

國立陽明交通大學資訊管理與財務金融學系財務金融博士班

**Graduate Program of Finance**  
**Department of Information Management and Finance**  
**National Yang Ming Chiao Tung University**

**博士班資格考試辦法**

**Regulations for the PhD Candidate Qualification Examination**

110.02.01\_109 學年度第 1 次博士班委員會會議新訂

Stipulated at the 1<sup>st</sup> IOF PhD Program Committee Meeting in Academic Year 2020 (1 February, 2021)

110.12.06\_110 學年度第 5 次博士班委員會會議修訂

Amended at the 5<sup>th</sup> IOF PhD Program Committee Meeting in Academic Year 2021 (6 December, 2021)

111.07.06\_110 學年度第 9 次博士班委員會會議修訂

Amended at the 9<sup>th</sup> IOF PhD Program Committee Meeting in Academic Year 2021 (6 July, 2022)

一、本系財務金融博士班(以下簡稱“本博士班”)資格考考試，每學期舉行一次，研究生於入學後第一學期即可申請考試。

1. The PhD candidate qualification examination in Graduate Program of Finance (referred to as IOF PhD program hereunder) is held once every semester. Graduate students can apply for the examination from the first semester after enrollment.

二、本博士班之資格考考試科目共計下列三科；

(一)財務理論領域。

(二)衍生性商品理論領域。

(三)人工智慧領域。

財金組須通過上述之財務理論領域或是衍生性商品理論領域其中一科。

AI 組須在上述三科中擇一通過。

考試方式由當學年度出題之教授訂定之。

2. The PhD candidate qualification examination in IOF PhD program including 3 subjects as follows:

(1) Financial theory field

(2) Derivatives theory field

(3) Artificial intelligence field.

Finance group students must pass one of the following subjects: financial theory fields, or derivatives theory fields.

AI group students must pass one of the following subjects: financial theory fields, or derivatives theory fields, or Artificial intelligence field.

The examination method is determined by the professor who set questions in the academic year.

三、本博士班之資格考考試訂於每學期結束後兩週內舉行考試；並於下一學期開學前一週公布資格考考試結果。

3. The PhD candidate qualification examination in IOF PhD program is scheduled to be held within two weeks after the end of each semester; the qualification examination results will be notified one week before the forthcoming semester begin.

四、本博士班研究生申請參加資格考考試之次數，以4次(含)為上限(包含休學期間)。

4. Students may apply to participate the qualification exam up to 4 times (inclusive) (including the suspension period).

五、本博士班之資格考申請日期為每學期的第15週；因故須取消考試申請者，須至少於考試前一週提出，未於規定期限之前提出者，考試之次數仍以一次計算之。(例如：同一學期參加兩科考試者，次數以兩次計算。)

5. The application date of the qualification exam is the fifteen weeks of each semester. Those who need to cancel the application for some reason must submit the cancel application at least one week before the exam. If the application is not submitted before the specified deadline, the number of exams will still be counted as one time. (e.g. Those who applied to participated 2 subjects in the same semester will be counted as 2 times.)

六、尚未修習過與考試科目相關課程之考生，不得申請參加該考科之資格考考試。與考科相關之課程如下表所列；申請者修習過之相關科目未列於下表者，需經由財務金融博士班委員會開會審核通過，方可參加考試。

領域	科目相關課程
財務理論領域	財務理論
衍生性商品理論領域	衍生性商品理論
人工智慧領域	人工智慧或機器學習

6. students cannot apply to participate the subject if didn't study the courses related subject before.

The related subjects are listed as follows. If students studied the courses related subject that didn't listed in the following table but wants to apply to participate the exam, they must get the permission from the meeting of IOF PhD Program Committee beforehand.

