



Course Specification

— (Bachelor)

Course Title: **Financial Regulation**

Course Code: **Fin 380**

Program: **B.Sc. in Finance**

Department: **Economic and Finance**

College: **College of Business Administration**

Institution: **University of Ha'il**

Version: **2023**

Last Revision Date: **11/2/2024**

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A. General information about the course:

1. Course Identification

1. Credit hours: (03)

2. Course type

A. ☐ University ☐ College ☒ Department ☐ Track ☐ Others
B. ☒ Required ☐ Elective

3. Level/year at which this course is offered: (4th level, 2nd year)

4. Course General Description:

Provide students a thorough grasp of the laws, rules, and guidelines that control the financial sector. This course aims to give students the information and abilities they need to understand the regulatory environment in which financial institutions function.

5. Pre-requirements for this course (if any):

FIN 317
LAW 245
EDUC 115

6. Co-requirements for this course (if any):

None

7. Course Main Objective(s):

Understanding regulatory bodies: Students learn about the roles and functions of various regulatory bodies such as the Securities and Exchange Commission (SEC), the Federal Reserve, and other international regulatory organizations.

Compliance requirements: Students learn about the compliance requirements imposed on financial institutions to ensure transparency, stability, and fairness in financial markets.

Risk management: Students gain an understanding of how regulations aim to mitigate risks in the financial system, such as systemic risk, market risk, and operational risk.

Consumer protection: Students learn about regulations aimed at protecting consumers from unfair practices, fraud, and predatory lending in the financial industry.

Ethical considerations: Students explore the ethical implications of financial regulations and their impact on society, including issues related to corporate governance, social responsibility, and sustainability.

Regulatory trends and updates: Students stay abreast of current regulatory trends, developments, and reforms in the financial industry, preparing them for careers in finance, banking, law, or regulatory compliance.

2. Teaching mode (mark all that apply)

No	Mode of Instruction	Contact Hours	Percentage
1	Traditional classroom	45	100%
2	E-learning	0	0%
3	Hybrid <ul style="list-style-type: none"> Traditional classroom E-learning 		
4	Distance learning	0	0%

3. Contact Hours (based on the academic semester)

No	Activity	Contact Hours
1.	Lectures	45
2.	Laboratory/Studio	0
3.	Field	0
4.	Tutorial	0
5.	Others (specify)	0
Total		45

B. Course Learning Outcomes (CLOs), Teaching Strategies and Assessment Methods

Code	Course Learning Outcomes	Code of CLOs aligned with the program	Teaching Strategies	Assessment Methods
1.0	Knowledge and understanding			
1.1	Recognize different aspects of the financial regulations of banks.	K3	Lectures Discussion	1-Direct Midterm Exam Final Exam 2. indirect Course evaluation by students
1.2	Discuss the financial regulation of financial markets.	K3	Lectures	1-Direct



Code	Course Learning Outcomes	Code of CLOs aligned with the program	Teaching Strategies	Assessment Methods
			Discussion	Midterm Exam Final Exam Short Exam (Quiz)
1.3	Distinguish between the financial regulations of banks and non-financial firms.	K3	Lectures Discussion	1-Direct Midterm Exam Final Exam Short Exam (Quiz) 2. indirect Course evaluation by students
2.0	Skills			
2.1	Examine regulations required to prepare financial reports.	S2	Lectures, Discussion, Problem-solving	Discussion Final Exam Quiz 2. indirect Course evaluation by students
2.2	Communicate tax regulations.	S5	Lectures, Case study	1-Direct Midterm Exam Final Exam 2. indirect Course evaluation by students
3.1	Apply the regulations related to financial reports and auditing concepts.	V1	Lectures, Discussion, Case Study extracurricular activities	1-Direct Midterm Exam Classwork 2. indirect Course evaluation by students





C. Course Content

No	List of Topics	Contact Hours
1.	Chapter 1: Overview of financial regulations	3
2.	Chapter 2: Financial reports regulations	9
3	Chapter 3: Financial market regulations	9
4	Chapter 4: Tax regulations	6
5	Chapter 5: Central Bank Regulations	9
6	Chapter 6: Case studies in finance regulations	9
Total		45

D. Students Assessment Activities

No	Assessment Activities *	Assessment timing (in week no)	Percentage of Total Assessment Score
1.	, Discussion	1-7&10-14 week	5%
2.	(Quiz 1)	7 th week	5%
3.	Midterm Exam	8 th week	30%
4.	(Quiz 2)	14 th week	5%
5	Final Exam	16 th week	50%
6	Participation in extracurricular activities	All the semester	5%

*Assessment Activities (i.e., Written test, oral test, oral presentation, group project, essay, etc.).

E. Learning Resources and Facilities

1. References and Learning Resources

Essential References	Moloney, Niamh, Eilís Ferran, and Jennifer Payne (eds), <i>The Oxford Handbook of Financial Regulation</i> (2015; online edn, Oxford Academic, 12 Nov. 2015),
Supportive References	Armour, J., Awrey, D., Davies, P. L., Enriques, L., Gordon, J. N., Mayer, C. P., & Payne, J. (2016). <i>Principles of financial regulation</i> . Oxford University Press.
Electronic Materials	https://www.amazon.com/Financial-Regulation-Policy-University-Casebook/dp/1647084830



Other Learning Materials

Fintech Law in a Nutshell (Nutshells) 1st Edition
by Chris Brummer.

2. Required Facilities and equipment

Items	Resources
facilities (Classrooms, laboratories, exhibition rooms, simulation rooms, etc.)	Classrooms are available
Technology equipment (projector, smart board, software)	Smart Board Wi-Fi /Internet
Other equipment (depending on the nature of the specialty)	None

F. Assessment of Course Quality

Assessors (Students, Faculty, Program Leaders, Peer Reviewers, Others (specify)

Assessment Methods (Direct, Indirect)

Assessment Areas/Issues	Assessor	Assessment Methods
Effectiveness of teaching	Chairman & Peers (PAAAP) Class observation (using class observation form). Students course evaluation survey (CES)	Direct. Indirect
Effectiveness of student's assessment	Review (faculty from the same department) Reviewing the exam paper Co-signing the grades. Unified mid-term/final exams	Direct direct direct

Assessment Areas/Issues	Assessor	Assessment Methods
Quality of learning resources	Students course evaluation survey (CES)	Indirect
The extent to which CLOs have been achieved	Instructor direct method (CLOs assessment form for all assessment methods)	Direct
	Students CLOs assessment survey	Indirect
Other	None	None

G. Specification Approval

COUNCIL /COMMITTEE	Department Council
REFERENCE NO.	No.4 /1441-1442
DATE	5-10-2023

