

# **National Yunlin University of Science and Technology Department of Finance**



## **2025 Academic Year Doctoral Program Admissions Handbook**

*"This English version is translated by AI for reference only. In the event of any discrepancy between the Chinese original and the English translation, the Chinese version shall prevail."*

**September 2025**

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# About Us

## I. History

- 1996 Department of Finance was established.
- 1999 Ph.D. program of College of Management was established. We offered teaching and research to the finance division.
- 2000 Master program was established.
- 2001 Undergraduate program (four-year bachelor) and EMBA program and continuing education classes were established. We had continuing education classes in Douliou and Taichung.
- 2006 Ph.D. program is established.
- 2007 Two-year college (including in-service program) stopped enrolment.
- 2009 2+2 Joint-Degree Program (contracted with Foreign Trade University in Vietnam) was established.
- 2011 Enroll foreign students in PhD program.  
Finance and Banking joint professional master degree program signed contract with AIT.  
Signing MOU contract, Exchanging Students and Dual-degree contract with Woosong University.
- 2012 Signing MOU, Joint education program framework agreement, 2+2 Dual-degree and 1+1 master Dual-degree contract with Nong Lam University.  
Signing MOU contract with Vietnam DongNai University.
- 2013 Held Taiwan Finance Association International Conference.
- 2014 Set up English master program courses.  
Accredited by the Association to Advance Collegiate Schools of Business (AACSB)  
Enroll 9 Indonesian students in master program.  
Enroll 1 Vietnamese students in Doctorate.
- 2015 Held 2016 Joint Meeting of the Cross-Strait Financial Education Alliance and the Central Taiwan Finance Association (CTFA)  
Accredited by the Accreditation of Chinese Collegiate School of Business(ACCSB)
- 2016 The first batch of government-supported Indonesian students were graduated and the first batch of lecturer trained by Department of Finance who work at University in Indonesia.  
FinTech program is established.  
Set up FinTech Lab.
- 2017 Set up Financial Big Data center.
- 2018 Set up Finance Innovation Classroom.
- 2024 Set up Sustainable Finance Lecture Classroom.

## II. Educational Features

### 【Next-Gen Finance × Diversified Professional Cultivation】

Our systematic four-year curriculum is structured around five core pillars, designed to deepen students' financial expertise, align with industry trends, and build solid career competitiveness.

1. **Foundational Economics & Finance:** Courses ranging from Calculus, Economics, Accounting, and Statistics to Financial Management build robust analytical capabilities and logical reasoning for future decision-making.
2. **Regulations & Professional Ethics:** Courses like Commercial Law, Civil Law, Financial Regulations, and Business Ethics foster a strong sense of legal compliance and professional integrity in financial practices.
3. **Advanced Financial Management:** Covering Investments, Financial Institutions, Futures & Options, and Financial Statement Analysis, and extending to Portfolio Analysis, Financial Engineering, and Risk Management to equip students with market interpretation and trading capabilities.
4. **Fintech & Data Analytics:** Integrating Programming, Computer Applications, Financial Data Analysis, Machine Learning, and Quantitative Trading to strengthen cross-disciplinary digital skills and AI applications.
5. **Practice-Oriented Career Exploration:** Bridging academia and the workplace through Practical Projects, Summer/Semester Internships, and Professional Certifications to ensure students are fully career-ready upon graduation.

### 【Comprehensive Expertise × Practice-Driven Faculty】

- **Top-Tier Faculty Across Five Domains:** Our department boasts a premier faculty lineup bridging theory and practice across: (1) Corporate Finance & Management, (2) Investments, Fintech & Quantitative Trading, (3) Banking, Insurance & Real Estate, (4) Asset Valuation & Financial Derivatives, and (5) Industrial Economics & Econometrics.
- **Dual Focus on Research & Industry Practice:** Holding prestigious credentials such as CPA, CSIA, and ISO international certifications, our faculty members consistently lead National Science and Technology Council (NSTC) projects, government commissions, and industry collaborations. Their active engagement in international journals and cross-institutional research ensures students master the latest global trends.

### 【A Legacy of Excellence × Global Recognition】

- **Elite AACSB Accreditation:** Driven by a steadfast commitment to educational quality, the College of Management earned accreditation from the **Association to Advance Collegiate Schools of Business (AACSB)** in 2014, placing it among the top 5% of business schools globally alongside institutions like Harvard and Stanford. Following successful re-accreditation in 2019 and 2024, it stands as **the first university of science and technology in Taiwan to achieve this honor three consecutive times.**

- **A Passport to the World:** Degrees awarded by the College of Management carry global mobility and are widely recognized by AACSB member schools worldwide. Additionally, the college is exempt from regular evaluations by the Ministry of Education, offering students a gold-standard international credential.

### III. Mission and Learning Goals

| Learning Goals           | Learning Objectives                                                                                                          |
|--------------------------|------------------------------------------------------------------------------------------------------------------------------|
| Problem-solving ability  | Students are able to use information technologies to solve problems.                                                         |
| Analytical ability       | Students are able to use fundamental knowledge to solve problems.                                                            |
| Communication skill      | Students are able to communicate both in speech and in writing.                                                              |
| Teamwork and cooperation | Students demonstrate teamwork by listening to, sharing with, and supporting the efforts of members from diverse backgrounds. |
| Global perspective       | Students show awareness and understanding of global perspectives.                                                            |
| Professional ethics      | Possess professional ethics and positive attitude.                                                                           |
| Social participation     | Engage with societal and environmental needs and concerns.                                                                   |

### IV. Facilities and Equipment

Our department is fully committed to providing students with a state-of-the-art learning and research environment, aimed at fostering professional competence and hands-on experience. Our key facilities include:

1. **Professional Classrooms & Case Study Rooms:** Equipped with high-definition projection systems and premium audio equipment, these spaces offer a highly comfortable and collaborative environment for interactive learning and group discussions.
2. **FinTech Lab:** Configured with advanced computer hardware and cutting-edge financial statistics and analysis software—including SAS, SAS Viya, Stata, EViews, and the XQ/XS Securities Trading Platform—to support students in advanced data analytics and simulated trading.
3. **Financial Big Data Center:** Housing a comprehensive collection of premium financial and economic databases—such as Compustat, Thomson Reuters Datastream, and TEJ (Taiwan Economic Journal)—to satisfy all academic research and project analysis needs.
4. **Sustainable Finance Lecture Room:** Featuring high-definition display systems and flexible lounge spaces, this facility is designed to foster professional networking, student interaction, and cross-disciplinary collaboration.

## Overview of Facilities and Equipment

### I. Computing Facilities

- **FinTech Laboratory (MA314):**
  - Classroom broadcasting system (1 set)
  - Personal computers (83 units)
  - Multi-screen video wall (1 set)
  - LED display screen (1 unit)
- **Financial Big Data Center (MA313):**
  - Dedicated workstations for Compustat & Datastream (2 units)
  - General personal computers (8 units)

### II. Research & Academic Space

- **Ph.D. Research Room (MA200 [Ext. 5493]):**
  - Personal passcode-protected lockers
  - Personal computers (3 units)
  - Network printer (1 unit)
  - Independent static IP addresses
  - Bulletin board

### III. Statistical Software & Databases

#### A. Software & Operating Systems

- Operating Systems & Utilities:** Windows 11, Microsoft Office 2016 / 2021, ESET NOD32 Antivirus.
- SAS (Includes BASE, GRAPH, STAT, ETS):** Advanced statistical analysis software widely utilized in social sciences.
- EViews:** Specialized software for econometric analysis, forecasting, and modeling.
- Stata:** Comprehensive statistical software package for quantitative data analysis.

#### B. Subscribed Databases

- **TEJ (Taiwan Economic Journal) Database:** Comprehensive financial data for Taiwanese market analysis.
- **S&P Capital IQ Research Insight:** In-depth financial statement and market data for U.S. corporations.

## IV. Financial & Statistical Software Specifications

| Software | Primary Purpose                               | Version             |
|----------|-----------------------------------------------|---------------------|
| SAS      | Statistical Analysis Software                 | V9.4 (Windows)      |
| SAS Viya | High-Performance AI & Data Analytics Platform | Latest Cloud-Native |
| E-views  | Econometric Forecasting & Analysis Software   | V14 (Windows)       |
| Stata    | Comprehensive Statistical Software Package    | V18 (Windows)       |

## Faculty and Staff members

### I. Faculty

With 14 faculty members, including 3 professors, 9 associate professors, 2 assistant professors.

