

LA365-15 Financial Services Regulation

26/27

Department

School of Law

Level

Undergraduate Level 3

Module leader

Dalvinder Singh

Credit value

15

Module duration

10 weeks

Assessment

Multiple

Study location

University of Warwick main campus, Coventry

Description

Introductory description

This module will focus on the law, policy and practice governing the regulation of the financial services industry in the UK, post the financial crisis.

[Module web page](#)

Module aims

The financial services industry has experienced considerable regulatory reforms in recent years, post the financial crisis. This module will focus on the law, policy and practice governing the regulation of the financial services industry in the UK, post the financial crisis. It will specifically focus on the role and responsibilities of the new Prudential Regulation Authority and the Financial Conduct Authority under the Financial Services and Markets Act 2000; as amended by the Financial Services Act 2012. It will specifically look at: The rationale for a 'twin peaks' model of regulation; The regulation of banking and investment business; The responsibilities of regulated firms and senior management; and The PRA's and the FCA's powers to oversee the activities of the financial services industry.

Outline syllabus

This is an indicative module outline only to give an indication of the sort of topics that may be covered. Actual sessions held may differ.

The rationale for regulation and supervision

Regulated Businesses & Persons

Authorisation & Supervision

Corporate Governance of Financial Firms

Enforcement Powers and Sanctions

Bank Resolution and Restructuring

Financial Firm Closures and Compensating Depositors and Investors

Learning outcomes

By the end of the module, students should be able to:

- Acquire an understanding of the difference between bank regulation and the investment business regulation. How the regulatory system seek to protect depositors and investors.
- Appreciate the key principles and issues associated with financial regulation namely authorisation, supervision, enforcement and the right to appeal
- Learn how to use the FCA online Handbook and other on-line resources
- Identify and use the sources of financial law and regulation
- Analyse key legal / regulatory text and case law
- Communicate effectively with their peers and work within teams and successfully collaborate within seminars.
- Be able to constructively engage with the arguments of peers.
- Identify and critically analyse key depositor and investor protection issues arising from legal rules and understand their wide-ranging relevance to modern society
- Formulate questions and engage in problem solving exercises.
- Make informed independent and reasoned judgments.
- Undertake independent research.
- Articulate arguments orally and in writing.
- Make productive links between theoretical ideas, policy issues and practical applications.
- Demonstrate advanced written and oral presentation skills.
- Understand how the FCA, Central Bank and HM Treasury work together to oversee the financial system
- Develop oral advocacy skills.
- Develop ability to utilise subject-specific research tools.
- The historical context to the regulation of the UK financial services industry.
- The students will get an understanding of why financial markets are regulated and how they are regulated.

Subject specific skills

No subject specific skills defined for this module.

Transferable skills

No transferable skills defined for this module.

Study

Study time

Type	Required
Lectures	18 sessions of 1 hour (12%)
Seminars	7 sessions of 1 hour (5%)
Private study	125 hours (83%)
Total	150 hours

Private study description

125 hours of private study

Costs

No further costs have been identified for this module.

Assessment

You do not need to pass all assessment components to pass the module.

Students can register for this module without taking any assessment.

Assessment group B6

Assessment component	Weighting	Study time	Eligible for self-certification
Centrally-timetabled examination (on campus)	100%		No

- Answerbook Gold (24 page)

Weighting **Study time** **Eligible for self-certification**

Reassessment component is the same

Assessment group S

Weighting **Study time** **Eligible for self-certification**

Assessment component

Essay 2500 words 100% Yes (extension)

Reassessment component is the same

Feedback on assessment

Generic feedback via Moodle, with option for one to one feedback by student request in October.

[Past exam papers for LA365](#)

Availability

Courses

This module is Optional for:

- UIBA-MN34 Law and Business Four Year (Qualifying Degree)
 - Year 2 of MN34 Law and Business Studies Four Year (Qualifying Degree)
 - Year 3 of MN34 Law and Business Studies Four Year (Qualifying Degree)
 - Year 4 of MN34 Law and Business Studies Four Year (Qualifying Degree)
- ULAA-M300 Undergraduate Law
 - Year 2 of M300 Law
 - Year 3 of M300 Law
 - Year 3 of M300 Law
- ULAA-M105 Undergraduate Law (3 year) (Qualifying Degree)
 - Year 2 of M105 Law (3 year) (Qualifying Degree)
 - Year 2 of M105 Law (3 year) (Qualifying Degree)
 - Year 3 of M105 Law (3 year) (Qualifying Degree)
 - Year 3 of M105 Law (3 year) (Qualifying Degree)
- ULAA-M301 Undergraduate Law (4 Year)
 - Year 2 of M301 Law (4 year)

