review, " Thesis Approval Form " should be signed by all committee members of the oral defense. After candidates finish the thesis review, the score of thesis review will become the score of the oral defense. The final version of dissertation should complete the “thesis originality check” and confirmed by advisor. After deducting the proportion of articles published by the students themselves as authors, the originality check of the papers should not exceed 20%.

第十五條　學位考試通過後，學生應於考試當學期繳交「學位考試成績資料表」至註冊組，第一學期需於1月31日前繳交；第二學期需於7月31日前繳交。

通過學位考試之研究生，應繳交學位考試成績資料表、學位論文紙本、學位

論文原創性比對報告、學位論文學術倫理暨原創性比對聲明書，將論文摘要及全文電子檔上網建檔，並完成畢業離校程序後，註冊組始得發給學位證書。學位論文紙本之繳交期限為舉行學位考試日的次學期上課開始日前最後一個工作日，逾期未繳交論文紙本且未達修業年限者，次學期仍應註冊。

修業年限屆滿者，未於年限屆滿當學期繳交學位考試成績資料表或未於次學期上課開始日前最後一個工作日前繳交紙本論文，應予退學。

本條文追溯適用財金碩士班全體在學學生。

15. If the students pass the oral defense, they should submit the Thesis Defense Grading Sheet to Division of registrar before end of the semester of oral defense. The first semester should submit the grades before January 31, and the second semester should submit the grades before July 31.

    Students who pass the oral defense should submit the Thesis Defense Grading Sheet, hardcopy of dissertation, thesis originality check of the dissertation, and Statement of Academic Ethics and thesis originality check. The Division of Registrar will issue students the diploma after students upload the dissertation to the Electronic Theses & Dissertations System and complete the graduate leaving procedures.

    If students do not submit the grades by the end of the maximum study period, the student is deemed failed and required to drop out of NYCU in accordance with regulations. The deadline of hand out the hardcopies of dissertation will be the last working day before the forthcoming semester begin after the oral defense. If students do not hand out the hardcopies before the due date, then they will need to pay tuition fee for the forthcoming semester if they are unexpired of study period.

    If students are expired of study period and do not submit the grades in the latest semester or do not hand out the hardcopies of dissertation before the last working day of the forthcoming semester begin after the oral defense, the student is required to drop out of NYCU in accordance with regulations.

    This rule is applied retrospectively to all master students.

第十六條　碩士生在財金碩士班修滿畢業學分，且通過學位考試者，並依規定完成所有手續者，即依規定授予財務金融碩士學位，重試以一次為限。碩士生在規定修業期限內未能通過學位考試者，應令退學。

16. For master students who have completed the requirement credits (except preliminary courses) passed the oral defense, and finished all procedures according to regulations, NYCU will confer a master degree in Finance upon them. Retrial will be limited within once. Those who fail to pass the oral defense within the maximum period of study are required to drop out of NYCU.

第十七條　碩士學位論文(含摘要)以中文或英文撰寫為限，並須符合「國立陽明交通大學碩、博士學位論文格式規範」。學位考試通過後內應將論文摘要及全文電子檔上網建檔(依照「國立陽明交通大學圖書館學位論文摘要及全文電子檔建檔規範」辦理)，並繳交論文二冊(一冊本校圖書館陳列，一冊由教務處彙轉教育部指定之收藏單位收藏)，本系收藏冊數由財金碩士班自訂。

17. Master theses (including abstracts) must be written primarily in Chinese or English and comply with the "NYCU Format for Thesis." A student is required to post an electronic

version of the abstract and thesis on the university website within one month after passing the oral defense (please refer to NYCU Library Abstract, Thesis and Dissertation Electronization Specification for details). A student must also submit two copies of the thesis (one displayed in the library and one submitted to the Office of Academic Affairs for transmission to appropriate archival units specified by the Ministry of Education). The number of copies for collection in our department is determined by IOF MA program.

第十八條　本規章未盡事宜，悉依本校研究生學位授予作業規章辦理之。

18. Matters not covered in this regulation shall be handled in accordance with the National Yang Ming Chiao Tung University Regulations for Master and Doctoral Degrees Conferment.

第十九條　110學年度(含)後入學之學生提出申請，並經指導教授及系主任同意後亦可追溯適用本辦法。

19. Applicable also to students admitted after academic year 2021 (included) retrospectively under the approval of student's advisor and the department chairperson.

第二十條　本修業規章由系課程委員會會議訂定，經管理學院課程委員會及校級課程委員會審查，修訂時亦同。

20. The Regulations and their revisions will be implemented after being passed at the Academic Affairs Meeting, examined for approval at College Academic Office and University Academic Office. The same procedure will be applied if the regulation is amended.