| Name                 | Position                                                                           | Education                                                                           | Ext               | Office | E-Mail<br>@yuntech.edu.tw | Specialties                                                                                                                       |
|----------------------|------------------------------------------------------------------------------------|-------------------------------------------------------------------------------------|-------------------|--------|---------------------------|-----------------------------------------------------------------------------------------------------------------------------------|
| Kuo,<br>Shew Huei    | Chairperson of<br>Finance<br>Department<br>and Associate<br>Professor              | Ph.D. in<br>Economics, Iowa<br>State University,<br>USA                             | 5418<br>、<br>5400 | MD505  | kuosh                     | Financial Risk<br>Management, Time<br>Series Econometrics,<br>and Financial Markets                                               |
| Lin,<br>Hsien Ping   | Associate<br>Chairperson of<br>Finance<br>Department<br>and Associate<br>Professor | Ph.D. in Finance,<br>National Chung<br>Cheng University,<br>R.O.C.                  | 5419              | MD502  | lsping                    | Corporate Finance,<br>Investment, and<br>Venture Capital                                                                          |
| Chiang,<br>Ming Chu  | Professor                                                                          | Ph.D. in<br>Finance, National<br>Sun Yat-sen<br>University, R.O.C.                  | 5421              | MD503  | mingchuc                  | Real Estate Finance,<br>Risk Management, and<br>ESG consulting                                                                    |
| Chou,<br>Shu Ching   | Professor                                                                          | Ph.D. in Business<br>Administration, Na<br>tional Sun Yat-Sen<br>University, R.O.C. | 5417              | MD510  | chouc                     | Corporate finance 、<br>Corporate<br>governance 、<br>Financial Accounting                                                          |
| Cheng,<br>Cheng Ping | Professor                                                                          | Ph.D. in<br>Economics ,<br>Michigan State<br>University, USA                        | 5341              | MA340  | cpcheng                   | Institution Economics,<br>History of Economic<br>Thought, Industrial<br>Economics, China's<br>Economy and<br>Quantitative Methods |

| Name                 | Position                                                                           | Education                                                                             | Ext  | Office | E-Mail<br>@yuntech.edu.tw | Specialties                                                                                                                                                             |
|----------------------|------------------------------------------------------------------------------------|---------------------------------------------------------------------------------------|------|--------|---------------------------|-------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| Hsu,<br>Ai Chi       | Vice Dean,<br>Chairperson<br>of Academic<br>Programs and<br>Associate<br>Professor | Ph.D. in<br>Economics,<br>Michigan State<br>University, USA                           | 5413 | MD417  | hsuac                     | Econometrics,<br>Financial Market, and<br>Economics                                                                                                                     |
| Lin,<br>Shin Hung    | Associate<br>Professor                                                             | Ph.D. in Finance,<br>National Taiwan<br>University, R.O.C.                            | 5416 | MD418  | shlin                     | Investment, Financial<br>Engineering, and<br>Financial Management                                                                                                       |
| Lai,<br>Yi Hsun      | Associate<br>Professor                                                             | Ph.D. in Finance,<br>National Chung<br>Cheng University,<br>R.O.C.                    | 5420 | MB404  | laiyihsu                  | Risk Management and<br>Insurance,<br>Insurance Financial<br>Management,<br>Property-Liability<br>Insurance,<br>and Financial<br>Institutions<br>Management              |
| Liu,<br>Chih Liang   | Associate<br>Professor                                                             | Ph.D. in<br>Management,<br>National Chiao<br>Tung University,<br>R.O.C.               | 5422 | MB304  | chlliu                    | Corporate Finance and<br>Governance,<br>Entrepreneurial<br>Finance, Banking,<br>Investment                                                                              |
| Chang,<br>Tzu Pu     | Associate<br>Professor                                                             | Ph.D. in<br>Management,<br>National Chiao<br>Tung University,<br>R.O.C.               | 5338 | MD504  | changtp                   | Investment, Financial<br>Market, and Financial<br>Institution                                                                                                           |
| Hsu,<br>Ching Yu     | Associate<br>Professor                                                             | Ph.D. in Finance,<br>National Taiwan<br>University, R.O.C.                            | 5412 | MB314  | chingyu                   | Corporate Finance and<br>Financial Empirical<br>Study                                                                                                                   |
| Liu,<br>Wen Rang     | Associate<br>Professor                                                             | Ph.D. in Finance,<br>National Taiwan<br>University, R.O.C.                            | 5423 | MB317  | wrliu                     | Empirical study of<br>asset pricing<br>Derivative financial<br>market<br>Investment                                                                                     |
| Shiau,<br>Chiou Ming | Assistant<br>Professor                                                             | Ph.D. in Finance,<br>National Chung<br>Cheng University,<br>R.O.C.                    | 5415 | MD405  | shiaucm                   | ESG consulting,<br>Carbon Pricing,<br>Corporate Social<br>Responsibility (CSR),<br>Financial Engineering,<br>and Sports Economics                                       |
| Liao,<br>Li Kai      | Assistant<br>Professor                                                             | Ph.D. in Financial<br>Economics,<br>University of New<br>Orleans, New<br>Orleans, USA | 5411 | MB401  | lliao                     | FinTech Applications,<br>Financial Accounting,<br>Corporate Governance<br>and Sustainability,<br>Corporate Financial<br>Strategy, and Capital<br>Market-Related Issues. |

## II. Department Office Contact Information & Facility Codes

NYUST Switchboard: +886-5-534-2601

Building Codes: MA (Management Building I) / MB (Management Building II) / MD (Management Building III)

### 1. Administrative Staff & Responsibilities

All department offices are located in **Room MA301**. Please contact the respective staff member based on your academic program or inquiry.

| Staff Member  | Title                    | Ext. | Email<br>@yuntech.edu.tw | Primary Responsibilities                                                                     |
|---------------|--------------------------|------|--------------------------|----------------------------------------------------------------------------------------------|
| Shen, Yu Yeh  | Officer                  | 5404 | T11400595                | Undergraduate Program & Curriculum Affairs                                                   |
| Liu, Chiu Min | Administrative Assistant | 5403 | liuch                    | EMBA, Master's, and Ph.D. Programs                                                           |
| Lin, Wei Chun | Administrative Assistant | 5402 | weichunl                 | Facilities Management, Institutional Property Maintenance, and International Student Affairs |

### 2. Important Communication Channels

- **Official Email Correspondence:** Email is the primary channel used by the department office to communicate official announcements. Since your university email storage is limited, **please clean your inbox regularly to avoid bouncing important messages**. If you prefer using external accounts (e.g., Gmail, Hotmail, Yahoo), ensure you set up email forwarding properly to prevent missed notifications.
- **Class Representatives & Mailboxes:** The department office frequently relays notices through class representatives. Class representatives must check the physical class mailboxes at the department office regularly. Critical updates will also be posted in the Class Reps group chats; please stay attentive to these announcements.
- **Official Facebook Page:** Stay connected via our Facebook page (雲科大財金系): <https://www.facebook.com/NYUSTumf/>. Join us for real-time campus updates, official announcements, and department news.

## Academic Research Ethics Education Guidelines

### 1. Regulatory Requirement:

According to Subparagraph (3), Paragraph 2 of the university's *"Operational Guidelines for Degree Examination Applications and Graduation Checkout,"* all master's and doctoral students enrolled **from the 2017–2018 academic year onward** are required to take the "Academic Research Ethics Education" course.

- **Deadline:** Students are expected to complete and pass the course before the end of their first academic year.
- **Consequence:** Students who fail to pass this course **will not be eligible to apply for their degree examination (thesis/dissertation defense).**

### 2. Online Learning Platform & Login Instructions:

The course is hosted online via the **Center for Taiwan Academic Research Ethics Education (AREE)**. For detailed instructions regarding your login account and password, please refer to the *"Mandatory Student User Manual"* available on the official AREE website.

# Ph.D. Program Curriculum Flowchart, Department of Finance

## 2025 Academic Year

Amended and approved by the Department Curriculum Committee Meeting on April 10, 2025

### Ph.D. Curriculum Flowchart (Lecture Hours - Practical Hours - Credits)

| First Year                                                                                          |                                                                             | Second Year                                                                  |                                                                  | Third Year                                             |                                                       |
|-----------------------------------------------------------------------------------------------------|-----------------------------------------------------------------------------|------------------------------------------------------------------------------|------------------------------------------------------------------|--------------------------------------------------------|-------------------------------------------------------|
| 1st Semester                                                                                        | 2nd Semester                                                                | 1st Semester                                                                 | 2nd Semester                                                     | 1st Semester                                           | 2nd Semester                                          |
| Required Courses (Total of 20 credits required, including 6 credits for the Doctoral Dissertation ) |                                                                             |                                                                              |                                                                  |                                                        |                                                       |
| 個體經濟理論<br>Microeconomics Theory<br>3-0-3                                                            | 總體經濟理論<br>Macroeconomic Theory<br>3-0-3                                     | 財金學術專題(一)<br>Financial Research Seminar (I)<br>1-0-1                         | 財金學術專題(二)<br>Financial Research Seminar (II)<br>1-0-1            |                                                        |                                                       |
| 計量經濟學(一)<br>Econometrics (I)<br>(碩、博合開)<br>3-0-3                                                    | 基礎財務理論<br>Fundamental Financial Theory<br>(碩、博合開)<br>3-0-3                  | 博士論文<br>Doctoral Dissertation<br>3-0-3                                       | 博士論文<br>Doctoral Dissertation<br>3-0-3                           |                                                        |                                                       |
| 6-0-6                                                                                               | 6-0-6                                                                       | 4-0-4                                                                        | 4-0-4                                                            |                                                        |                                                       |
| Elective Courses (A minimum of 21 elective credits must be completed)                               |                                                                             |                                                                              |                                                                  |                                                        |                                                       |
| 財務數學(一)<br>Mathematics for Financial (I)<br>(碩、博合開)<br>3-0-3                                        | 計量經濟學(二)<br>Econometrics (II)<br>3-0-3                                      | 企業財務管理專題(一)<br>Special Topics of Corporate Finance (I)<br>(碩、博合開)<br>3-0-3   | 企業財務管理專題(二)<br>Special Topics of Corporate Finance (II)<br>3-0-3 | 財金學術專題(三)<br>Financial Research Seminar (III)<br>1-0-1 | 財金學術專題(四)<br>Financial Research Seminar (IV)<br>1-0-1 |
| 數量方法導論<br>Review of Basic Quantitative Methods<br>1-0-1                                             | 財務數學(二)<br>Mathematics for Financial (II)<br>(碩、博合開)<br>3-0-3               | 投資理論專題(一)<br>Empirical Testing Finance (I)<br>3-0-3                          | 投資理論專題(二)<br>Empirical Testing Finance (II)<br>3-0-3             |                                                        |                                                       |
|                                                                                                     | 投資管理學<br>Investment Management<br>(碩、博合開)<br>3-0-3                          | 財務實證研究(一)<br>Financial Empirical Study (I)<br>3-0-3                          | 財務實證研究(二)<br>Financial Empirical Study (II)<br>3-0-3             |                                                        |                                                       |
|                                                                                                     | 期貨與選擇權市場<br>Futures and Option Markets<br>(碩、博合開)<br>3-0-3                  | 財務工程專題(一)<br>Financial Engineering Seminar (I)<br>3-0-3                      | 財務工程專題(二)<br>Financial Engineering Seminar (II)<br>3-0-3         |                                                        |                                                       |
|                                                                                                     | 人工智慧在財務上應用(一)<br>Artificial Intelligence in Finance (I)<br>(碩、博合開)<br>3-0-3 | 人工智慧在財務上應用(二)<br>Artificial Intelligence in Finance (II)<br>(碩、博合開)<br>3-0-3 | 金融績效評估<br>Financial Performance Evaluation<br>3-0-3              |                                                        |                                                       |