- Year 4 of M301 Law (4 year)
- ULAA-M106 Undergraduate Law (4 year) (Qualifying Degree)
 - Year 2 of M106 Law (4 year) (Qualifying Degree)
 - Year 2 of M106 Law (4 year) (Qualifying Degree)
 - Year 3 of M106 Law (4 year) (Qualifying Degree)
 - Year 4 of M106 Law (4 year) (Qualifying Degree)
- Year 4 of ULAA-M355 Undergraduate Law (European)
- ULAA-M104 Undergraduate Law (Year Abroad)
 - Year 2 of M104 Law (Year Abroad)
 - Year 4 of M104 Law (Year Abroad)
 - Year 4 of M104 Law (Year Abroad)
- ULAA-M108 Undergraduate Law (Year Abroad) (Qualifying Degree)
 - Year 2 of M108 Law (Year Abroad) (Qualifying Degree)
 - Year 2 of M108 Law (Year Abroad) (Qualifying Degree)
 - Year 4 of M108 Law (Year Abroad) (Qualifying Degree)
 - Year 4 of M108 Law (Year Abroad) (Qualifying Degree)
- UIBA-MN31 Undergraduate Law and Business Studies
 - Year 2 of MN31 Law and Business Studies (Three-Year)
 - Year 3 of MN31 Law and Business Studies (Three-Year)
- ULAA-ML33 Undergraduate Law and Sociology
 - Year 3 of ML33 Law and Sociology
 - Year 4 of ML33 Law and Sociology
- ULAA-M10A Undergraduate Law with French Law (Qualifying Degree)
 - Year 2 of M10A Law with French Law (Qualifying Degree)
 - Year 4 of M10A Law with French Law (Qualifying Degree)
- ULAA-M10C Undergraduate Law with German Law (Qualifying Degree)
 - Year 2 of M10C Law with German Law (Qualifying Degree)
 - Year 4 of M10C Law with German Law (Qualifying Degree)
- ULAA-M110 Undergraduate Law with Humanities (3 Year)
 - Year 2 of M110 Law with Humanities (3 year)
 - Year 3 of M110 Law with Humanities (3 year)
- ULAA-M111 Undergraduate Law with Humanities (3 Year) (Qualifying Degree)
 - Year 2 of M111 Law with Humanities (3 year) (Qualifying Degree)
 - Year 3 of M111 Law with Humanities (3 year) (Qualifying Degree)
- ULAA-M113 Undergraduate Law with Humanities (4 Year) (Qualifying Degree)
 - Year 3 of M113 Law with Humanities (4 year) (Qualifying Degree)
 - Year 4 of M113 Law with Humanities (4 year) (Qualifying Degree)
- ULAA-M114 Undergraduate Law with Social Sciences (3 Year)
 - Year 2 of M114 Law with Social Sciences (3 year)
 - Year 3 of M114 Law with Social Sciences (3 year)
- ULAA-M115 Undergraduate Law with Social Sciences (3 Year) (Qualifying Degree)
 - Year 2 of M115 Law with Social Sciences (3 year) (Qualifying Degree)
 - Year 2 of M115 Law with Social Sciences (3 year) (Qualifying Degree)
- ULAA-M116 Undergraduate Law with Social Sciences (4 Year)
 - Year 3 of M116 Law with Social Sciences (4 year)
 - Year 4 of M116 Law with Social Sciences (4 year)

- ULAA-M117 Undergraduate Law with Social Sciences (4 Year) (Qualifying Degree)
 - Year 2 of M117 Law with Social Sciences (4 year) (Qualifying Degree)
 - Year 3 of M117 Law with Social Sciences (4 year) (Qualifying Degree)
- UPXA-FG31 Undergraduate Mathematics and Physics (MMathPhys)
 - Year 3 of GF13 Mathematics and Physics
 - Year 3 of FG31 Mathematics and Physics (MMathPhys)
 - Year 3 of FG31 Mathematics and Physics (MMathPhys)
 - Year 3 of FG31 Mathematics and Physics (MMathPhys)
- USTA-Y602 Undergraduate Mathematics,Operational Research,Statistics and Economics
 - Year 2 of Y602 Mathematics,Operational Research,Stats,Economics
 - Year 2 of Y602 Mathematics,Operational Research,Stats,Economics
 - Year 4 of Y602 Mathematics,Operational Research,Stats,Economics
 - Year 4 of Y602 Mathematics,Operational Research,Stats,Economics
- UPHA-V7MW Undergraduate Politics, Philosophy and Law
 - Year 2 of V7MW Politics, Philosophy and Law
 - Year 2 of V7MW Politics, Philosophy and Law
 - Year 3 of V7MW Politics, Philosophy and Law
 - Year 3 of V7MW Politics, Philosophy and Law