Field	Courses related subject
Financial theory field	Financial theory
Derivatives theory field	Derivatives theory
Artificial intelligence field	Artificial intelligence or Machine learning

- 七、本博士班研究生需於入學後第三學年上學期內通過資格考，否則即予退學。(不含休學期間；休學期間亦可申請參加資格考試)
7. IOF PhD students should pass the qualification examination before the 1st semester of the 3rd academic year after admission (excluding the suspension period; students can apply to participate the exam during the suspension period). Students who do not pass the PhD candidate qualification examination within the period, are required to drop out of NYCU.
- 八、通過博士班資格考試之博士生，除博士學位論文外，論文發表必須至少 1 篇與指導教授共同發表。若發表之文章有與本博士班其他研究生共同發表者，僅限 1 人用以申請列入畢業條件。論文發表(須附論文抽印本或影印本或接受函證明)須符合下列之規定：
- (一) 109 學年度(含)之前入學且資格考通過之博士生，發表論文篇數及期刊等級須符合下列之規定:至少 1 篇論文發表於 SSCI 期刊或 SCI 期刊或科技部之財會學門中財務與會計領域排序 B+(含)等級以上之期刊。
- (二) 109 學年度(含)之前入學且資格考獲得條件式通過之博士生，發表論文篇數及期刊等級須符合下列之規定:
1. 資格考條件式通過 1 科者，須額外發表 1 篇期刊論文；論文須發表於由財金博委會通過之 TSSCI 期刊或 SSCI 期刊或 SCI 期刊或科技部之財會學門中財務與會計領域排序 B+(含)等級以上之期刊；其中論文發表於由財金博委會通過之 TSSCI 期刊僅限 1 篇。
  2. 得以 1 篇於科技部之財會學門中財務與會計領域排序 A<sub>Tier-1</sub> (含)以上期刊發表之文章，取代 2 篇由財金博委會通過之 TSSCI 期刊或 SSCI 期刊或 SCI 期刊或科技部之財會學門中財務與會計領域排序 B+(含)等級以上之期刊。
- (三) 110 學年度(含)後入學者，發表論文篇數及期刊等級須符合下列其中一項之規定:
1. 至少 2 篇論文發表於由財金博委會通過之 TSSCI 期刊或 SSCI 期刊或 SCI 期刊或科技部之財會學門中財務與會計領域排序 B+(含)等級以上之期刊；其中論文發表於由財金博委會通過之 TSSCI 期刊僅限 1 篇。
  2. 至少 1 篇論文發表於科技部之財會學門中財務與會計領域排序 A<sub>Tier-1</sub> (含)等級以上之期刊。
8. Students who passed the qualification examination, should publish their paper in international journals, and at least one paper should co-author with advisor. If the published paper is co-authored by more than two IOF PhD students, then only one IOF PhD student can use the published paper for graduation requirements. The publication (acceptance letter or PDF file of published papers should be attached) should fulfill the following requirements:
- (1) Students who were enrolled and passed the qualification examination before Academic year 2020, the number of published papers and the categories of published journals should fulfill one the following requirements: published at least 1 paper in journals listed in SSCI, or SCI, or in other B+ (included) journals in financial and accounting category of Ministry of Science and Technology.

(2) Students who were enrolled and conditional passed the qualification examination before Academic year 2020, the number of published papers and the categories of published journals should fulfill one the following requirements:

A. Students who conditional passed the qualification examination for one subject need to publish 1 more paper in international journals; the papers should be published in journals listed in TSSCI that approved by IOF PhD Program Committee, or SSCI, or SCI, or in other B+ (included) journals in financial and accounting category of Ministry of Science and Technology.

B. published 1 paper in journals listed in A<sub>Tier-1</sub> (included) journals in financial and accounting category of Ministry of Science and Technology to replace 2 papers that published in journals listed in TSSCI that approved by IOF PhD Program Committee, or SSCI, or SCI, or in other B+ (included) journals in financial and accounting category of Ministry of Science and Technology.

(3) Students who were enrolled and passed the qualification examination after Academic year 2021 (included), the number of published papers and the categories of published journals should fulfill one the following requirements:

A. published at least two papers in journals listed in TSSCI that approved by IOF PhD Program Committee, or SSCI, or SCI, or in other B+ (included) journals in financial and accounting category of Ministry of Science and Technology.

B. published at least 1 paper in journals listed in A<sub>Tier-1</sub> (included) journals in financial and accounting category of Ministry of Science and Technology.

九、本辦法由資訊管理與財務金融學系財務金融博士班委員會通過後實施，修訂時亦同。

9. The regulation will be implemented after being passed at the Meeting of IOF PhD Program Committee. The same procedure will be applied if the regulation is amended.

本辦法係以中文訂定，如中、英文兩個版本有任何歧義或牴觸時，

應以中文版本內容為準。

The English regulations were drawn up in Chinese and translated into

English. In the event of any discrepancy between the two versions,

the original Chinese version shall prevail.