|                                                              |                                                               |
|--------------------------------------------------------------|---------------------------------------------------------------|
| 金融市場微結構-理論與實證(一)                                             | 金融市場微結構-理論與實證(二)                                              |
| Market Microstructure empirical studies and applications (I) | Market Microstructure empirical studies and applications (II) |
| (碩、博合開)                                                      | (碩、博合開)                                                       |
| 3-0-3                                                        | 3-0-3                                                         |
| 財金巨量數據分析                                                     | 不動產專題                                                         |
| Financial Big Data Analysis                                  | Special Topics in Real Estate Investment                      |
| (碩、博合開)                                                      |                                                               |
| 3-0-3                                                        | 3-0-3                                                         |
| 金融市場與機構                                                      |                                                               |
| Financial Markets and Institutions                           |                                                               |
| (碩、博合開)                                                      |                                                               |
| 3-0-3                                                        |                                                               |
| 國際財務管理                                                       |                                                               |
| International Financial Management                           |                                                               |
| 3-0-3                                                        |                                                               |
| 風險管理專題                                                       |                                                               |
| Risk Management Seminar                                      |                                                               |
| 3-0-3                                                        |                                                               |
| 計量經濟學(三)                                                     |                                                               |
| Econometrics (III)                                           |                                                               |
| 3-0-3                                                        |                                                               |
| 不動產投資                                                        |                                                               |
| Investment And Decision Analysis of Property                 |                                                               |
| (碩、博合開)                                                      |                                                               |
| 3-0-3                                                        |                                                               |
| 人工智慧與資產定價                                                    |                                                               |
| Artificial Intelligence and Asset Pricing                    |                                                               |
| (碩、博合開)                                                      |                                                               |
| 3-0-3                                                        |                                                               |

|       |         |         |         |       |       |
|-------|---------|---------|---------|-------|-------|
| 4-0-4 | 15-0-15 | 39-0-39 | 21-0-21 | 1-0-1 | 1-0-1 |
|-------|---------|---------|---------|-------|-------|

## Notes :

1. Student is required to complete a minimum of 41 credits to graduate. (including Required Courses 14 credits , Elective Courses 21 credits , Thesis 6 credits)
2. Financial Management" is a required prerequisite for the Institute. Students without prior coursework in financial management must fulfill this requirement during their first year of study by completing an approved course through the University's undergraduate, graduate, or executive programs. These course credits shall not count toward graduation requirements.
3. Student could take 9 credits only from College of Management, which related to dissertation or research method, as graduation credits.

# **Academic Regulations for Doctoral Students**

## **of the Graduate Institute of Finance**

### **(Applicable to Students Entering in the 2025 Academic Year)**

Amended and approved by the Department General Meeting on March 13, 2025

Amended and approved by the Department General Meeting on April 10, 2025

## **Chapter I: Legal Basis**

- **Article 1**

These Regulations are formulated in accordance with the "University Act and its Enforcement Rules," the "Degree Conferral Act and its Enforcement Rules" promulgated by the Ministry of Education, and the "Regulations for Graduate Student Degree Examinations" of the University.

## **Chapter II: Duration of Study**

- **Article 2**

The duration of study for doctoral students in this Institute shall range from two to seven years. For part-time doctoral students (students pursuing advanced studies while in service) who fail to complete the required coursework or the doctoral dissertation within the stipulated timeframe, the duration of study may be extended by a maximum of one year due to special needs.

- **Article 3**

The doctoral program is divided into the following two stages, each lasting for at least one academic year:

**Stage I:** From admission until passing the qualification evaluation.

**Stage II:** From passing the qualification examination until passing the doctoral dissertation degree examination.

## **Chapter III: Coursework and Qualification Evaluation**

- **Article 4**

The minimum number of credits required for graduation from this Institute shall be 35 credits (excluding dissertation writing).

- **Article 5**

The prerequisite foundational course of this Institute is "Financial Management." Students who have not taken a Financial Management course at the junior college, undergraduate, or master's level prior to admission shall take the "Financial Management" course at the undergraduate, master's, or Executive Master's (EMBA) level during their first year of enrollment (these credits shall not be counted toward graduation credits).

- **Article 6**

Students of this Institute shall complete the following professional courses during their period of study:

**(1) Required Courses:**

- Microeconomic Theory (3 credits), Macroeconomic Theory (3 credits), Foundational Financial Theory (3 credits), Econometrics (I) (3 credits).

- Research Seminar in Finance (I) (1 credit) and Research Seminar in Finance (II) (1 credit) are also required.

**(2) Elective Courses:**

- Courses issued by the Office of Academic Affairs in each semester that align with the student's cultivation plan.
- Students may take courses related to their dissertation or research methods from other departments/institutes within the College of Management, up to a maximum of 9 credits. Courses taken in other colleges shall not be counted toward the graduation credits of this Institute.

- **Article 7**

Upon completing the required courses (Microeconomic Theory, Macroeconomic Theory, Foundational Financial Theory, and Econometrics (I)) in accordance with the regulations, students of this Institute may apply to take the compulsory and elective components of the qualifying examination.

- **Article 8**

The qualifying examination consists of a compulsory component and an elective component:

(1) Compulsory: Foundational Financial Theory

(2) Elective (Choose one):

- Econometrics
- Economic Theory (*comprising Microeconomic Theory and Macroeconomic Theory*)

- **Article 9**

The qualification examination shall be prepared and graded by relevant faculty members coordinated by the Department Chair, and shall, in principle, be conducted in the form of a written examination.

- **Article 10**

The qualification examination is held once per academic year.

Maximum Attempts and Dismissal Policy:

- Attempt Limits: For each component (compulsory and elective), a student is entitled to a maximum of two attempts in total: one initial attempt and one retake.
- Changing Electives: A student may choose a different elective subject for their retake. However, changing the elective subject does not create an additional examination opportunity. No third attempt is permitted under any circumstances.
- Dismissal: Students who fail the retake of either the compulsory component or the elective component shall be dismissed from the university.

- **Article 11**

The compulsory and elective components of the qualifying examination shall be taken and passed within the first nine semesters of enrollment (excluding periods of suspension). A student who fails to meet this requirement shall be dismissed from the Ph.D. program. In special circumstances, this time limit may be extended upon approval by the Department General Meeting.

- **Article 12**

Students may waive the elective component of the qualifying examination by publishing a paper (must be the first author or corresponding author) in a relevant peer-reviewed international academic journal or TSSCI journal under their affiliation as a doctoral student in the Department of Finance at NYUST. Each journal article may be used to waive the elective component of the qualifying examination only once. A journal article may be used by only one student to fulfill the doctoral program requirements of the

Department. All other co-authors must submit written consent waiving their right to use the same article to fulfill the doctoral program requirements of the Department. Journals included on the Office of Research and Development's list of "Discouraged Journals or Publishers" are excluded.

An application for journal-publication substitution must be submitted and approved before the student sits for the retake of the elective qualifying examination. Once the student has taken the retake and failed, no subsequent application for substitution under this Article may be made.

- **Article 13**

Papers used by students to waive the elective component of the qualification examination shall not be used to apply for the degree examination.

- **Article 14**

A student who meets the following criteria shall become a Ph.D. Candidate:

- Completed all required courses and obtained the required graduation credits.
- Passed the doctoral qualification examination of this Institute.

## **Chapter IV: Dissertation Supervision**

- **Article 15**

Graduate students of this Institute shall appoint a dissertation advisor and submit the "Dissertation Title and Advisor Proposal Form" before the end of the academic year in which they pass the qualification examination.

- **Article 16**

In principle, the dissertation advisor shall be recruited from full-time faculty members of this Department/Institute who are qualified to serve as doctoral dissertation examination committee members. Under special circumstances, upon recommendation by an advisor from this Department/Institute and with the approval of more than two-thirds of the members at the Department General Meeting, faculty members from other departments/institutes who are qualified to serve as doctoral dissertation examination committee members may co-advise the doctoral student. In principle, each full-time faculty member of this Department/Institute shall advise no more than four doctoral students per academic year.

- **Article 17**

After selecting a dissertation advisor, the advisor may propose a recommended list of members for the student's Dissertation Advisory Committee. Dissertation advisory committee members are limited to faculty members at the rank of assistant professor or above who meet the Ministry of Education's qualifications. The Dissertation Advisory Committee shall consist of five to seven members, with at least one-third of the committee members shall be from outside the University, and the convener must be a professor.

- **Article 18**

Within two years after passing the qualification examination (excluding periods of suspension), students of this Institute shall present a research report at the time and location designated by this Department/Institute (applications for presentation may be submitted within the first two weeks of each semester) and obtain approval from the faculty members of this Department/Institute.

- **Article 19**

A doctoral student may submit a doctoral dissertation proposal after passing the qualification exam and fulfilled the provisions of Article 18 of these Regulations. The doctoral dissertation degree examination

can only be conducted after the proposal has been reviewed and approved by the Dissertation Advisory Committee.

- **Article 20**

When a graduate student of this Institute wishes to change their dissertation advisor, they must first fill out the "Application Form for Changing Dissertation Advisor," obtain the written consent and signatures of both the original and the newly appointed advisors, and submit it to the Department/Institute Chair for approval. Furthermore, the student may apply for the doctoral dissertation proposal review or the doctoral degree examination only from the semester following the appointment of a new dissertation advisor.

- **Article 21**

Prior to completing the advisor change procedure, without the written consent of the original advisor, the student shall not use the research proposals or research results directed by the original advisor as their own individual or joint research outcomes.

## **Chapter V: Degree Examination**

- **Article 22**

Students who have passed their dissertation proposal defense, published (or had accepted) two finance-related papers in relevant peer-reviewed international academic journals or TSSCI journals during their doctoral studies, and passed the graduation criteria review of this Institute, may apply for the doctoral degree examination.

Any given journal paper may only be used by one student to fulfill the doctoral program requirements of the Department. If other co-authors are doctoral students of this Institute, they must submit a consent form waiving their right to use the same paper; furthermore, the paper must be a new work completed after entering the doctoral program and published under the name of NYUST.

- **Article 23**

The recognition standards for international journal submissions by students of this Institute are as follows:

- (1) Journal papers ranked in the international journal classifications for Finance, Accounting, or Economics by the National Science and Technology Council (NSTC).
  - (2) Journal papers published in SSCI, SCI, ESCI, TSSCI, Scopus, EconLit, ABI/INFORM, BSP/EBSCOhost, SDOS(SDOL), or Ingenta.
  - (3) Real estate journals indexed by the Australian Business Deans Council (ABDC).
  - (4) Other journal papers reviewed and approved by the Department General Meeting.
- Papers published or submitted to journals listed on the aforementioned registries are recognized, provided that journals on the Office of Research and Development's list of "Discouraged Journals or Publishers" are excluded.

- **Article 24**

The doctoral degree examination shall be conducted in the form of an oral defense. In principle, the oral examination committee members shall consist of the members of the aforementioned Dissertation Advisory Committee to form the Doctoral Degree Examination Committee. Any changes must be submitted to the Department Chair for approval.

- **Article 25**

Students who pass the doctoral degree examination shall be conferred a Doctor of Philosophy (Ph.D.) in Finance by the University.

## **Chapter VI: Supplementary Provisions**

- **Article 26**

These Regulations shall be implemented upon approval by the Department General Meeting, and submitted to the College and the Office of Academic Affairs for record-keeping. The same procedure shall apply to any amendments. Any matters not covered herein shall be handled in accordance with relevant education laws and regulations, as well as the academic bylaws of the University.

## Ph.D. Program Forms Lists of Finance

| Version       | Chinese         | English                                                                        |
|---------------|-----------------|--------------------------------------------------------------------------------|
| Appendix I    | 指導教授同意指導博士論文聲明書 | Doctoral Dissertation Advisor Consent Form                                     |
| Appendix II   | 博士班研究生資格考試申請表   | Ph.D. Program Doctoral Qualifying Examination Application Form                 |
| Appendix III  | 博士班資格考試撤銷申請表    | Ph.D. Program Doctoral Qualifying Examination Withdrawal Form                  |
| Appendix IV   | 博士班資格考試抵免申請表    | Ph.D. Qualification Examination Waiver Application Form                        |
| Appendix V    | 博士班專題報告申請表      | Ph.D. Working Paper Presentation Application Form                              |
| Appendix VI   | 博士論文計畫發表申請書     | Application for Doctoral Dissertation Proposal Presentation                    |
| Appendix VII  | 博士論文計畫書審核表      | Doctoral Dissertation Proposal Review Form                                     |
| Appendix VIII | 博士論文計畫書評分表      | Doctoral Dissertation Proposal Evaluation Form                                 |
| Appendix IX   | 畢業門檻審核申請表       | Graduation Qualification Review Application Form                               |
| Appendix X    | 學術期刊畢業門檻審核表     | Academic Journal Publication Graduation Requirement Review Form                |
| Appendix XI   | 學術期刊畢業門檻審核表     | Student of Co-Author Consent and of Waiver for Doctoral Graduation Requirement |

# 國立雲林科技大學財務金融系

## 指導教授同意指導博士論文聲明書

本人謹同意接受財務金融系學生  
之申請，擔任該生之論文指導教授，負責該生畢業前之選課及論文  
撰寫之指導。

班級：

學號：

學生簽章：

指導教授簽章：

中華民國          年          月          日

**NATIONAL YUNLIN UNIVERSITY OF SCIENCE AND TECHNOLOGY****Department of Finance / Graduate Institute of Finance****Advisor Consent Statement for Doctoral Dissertation**

I hereby agree to accept the application of the Ph.D. student listed below from the Department of Finance and serve as his/her dissertation advisor. I will be responsible for guiding the student's course selection and dissertation writing prior to his/her graduation.

Class / Program : \_\_\_\_\_

Student ID Number : \_\_\_\_\_

Student Signature : \_\_\_\_\_

Dissertation Advisor Signature : \_\_\_\_\_

Date : Year \_\_\_\_\_ / Month \_\_\_\_\_ / Day \_\_\_\_\_

# 國立雲林科技大學財務金融研究所

## 博士班研究生資格考試申請表

|                                                                                                                                                                                                                             |          |     |    |
|-----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|----------|-----|----|
| 姓 名                                                                                                                                                                                                                         |          | 學 號 |    |
| 相關資格審核                                                                                                                                                                                                                      |          |     | 備註 |
| 專業必修科目                                                                                                                                                                                                                      | 科目名稱     | 成績  |    |
|                                                                                                                                                                                                                             | 總體經濟理論   |     |    |
|                                                                                                                                                                                                                             | 個體經濟理論   |     |    |
|                                                                                                                                                                                                                             | 計量經濟學（一） |     |    |
|                                                                                                                                                                                                                             | 財務理論     |     |    |
| 申請考試科目：                                                                                                                                                                                                                     |          |     |    |
| 請勾選                                                                                                                                                                                                                         | 科目名稱     |     |    |
| <input type="checkbox"/>                                                                                                                                                                                                    | 財務理論     |     |    |
| <input type="checkbox"/>                                                                                                                                                                                                    | 經濟理論     |     |    |
| <input type="checkbox"/>                                                                                                                                                                                                    | 計量經濟學    |     |    |
| <p>備註：財務金融研究所博士班研究生修業要點(摘要)</p> <p>第 七 條 本所學生依規定修畢個體經濟理論、總體經濟理論、基礎財務理論與計量經濟學(一)等專業必修課程後，得申請參加各科資格考試。</p> <p>第 八 條 資格考試分為必考科目：基礎財務理論；選考科目：計量經濟學與經濟理論(含個體經濟理論與總體經濟理論)，任選一科。</p> <p>第 九 條 資格考試由系主任協調相關教師負責命題及評分，並以筆試方式為原則。</p> |          |     |    |

- 第十條 資格考試每學年舉辦一次，未通過者得申請重考。必考科目與選考科目重考均以一次為限，重考不及格者予以退學。
- 第十一條 資格考試應於入學第九學期內（休學期間不計）考完資格考必考暨選考科目，並通過資格考試，未完成者予以退學。如有特殊情況，得以延長修業期限，交由系務會議決議。
- 第十二條 學生亦可使用雲林科技大學財務金融系博士生之名義在國外相關學術期刊（具審查制度）、TSSCI 學術期刊發表論文（須為第一作者或通訊作者）可抵免資格考中的選考科目。每一篇期刊論文僅可抵免一科資格考中的選考科目。任一篇期刊論文僅得由一位學生用以完成本系博士班修業規定，其他共同著作人須出具同意書放棄同一著作，作為申請本系博士班修業規定之權利。（上列期刊排除研發處「不鼓勵期刊或出版社」名單）
- 第十三條 學生用於抵免資格考中選考科目之文章，不可用於學位考試申請。

學生簽名：

日期： 年 月 日

審查人：

所 長：

# NATIONAL YUNLIN UNIVERSITY OF SCIENCE AND TECHNOLOGY

## Department of Finance / Graduate Institute of Finance

### Ph.D. Program Doctoral Qualifying Examination Application Form

|                               |                         |            |        |
|-------------------------------|-------------------------|------------|--------|
| Student Name                  |                         | Student ID |        |
| Relevant Qualification Review |                         |            | Remark |
| Required Courses:             | Course                  | Grade      |        |
|                               | Macroeconomic Theory    |            |        |
|                               | Microeconomic Theory    |            |        |
|                               | Econometrics( I )       |            |        |
|                               | Financial Theory        |            |        |
| Apply for Exam:               |                         |            |        |
| Check here                    |                         |            |        |
| <input type="checkbox"/>      | <b>Financial Theory</b> |            |        |
| <input type="checkbox"/>      | <b>Economic Theory</b>  |            |        |
| <input type="checkbox"/>      | <b>Econometrics</b>     |            |        |
| Auditor :                     |                         |            |        |
| Director signature :          |                         |            |        |

Note: Summary of the Regulations Governing Ph.D. Students in the Graduate Institute of Finance

- Article 7**

Upon completing the required courses (Microeconomic Theory, Macroeconomic Theory, Foundational Financial Theory, and Econometrics (I)) in accordance with the regulations, students of this Institute may apply to take the compulsory and elective components of the qualifying examination.

- Article 8**

The qualifying examination consists of a compulsory component and an elective component:

(1) Compulsory: Foundational Financial Theory

(2) Elective (Choose one):

- Econometrics
- Economic Theory (*comprising Microeconomic Theory and Macroeconomic Theory*)

- **Article 9**

The qualification examination shall be prepared and graded by relevant faculty members coordinated by the Department Chair, and shall, in principle, be conducted in the form of a written examination.

- **Article 10**

The qualification examination is held once per academic year.

Maximum Attempts and Dismissal Policy:

- **Attempt Limits:** For each component (compulsory and elective), a student is entitled to a maximum of two attempts in total: one initial attempt and one retake.
- **Changing Electives:** A student may choose a different elective subject for their retake. However, changing the elective subject does not create an additional examination opportunity. No third attempt is permitted under any circumstances.
- **Dismissal:** Students who fail the retake of either the compulsory component or the elective component shall be dismissed from the university.

- **Article 11**

The compulsory and elective components of the qualifying examination shall be taken and passed within the first nine semesters of enrollment (excluding periods of suspension). A student who fails to meet this requirement shall be dismissed from the Ph.D. program. In special circumstances, this time limit may be extended upon approval by the Department General Meeting.

- **Article 12**

Students may waive the elective component of the qualifying examination by publishing a paper (must be the first author or corresponding author) in a relevant peer-reviewed international academic journal or TSSCI journal under their affiliation as a doctoral student in the Department of Finance at NYUST. Each journal article may be used to waive the elective component of the qualifying examination only once. A journal article may be used by only one student to fulfill the doctoral program requirements of the Department. All other co-authors must submit written consent waiving their right to use the same article to fulfill the doctoral program requirements of the Department. Journals included on the Office of Research and Development's list of "Discouraged Journals or Publishers" are excluded.

An application for journal-publication substitution must be submitted and approved before the student sits for the retake of the elective qualifying examination. Once the student has taken the retake and failed, no subsequent application for substitution under this Article may be made.

- **Article 13**

Papers used by students to waive the elective component of the qualification examination shall not be used to apply for the degree examination.

Student Signature : \_\_\_\_\_

Date : Year \_\_\_\_\_ / Month \_\_\_\_\_ / Day \_\_\_\_\_

# 國立雲林科技大學財務金融系

## 博士班資格考試撤銷申請表

|                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                   |  |     |                          |
|-------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|--|-----|--------------------------|
| 姓 名                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                               |  | 學 號 |                          |
| 撤銷申請資格考科目：                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                        |  |     |                          |
|                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                   |  |     |                          |
| 撤銷申請資格考原因說明：                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                      |  |     |                          |
|                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                   |  |     |                          |
| 備註：財務金融研究所博士班研究生修業要點(摘要)                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                          |  |     |                          |
| <p>第 七 條 本所學生依規定修畢個體經濟理論、總體經濟理論、基礎財務理論與計量經濟學(一)等專業必修課程後，得申請參加各科資格考試。</p> <p>第 八 條 資格考試分為必考科目：基礎財務理論；選考科目：計量經濟學與經濟理論(含個體經濟理論與總體經濟理論)，任選一科。</p> <p>第 九 條 資格考試由系主任協調相關教師負責命題及評分，並以筆試方式為原則。</p> <p>第 十 條 資格考試每學年舉辦一次，未通過者得申請重考。必考科目與選考科目重考均以一次為限，重考不及格者予以退學。</p> <p>第 十一 條 資格考試應於入學第九學期內（休學期間不計）考完資格考必考暨選考科目，並通過資格考試，未完成者予以退學。如有特殊情況，得以延長修業期限，交由系務會議決議。</p> <p>第 十二 條 學生亦可使用雲林科技大學財務金融系博士生之名義在國外相關學術期刊(具審查制度)、TSSCI學術期刊發表論文(須為第一作者或通訊作者)可抵免資格考中的選考科目。每一篇期刊論文僅可抵免一科資格考中的選考科目。任一篇期刊論文僅得由一位學生用以完成本系博士班修業規定，其他共同著作人須出具同意書放棄同一著作，作為申請本系博士班修業規定之權利。(上列期刊排除研發處「不鼓勵期刊或出版社」名單)</p> <p>第 十三 條 學生用於抵免資格考中選考科目之文章，不可用於學位考試申請。</p> |  |     |                          |
| 學生簽名：                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                             |  |     |                          |
|                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                   |  |     | 日期：      年      月      日 |
| 所長：                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                               |  |     |                          |
|                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                   |  |     |                          |

# NATIONAL YUNLIN UNIVERSITY OF SCIENCE AND TECHNOLOGY

## Department of Finance / Graduate Institute of Finance

### Ph.D. Program Doctoral Qualifying Examination Withdrawal Form

|                           |  |            |  |
|---------------------------|--|------------|--|
| Student Name              |  | Student ID |  |
| Subject to be withdrawn : |  |            |  |
| Reasons for withdrawing : |  |            |  |
| Director signature :      |  |            |  |

Note: Summary of the Regulations Governing Ph.D. Students in the Graduate Institute of Finance

- **Article 7**

Upon completing the required courses (Microeconomic Theory, Macroeconomic Theory, Foundational Financial Theory, and Econometrics (I)) in accordance with the regulations, students of this Institute may apply to take the compulsory and elective components of the qualifying examination.

- **Article 8**

The qualifying examination consists of a compulsory component and an elective component:

(1) Compulsory: Foundational Financial Theory

(2) Elective (Choose one):

- Econometrics
- Economic Theory (*comprising Microeconomic Theory and Macroeconomic Theory*)

- **Article 9**

The qualification examination shall be prepared and graded by relevant faculty members coordinated by the Department Chair, and shall, in principle, be conducted in the form of a written examination.

- **Article 10**

The qualification examination is held once per academic year.

Maximum Attempts and Dismissal Policy:

- Attempt Limits: For each component (compulsory and elective), a student is entitled to a maximum of two attempts in total: one initial attempt and one retake.
- Changing Electives: A student may choose a different elective subject for their retake. However, changing the elective subject does not create an additional examination opportunity. No third attempt is permitted under any circumstances.

- Dismissal: Students who fail the retake of either the compulsory component or the elective component shall be dismissed from the university.

- **Article 11**

The compulsory and elective components of the qualifying examination shall be taken and passed within the first nine semesters of enrollment (excluding periods of suspension). A student who fails to meet this requirement shall be dismissed from the Ph.D. program. In special circumstances, this time limit may be extended upon approval by the Department General Meeting.

- **Article 12**

Students may waive the elective component of the qualifying examination by publishing a paper (must be the first author or corresponding author) in a relevant peer-reviewed international academic journal or TSSCI journal under their affiliation as a doctoral student in the Department of Finance at NYUST. Each journal article may be used to waive the elective component of the qualifying examination only once. A journal article may be used by only one student to fulfill the doctoral program requirements of the Department. All other co-authors must submit written consent waiving their right to use the same article to fulfill the doctoral program requirements of the Department. Journals included on the Office of Research and Development's list of "Discouraged Journals or Publishers" are excluded.

An application for journal-publication substitution must be submitted and approved before the student sits for the retake of the elective qualifying examination. Once the student has taken the retake and failed, no subsequent application for substitution under this Article may be made.

- **Article 13**

Papers used by students to waive the elective component of the qualification examination shall not be used to apply for the degree examination.

Student Signature : \_\_\_\_\_

Date : Year \_\_\_\_\_ / Month \_\_\_\_\_ / Day \_\_\_\_\_

## 國立雲林科技大學財務金融系博士班資格考試抵免申請表

|                                                                                                                                                                                                                                                                                                                                                              |                                                                                 |  |      |  |   |  |
|--------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|---------------------------------------------------------------------------------|--|------|--|---|--|
| 學生姓名                                                                                                                                                                                                                                                                                                                                                         |                                                                                 |  | 學號   |  |   |  |
| 申請抵免之期刊分類                                                                                                                                                                                                                                                                                                                                                    | <input type="checkbox"/> 國外相關學術期刊(具審查制度)<br><input type="checkbox"/> TSSCI 學術期刊 |  |      |  |   |  |
| 期刊名稱<br>(卷、期)                                                                                                                                                                                                                                                                                                                                                |                                                                                 |  |      |  |   |  |
| 發表之期刊論文名稱                                                                                                                                                                                                                                                                                                                                                    |                                                                                 |  |      |  |   |  |
| 合著人親自簽名                                                                                                                                                                                                                                                                                                                                                      | 1                                                                               |  | 2    |  | 3 |  |
|                                                                                                                                                                                                                                                                                                                                                              | 4                                                                               |  | 5    |  | 6 |  |
| 接受日期/<br>發表時間                                                                                                                                                                                                                                                                                                                                                |                                                                                 |  |      |  |   |  |
| 抵免資格考選考科目                                                                                                                                                                                                                                                                                                                                                    | <input type="checkbox"/> 經濟理論<br><input type="checkbox"/> 計量經濟學                 |  |      |  |   |  |
| <b>備註：</b><br>1. 以上各欄位請用電腦繕打，若有塗改，請於塗改處簽名蓋章。<br>2. 務必檢具以下證明文件(當期期刊封面及索引、接受或發表證明、紙本期刊影印)。—<br>3. 根據財務金融研究所博士班研究生修業要點第十二條：學生亦可使用雲林科技大學財務金融系博士生之名義在國外相關學術期刊(具審查制度)、TSSCI 學術期刊發表論文(須為第一作者或通訊作者)可抵免資格考中的選考科目。每一篇期刊論文僅可抵免一科資格考中的選考科目。任一篇期刊論文僅得由一位學生用以完成本系博士班修業規定，其他共同著作人須出具同意書放棄同一著作，作為申請本系博士班修業規定之權利。(上列期刊排除研發處「不鼓勵期刊或出版社」名單)<br>4. 學生用於抵免資格考中選考科目之文章，不可用於學位考試申請。 |                                                                                 |  |      |  |   |  |
| 申請人簽名：_____ (請親筆簽名)                                                                                                                                                                                                                                                                                                                                          |                                                                                 |  |      |  |   |  |
| 申請時間：中華民國_____年_____月_____日                                                                                                                                                                                                                                                                                                                                  |                                                                                 |  |      |  |   |  |
| 審核結果                                                                                                                                                                                                                                                                                                                                                         | <input type="checkbox"/> 通過 <input type="checkbox"/> 不通過<br>日期： 年 月 日           |  | 所長簽章 |  |   |  |

# NATIONAL YUNLIN UNIVERSITY OF SCIENCE AND TECHNOLOGY

## Department of Finance / Graduate Institute of Finance

### Ph.D. Program Qualification Examination Waiver Application Form

|                                                       |                                                                                                                                                                                            |                                                                                              |   |  |   |                   |  |
|-------------------------------------------------------|--------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|----------------------------------------------------------------------------------------------|---|--|---|-------------------|--|
| <b>Student Name</b>                                   |                                                                                                                                                                                            |                                                                                              |   |  |   | <b>Student ID</b> |  |
| <b>Journal Category for Waiver</b>                    | <b>Please check all that apply :</b><br><input type="checkbox"/> <b>International Academic Journal (with peer-review system)</b><br><input type="checkbox"/> <b>TSSCI Academic Journal</b> |                                                                                              |   |  |   |                   |  |
| Journal Name (Volume, Issue)                          |                                                                                                                                                                                            |                                                                                              |   |  |   |                   |  |
| Title of Published Journal Paper                      |                                                                                                                                                                                            |                                                                                              |   |  |   |                   |  |
| <b>Co-Author Signatures<br/>(Must sign in person)</b> | 1                                                                                                                                                                                          |                                                                                              | 2 |  | 3 |                   |  |
|                                                       | 4                                                                                                                                                                                          |                                                                                              | 5 |  | 6 |                   |  |
| Acceptance Date / Publication Date                    |                                                                                                                                                                                            |                                                                                              |   |  |   |                   |  |
| <b>Subject for Waiver</b>                             |                                                                                                                                                                                            | <input type="checkbox"/> <b>Economic Theory</b> <input type="checkbox"/> <b>Econometrics</b> |   |  |   |                   |  |

#### Notes :

1. All fields above must be typed on a computer. If any manual corrections are made, the applicant must sign or stamp at the correction site.
2. Supporting documents must be attached (including the current journal cover and index, proof of acceptance or publication, and a hardcopy photocopy of the journal paper).
3. According to Article 12 of the Ph.D. Program Academic Regulations of the Graduate Institute of Finance: Students may waive the elective component of the qualifying examination by publishing a paper (must be the first author or corresponding author) in a relevant peer-reviewed international academic journal or TSSCI journal under their affiliation as a doctoral student in the Department of Finance at NYUST. Each journal article may be used to waive the elective component of the qualifying examination only once. A journal article may be used by only one student to fulfill the doctoral program requirements of the Department. All other co-authors must submit written consent waiving their right to use the same article to fulfill the doctoral program requirements of the Department. Journals included on the Office of Research and Development's list of "Discouraged Journals or Publishers" are excluded.  
An application for journal-publication substitution must be submitted and approved before the student sits for the retake of the elective qualifying examination. Once the student has taken the retake and failed, no subsequent application for substitution under this Article may be made.
4. Papers used to waive qualification exam subjects cannot be reused for the final degree examination application.

Continued on next page

Continued from previous page**Applicant Signature (In Ink) :** \_\_\_\_\_

Application Date : Year \_\_\_\_\_ / Month \_\_\_\_\_ / Day \_\_\_\_\_

|                                    |                                                                                                                 |                       |  |
|------------------------------------|-----------------------------------------------------------------------------------------------------------------|-----------------------|--|
| Review Result<br>(Office Use Only) | <input type="checkbox"/> Approved <input type="checkbox"/> Not Approved<br><br>Date :<br>YYYY____/MM____/DD____ | Director<br>Signature |  |
|------------------------------------|-----------------------------------------------------------------------------------------------------------------|-----------------------|--|

## 國立雲林科技大學管理學院財務金融研究所

## 博士班專題報告申請表

|        |                 |    |  |    |  |
|--------|-----------------|----|--|----|--|
| 系級別    |                 | 姓名 |  | 學號 |  |
| 報告題目   |                 |    |  |    |  |
| 申請日期   | 年      月      日 |    |  |    |  |
| 申請人簽章  |                 |    |  |    |  |
| 指導老師簽章 |                 |    |  |    |  |
| 系所審核   | 承辦人             |    |  |    |  |
|        | 系主任             |    |  |    |  |

# NATIONAL YUNLIN UNIVERSITY OF SCIENCE AND TECHNOLOGY

## Department of Finance / Graduate Institute of Finance

### Ph.D. Program Working Paper Presentation Application Form

|                                |  |                                      |  |            |  |
|--------------------------------|--|--------------------------------------|--|------------|--|
| Department / Program           |  | Student Name                         |  | Student ID |  |
| Presentation Topic             |  |                                      |  |            |  |
| Application Date               |  | Year _____ / Month _____ / Day _____ |  |            |  |
| Applicant Signature            |  |                                      |  |            |  |
| Adviser Signature              |  |                                      |  |            |  |
| Department Review (Sign/Stamp) |  | Coordinator                          |  |            |  |
|                                |  | Department Chair                     |  |            |  |

## 國立雲林科技大學財務金融研究所博士班

\_\_\_\_\_學年度第\_\_\_\_\_學期博士論文計畫發表申請書

申請日期：

學生連絡電話（手機及其他可連絡電話）：

任職學校系所（專任者填）：

|        |           |         |    |      |
|--------|-----------|---------|----|------|
| 申請人姓名  |           |         | 學號 |      |
| 論文題目   |           |         |    |      |
| 口試委員   | 校內/<br>校外 | 服務單位/職稱 |    | 姓名   |
|        |           |         |    |      |
|        |           |         |    |      |
|        |           |         |    |      |
|        |           |         |    |      |
|        |           |         |    |      |
|        |           |         |    |      |
|        |           |         |    |      |
| 預定日期   | 年         | 月       | 日  | 口試教室 |
| 申請人簽名  |           |         |    |      |
| 指導老師簽名 |           |         |    |      |
| 所長簽名   |           |         |    |      |

# NATIONAL YUNLIN UNIVERSITY OF SCIENCE AND TECHNOLOGY

## Department of Finance / Graduate Institute of Finance

### Application for Doctoral Dissertation Proposal Presentation

**Academic Year :** \_\_\_\_\_ **Semester :** ☐ 1st (Fall) ☐ 2nd (Spring)

**Application Date :** YYYY\_\_\_\_\_ / MM\_\_\_\_\_ / DD\_\_\_\_\_

**Student Contact Number (Mobile/Other) :**

**Current Affiliation Institution/Department (For part-time students) :**

|                                   |                               |                     |      |
|-----------------------------------|-------------------------------|---------------------|------|
| Student Name                      |                               | Student ID          |      |
| Dissertation Title                |                               |                     |      |
| Oral Defense<br>Committee Members | Internal / External           | Affiliation/ Title  | Name |
|                                   |                               |                     |      |
|                                   |                               |                     |      |
|                                   |                               |                     |      |
|                                   |                               |                     |      |
|                                   |                               |                     |      |
|                                   |                               |                     |      |
|                                   |                               |                     |      |
| Scheduled Date                    | YYYY_____ / MM_____ / DD_____ | Examination<br>Room |      |
| Applicant Signature               |                               |                     |      |
| Dissertation Advisor<br>Signature |                               |                     |      |
| Director/Chair<br>Signature       |                               |                     |      |

|                         |
|-------------------------|
| 國立雲林科技大學財務金融所博士論文計畫書審核表 |
|-------------------------|

論文題目：

學生姓名：

學號：

考試日期：

地點：

|    |   |                          |            |           |          |
|----|---|--------------------------|------------|-----------|----------|
| 審核 | 是 | <input type="checkbox"/> | 考試委員<br>簽章 | 召集人<br>簽章 | 所長<br>簽章 |
|    |   |                          |            |           |          |
| 通過 | 否 | <input type="checkbox"/> |            |           |          |
|    |   |                          |            |           |          |
|    |   |                          |            |           |          |
|    |   |                          |            |           |          |
|    |   |                          |            |           |          |
|    |   |                          |            |           |          |

注意：請將博士論文初試審核表送交財金系辦公室登錄。

NATIONAL YUNLIN UNIVERSITY OF SCIENCE AND TECHNOLOGY

Department of Finance / Graduate Institute of Finance

Doctoral Dissertation Proposal Review Form

|                    |                                                                                   |                             |                    |                    |
|--------------------|-----------------------------------------------------------------------------------|-----------------------------|--------------------|--------------------|
| Dissertation Title |                                                                                   |                             |                    |                    |
| Examination Date   | YYYY_____ / MM____ / DD_____                                                      |                             | Location           |                    |
| Student Name       |                                                                                   |                             | Student ID         |                    |
| Review Result      | <div><input type="checkbox"/> Pass</div> <div><input type="checkbox"/> Fail</div> | Committee Member Signatures | Convener Signature | Director Signature |
|                    |                                                                                   |                             |                    |                    |
|                    |                                                                                   |                             |                    |                    |
|                    |                                                                                   |                             |                    |                    |
|                    |                                                                                   |                             |                    |                    |
|                    |                                                                                   |                             |                    |                    |
|                    |                                                                                   |                             |                    |                    |

Note: Please submit this Doctoral Dissertation Proposal Review Form to the Department of Finance Office for official registration.

## 國立雲林科技大學博士論文計畫書評分表

|               |                                                             |                            |
|---------------|-------------------------------------------------------------|----------------------------|
| 系所別：          | 姓名：                                                         | 學號：                        |
| 論文題目：         |                                                             |                            |
| 具體評語：         |                                                             |                            |
| 審核結果<br>(請勾選) | 通過 <input type="checkbox"/><br>不通過 <input type="checkbox"/> | 考試委員簽章：                    |
| 備註：70 分以上為通過  |                                                             | 考試日期：      年      月      日 |

# NATIONAL YUNLIN UNIVERSITY OF SCIENCE AND TECHNOLOGY

## Department of Finance / Graduate Institute of Finance

### Doctoral Dissertation Proposal Evaluation Form

|                                                           |                                                                    |                               |                            |
|-----------------------------------------------------------|--------------------------------------------------------------------|-------------------------------|----------------------------|
| Department / Program :                                    |                                                                    | Student Name :                | Student ID :               |
| Dissertation Title :                                      |                                                                    |                               |                            |
| Specific Comments / Evaluation :                          |                                                                    |                               |                            |
| Review Result<br>(Please Check)                           | <input type="checkbox"/> Pass<br><br><input type="checkbox"/> Fail | Committee<br>Member Signature |                            |
| Note : A score of 70 or above constitutes a passing grade |                                                                    | Examination Date              | YYYY____ / MM____ / DD____ |

## 國立雲林科技大學財務金融系博士班

\_\_\_\_\_ 學年度第 \_\_\_\_\_ 學期 畢業門檻審核申請表

|                                        |                                                                                                                                                                                                                                                                                        |         |                                                |        |                                                 |
|----------------------------------------|----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|---------|------------------------------------------------|--------|-------------------------------------------------|
| 申請學生                                   |                                                                                                                                                                                                                                                                                        | 學號      |                                                | 手機     |                                                 |
| 實得必修學分數                                |                                                                                                                                                                                                                                                                                        | 實得選修學分數 |                                                | 實得總學分數 |                                                 |
| 通過博士資格考                                | <input type="checkbox"/> 財務理論<br>(通過日期： 年 月 日)                                                                                                                                                                                                                                         |         | <input type="checkbox"/> 經濟理論<br>(通過日期： 年 月 日) |        | <input type="checkbox"/> 計量經濟學<br>(通過日期： 年 月 日) |
| 發表之期刊論文名稱                              | 期刊名稱(年)                                                                                                                                                                                                                                                                                |         | 題目                                             |        | 分類<br>(A, B, C or D)<br>(Ex : B-TSSCI)          |
| 期刊論文(1)                                |                                                                                                                                                                                                                                                                                        |         |                                                |        |                                                 |
| 期刊論文(2)                                |                                                                                                                                                                                                                                                                                        |         |                                                |        |                                                 |
| 期刊分類說明                                 | A. 國科會財務、會計、經濟類國際期刊排序之期刊論文。(A, A <sup>+</sup> , ...)<br>B. SSCI、SCI、ESCI、TSSCI、SCOPUS、Econlit、ABI/INFORM、BSP/EBSCOhost、SDOS(SDOL)或 Ingenta 之期刊論文<br>C. Australian Business Deans Council 所收錄的不動產類期刊。<br>D. 其他經系務會議討論通過認可之期刊論文。<br><br>論文於投稿或刊登時該期刊列於上述名單上者皆認可，惟應排除研發處「不鼓勵期刊或出版社」名單之期刊。 |         |                                                |        |                                                 |
| 通過研究報告(workingpaper)                   | <input type="checkbox"/> 是(_____學年度第_____學期發表) <input type="checkbox"/> 否                                                                                                                                                                                                              |         |                                                |        |                                                 |
| 通過論文博士計畫書(proposal)                    | <input type="checkbox"/> 是(_____學年度第_____學期發表) <input type="checkbox"/> 否                                                                                                                                                                                                              |         |                                                |        |                                                 |
| 博士論文題目                                 |                                                                                                                                                                                                                                                                                        |         |                                                |        |                                                 |
| 本人確實遵守修業要點規定發表相關之學術期刊論文，且經指導教授認可，特此證明。 |                                                                                                                                                                                                                                                                                        |         |                                                |        |                                                 |
| 申請人簽章：                                 |                                                                                                                                                                                                                                                                                        |         | 日期：年 月 日                                       |        |                                                 |
| 指導教授簽章：                                |                                                                                                                                                                                                                                                                                        |         | 日期：年 月 日                                       |        |                                                 |
| 所長簽章：                                  |                                                                                                                                                                                                                                                                                        |         | 日期：年 月 日                                       |        |                                                 |

# NATIONAL YUNLIN UNIVERSITY OF SCIENCE AND TECHNOLOGY

## Department of Finance / Graduate Institute of Finance

### \_\_\_\_ Academic Year \_\_\_\_ Semester Graduation Qualification Review Application Form

|                                                                                                                                                                                                      |                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                 |                         |                                                                            |                      |                                                                         |
|------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|-----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|-------------------------|----------------------------------------------------------------------------|----------------------|-------------------------------------------------------------------------|
| <b>Name</b>                                                                                                                                                                                          |                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                 | <b>Student ID</b>       |                                                                            | <b>Phone</b>         |                                                                         |
| <b>Compulsory Credits</b>                                                                                                                                                                            |                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                 | <b>Elective Credits</b> |                                                                            | <b>Total Credits</b> |                                                                         |
| <b>Pass PhD Qualification Exam</b>                                                                                                                                                                   | <input type="checkbox"/> <b>Financial Theory</b><br>(Pass Date: yyyy/mm/dd)                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                     |                         | <input type="checkbox"/> <b>Economic Theory</b><br>(Pass Date: yyyy/mm/dd) |                      | <input type="checkbox"/> <b>Econometrics</b><br>(Pass Date: yyyy/mm/dd) |
| <b>Published Journal Article</b>                                                                                                                                                                     | <b>Journal Name(Year)</b>                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                       |                         | <b>Article</b>                                                             |                      | <b>Journal Classification (A,B,C or D) (Ex : B-TSSCI)</b>               |
| <b>Journal Paper(1)</b>                                                                                                                                                                              |                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                 |                         |                                                                            |                      |                                                                         |
| <b>Journal Paper(2)</b>                                                                                                                                                                              |                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                 |                         |                                                                            |                      |                                                                         |
| <b>Classification Description</b>                                                                                                                                                                    | (1) Journal papers ranked in the international journal classifications for Finance, Accounting, or Economics by the National Science and Technology Council (NSTC).<br>(2) Journal papers published in SSCI, SCI, ESCI, TSSCI, Scopus, EconLit, ABI/INFORM, BSP/EBSCOhost, SDOS(SDOL), or Ingenta.<br>(3) Real estate journals indexed by the Australian Business Deans Council (ABDC).<br>(4) Other journal papers reviewed and approved by the Department General Meeting.<br>Papers published or submitted to journals listed on the aforementioned registries are recognized, provided that journals on the Office of Research and Development's list of "Discouraged Journals or Publishers" are excluded. |                         |                                                                            |                      |                                                                         |
| <b>Pass Workingpaper</b>                                                                                                                                                                             | <input type="checkbox"/> <b>Yes(____ Academic Year ____ Semester Published)</b>                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                 |                         |                                                                            |                      | <input type="checkbox"/> <b>No</b>                                      |
| <b>Pass Proposal</b>                                                                                                                                                                                 | <input type="checkbox"/> <b>Yes(____ Academic Year ____ Semester Published)</b>                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                 |                         |                                                                            |                      | <input type="checkbox"/> <b>No</b>                                      |
| <b>PhD Thesis Title</b>                                                                                                                                                                              |                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                 |                         |                                                                            |                      |                                                                         |
| <b>I have indeed published relevant academic journal papers in compliance with the requirements of the main points of study, and I have been approved by the advisor, and I hereby certify that.</b> |                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                 |                         |                                                                            |                      |                                                                         |
| <b>Applicant signature :</b>                                                                                                                                                                         |                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                 |                         | YYYY____ / MM____ / DD____                                                 |                      |                                                                         |
| <b>Professor signature :</b>                                                                                                                                                                         |                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                 |                         | YYYY____ / MM____ / DD____                                                 |                      |                                                                         |
| <b>Director :</b>                                                                                                                                                                                    |                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                 |                         | YYYY____ / MM____ / DD____                                                 |                      |                                                                         |

**國立雲林科技大學財務金融研究所博士班學術期刊畢業門檻審核表****根據財務金融研究所博士班研究生修業要點第二十二條**

「學生通過研究計劃之報告，並於博士班在學期間曾在國外相關學術期刊(具審查制度)或 TSSCI 學術期刊發表或接受兩篇財務金融相關之論文，且經通過本所博士班畢業門檻審核後，得申請博士學位考試。任一篇期刊論文僅得由一位學生用以完成本系博士班修業規定，若其他共同著作人為本所博士生，則須出具同意書放棄同一著作，但需是進入博士班後新作，並以雲科大名義發表。」

---

**學術期刊畢業門檻審核表自行檢查部分**

申請人姓名 Name \_\_\_\_\_ 學號 ID \_\_\_\_\_

申請審核日期 Qualification exam. passing date \_\_\_\_\_

**# 第一篇期刊論文**☐ 已接受 Accepted ☐ 已發表 Published 接受或發表日期 Date \_\_\_\_\_

論文名稱 Paper Title \_\_\_\_\_

☐ TSSCI 名稱 \_\_\_\_\_☐ 國外期刊名稱 \_\_\_\_\_☐ 本系財金系博士生共同著作人 \_\_\_\_\_ 出具同意書放棄以本著作申請博士班畢業修業規定審核**# 第二篇期刊論文**☐ 已接受 Accepted ☐ 已發表 Published 接受或發表日期 Date \_\_\_\_\_

論文名稱 Paper Title \_\_\_\_\_

☐ TSSCI 名稱 \_\_\_\_\_☐ 國外期刊名稱 \_\_\_\_\_☐ 本系財金系博士生共同著作人 \_\_\_\_\_ 出具同意書放棄以本著作申請博士班畢業修業規定審核附件 ☐ 論文全文 ☐ 接受或發表證明 ☐ 期刊屬性證明 ☐ 博士生共同著作人放棄書

申請人簽名 Signature \_\_\_\_\_

---

**審核結果**第一篇期刊論文 ☐ 通過 Passing ☐ 未通過 Not Passing第二篇期刊論文 ☐ 通過 Passing ☐ 未通過 Not Passing

評語(教師可不作評論)

論文指導委員會 \_\_\_\_\_ 審核日期 \_\_\_\_\_

# NATIONAL YUNLIN UNIVERSITY OF SCIENCE AND TECHNOLOGY

## Department of Finance / Graduate Institute of Finance

### Academic Journal Publication Graduation Requirement Review Form

According to Article 22 of the Ph.D. Program Academic Regulations of the Graduate Institute of Finance:

*“Students who have passed their dissertation proposal defense, published (or had accepted) two finance-related papers in relevant peer-reviewed international academic journals or TSSCI journals during their doctoral studies, and passed the graduation criteria review of this Institute, may apply for the doctoral degree examination.*

*Any given journal paper may only be used by one student to fulfill the doctoral program requirements of the Department. If other co-authors are doctoral students of this Institute, they must submit a consent form waiving their right to use the same paper; furthermore, the paper must be a new work completed after entering the doctoral program and published under the name of NYUST.”*

#### Self-Check Section for Academic Journal Graduation Requirement

Student Name : \_\_\_\_\_ Student ID : \_\_\_\_\_

Qualification Exam Passing Date : Year \_\_\_\_\_ / Month \_\_\_\_\_ / Day \_\_\_\_\_

#### # Journal Paper No. 1

☐ Accepted ☐ Published Date of Acceptance/Publication : \_\_\_\_\_

Paper Title : \_\_\_\_\_

☐ TSSCI Journal Name : \_\_\_\_\_

☐ Foreign Journal Name : \_\_\_\_\_

☐ Co-author(s) from our department Ph.D. program : \_\_\_\_\_ has/have issued a waiver relinquishing the right to apply for graduation requirement review with this publication.

#### # Journal Paper No. 2

☐ Accepted ☐ Published Date of Acceptance/Publication : \_\_\_\_\_

Paper Title : \_\_\_\_\_

☐ TSSCI Journal Name : \_\_\_\_\_

☐ Foreign Journal Name : \_\_\_\_\_

☐ Co-author(s) from our department Ph.D. program : \_\_\_\_\_ has/have issued a waiver relinquishing the right to apply for graduation requirement review with this publication.

Attachments Attached :

- ☐ Full Paper Text ☐ Proof of Acceptance/Publication  
☐ Journal Indexing roof ☐ Co-Author Waiver Form(s)

Applicant Signature : \_\_\_\_\_

Continued on next page

# NATIONAL YUNLIN UNIVERSITY OF SCIENCE AND TECHNOLOGY

## Department of Finance / Graduate Institute of Finance

### Academic Journal Publication Graduation Requirement Review Form

According to Article 22 of the Ph.D. Program Academic Regulations of the Graduate Institute of Finance:

*“Students who have passed their dissertation proposal defense, published (or had accepted) two finance-related papers in relevant peer-reviewed international academic journals or TSSCI journals during their doctoral studies, and passed the graduation criteria review of this Institute, may apply for the doctoral degree examination.*

*Any given journal paper may only be used by one student to fulfill the doctoral program requirements of the Department. If other co-authors are doctoral students of this Institute, they must submit a consent form waiving their right to use the same paper; furthermore, the paper must be a new work completed after entering the doctoral program and published under the name of NYUST.”*

Student Name : \_\_\_\_\_

Student ID : \_\_\_\_\_

#### Review Results (Office Use Only)

First Journal Paper :     ☐ Passing    ☐ Not Passing

Second Journal Paper :   ☐ Passing    ☐ Not Passing

Comments (Reviewers may leave blank) :

Dissertation Review Committee Signatures : \_\_\_\_\_

Review Date :   YYYY\_\_\_\_/MM\_\_\_\_/DD\_\_\_\_

**國立雲林科技大學財務金融研究所博士班學術期刊畢業門檻共同著作人放棄書****根據財務金融研究所博士班研究生修業要點第二十二條**

「學生通過研究計劃之報告，並於博士班在學期間曾在國外相關學術期刊(具審查制度)或 TSSCI 學術期刊發表或接受兩篇財務金融相關之論文，且經通過本所博士班畢業門檻審核後，得申請博士學位考試。任一篇期刊論文僅得由一位學生用以完成本系博士班修業規定，若其他共同著作人為本所博士生，則須出具同意書放棄同一著作，但需是進入博士班後新作，並以雲科大名義發表。」

申請人姓名 Name \_\_\_\_\_ 學號 ID \_\_\_\_\_

申請日期 Date \_\_\_\_\_

☐ 本論文已由本系財金系博士生共同著作人\_\_\_\_\_申請作為本所博士班畢業門檻審核，本人放棄以此論文作為本所博士班畢業門檻審核

**期刊論文**

☐ 已接受 Accepted ☐ 已發表 Published 接受或發表日期 Date \_\_\_\_\_

論文名稱 Paper Title \_\_\_\_\_

☐ TSSCI 名稱 \_\_\_\_\_

☐ 國外期刊名稱 \_\_\_\_\_

附件 ☐ 論文全文或封面頁(載有期刊名稱、論文名稱、作者)

申請人簽名 Signature \_\_\_\_\_ 日期 \_\_\_\_\_

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# NATIONAL YUNLIN UNIVERSITY OF SCIENCE AND TECHNOLOGY

## Department of Finance / Graduate Institute of Finance

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According to Article 22 of the Ph.D. Program Academic Regulations of the Graduate Institute of Finance:

*“Students who have passed their dissertation proposal defense, published (or had accepted) two finance-related papers in relevant peer-reviewed international academic journals or TSSCI journals during their doctoral studies, and passed the graduation criteria review of this Institute, may apply for the doctoral degree examination.*

*Any given journal paper may only be used by one student to fulfill the doctoral program requirements of the Department. If other co-authors are doctoral students of this Institute, they must submit a consent form waiving their right to use the same paper; furthermore, the paper must be a new work completed after entering the doctoral program and published under the name of NYUST.”*

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☐ This paper has been submitted by the co-author, \_\_\_\_\_ (a Ph.D. student of this department), for the review of academic publication requirements for graduation. I hereby waive my right to use this paper as graduation requirements for myself in this Institute.

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