

# LA905-20 International Banking & Securities Regulation

**26/27**

**Department**

School of Law

**Level**

Taught Postgraduate Level

**Module leader**

Dalvinder Singh

**Credit value**

20

**Module duration**

10 weeks

**Assessment**

100% coursework

**Study location**

University of Warwick main campus, Coventry

---

## Description

### Introductory description

Banks are regulated domestically but their activities transcend their borders internationally.

This module analyses the legal, theoretical and practical aspects of bank regulation and supervision, focusing on the practical steps to regulate activities such as consolidated supervision, capital adequacy, large exposure rules and more.

[Module web page](#)

### Module aims

This module will focus on the legal, theoretical and practical aspects of bank regulation and supervision, with a particular focus on 'current' events. It will analyse the issues relating to banking from the perspective of private and public law. It will first outline the rationale of why we need regulation and supervision. It will focus on the domestic, European and international statutes, directives and standards respectively that have shaped the way these activities are overseen. Banks are regulated domestically but their activities invariably transcend their borders internationally. It will focus on the practical steps to regulate their activities

such as consolidated supervision, capital adequacy, large exposure rules and the fit and proper criteria that need to be fulfilled by the institutions and individuals themselves on a continuous basis. It will critically evaluate the policy considerations that have come and gone to enhance the effectiveness of these tools.

## **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.

A selection of the following topics will be covered:

Banks and Non-Banking Business and Finance;

The Capital Markets Regulation in the European Union;

Authorisation - Supervision - Enforcement;

Capital Adequacy and Liquidity Risk Requirements;

Financial Crisis Management & Bank Resolution;

Bank Insolvency and Deposit Insurance;

Money Laundering and Terrorist Finance;

Insider Dealing and Market Abuse;

and Regulation of OTC Derivatives

## **Learning outcomes**

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

- Understanding of Banks and Non-Banking Business and Finance
- Understanding of the Capital Markets Regulation in the European Union
- Understanding of authorisation, supervision, enforcement.
- Understanding of capital adequacy and liquidity risk requirements, financial crisis management & bank resolution.
- Understanding of bank insolvency and deposit insurance, money laundering and terrorist finance, insider dealing and market abuse and Regulation of OTC Derivatives.

## **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                    |
|---------------|-----------------------------|
| Seminars      | 9 sessions of 3 hours (17%) |
| Private study | 133 hours (83%)             |
| Total         | 160 hours                   |

### Private study description

No private study requirements defined for this module.

### Costs

No further costs have been identified for this module.

---

## Assessment

You must pass all assessment components to pass the module.

Students can register for this module without taking any assessment.

### Assessment group A2

|                             | Weighting | Study time | Eligible for self-certification |
|-----------------------------|-----------|------------|---------------------------------|
| <b>Assessment component</b> |           |            |                                 |
| 4000 word essay             | 100%      | 40 hours   | Yes (extension)                 |

Reassessment component is the same

### Feedback on assessment

Feedback via Tabula

---

## Availability

## Pre-requisites

## Courses

This module is Optional for:

- Year 1 of TIMA-L981 Postgraduate Social Science Research
- Year 1 of TLAA-M3PJ Postgraduate Taught Advanced Legal Studies
- Year 1 of TLAS-M3P7 Postgraduate Taught International Economic Law
- Year 1 of TLAS-M221 Postgraduate Taught LLM in International Corporate Governance and Financial Regulation

This module is Core option list B for:

- Year 1 of TLAA-M3PJ Postgraduate Taught Advanced Legal Studies
- Year 1 of TLAA-M223 Postgraduate Taught International Commercial Law
- Year 1 of TLAS-M3P7 Postgraduate Taught International Economic Law
- Year 1 of TLAS-M221 Postgraduate Taught LLM in International Corporate Governance and Financial Regulation

This module is Option list A for:

- TLAA-M3PJ Postgraduate Taught Advanced Legal Studies
  - Year 1 of M3PJ Advanced Legal Studies
  - Year 3 of M3PJ Advanced Legal Studies
- Year 1 of TLAS-M3P7 Postgraduate Taught International Economic Law
- Year 1 of TLAS-M221 Postgraduate Taught LLM in International Corporate Governance and Financial Regulation

This module is Option list B for:

- TLAA-M223 Postgraduate Taught International Commercial Law
  - Year 1 of M223 International Commercial Law
  - Year 3 of M223 International Commercial Law

This module is Option list C for:

- TPOS-M9PE Double MA in Politics and International Studies (with NTU Singapore)
  - Year 1 of M91F Globalisation and Development (Double Degree - NTU)
  - Year 1 of M91L International Development (Double Degree - NTU)
  - Year 1 of M91B International Political Economy (Double Degree - NTU)
  - Year 1 of M91C International Politics and East Asia (Double Degree - NTU)
  - Year 1 of M91D International Politics and Europe (Double Degree - NTU)
  - Year 1 of M91G International Security (Double Degree - NTU)
  - Year 1 of M91K Political and Legal Theory (Double Degree - NTU)
  - Year 1 of M91J United States Foreign Policy (Double Degree - NTU)
  - Year 2 of M91L International Development (Double Degree - NTU)
  - Year 2 of M91B International Political Economy (Double Degree - NTU)

- Year 2 of M91C International Politics and East Asia (Double Degree - NTU)
- TPOS-M9PP Double MA in Politics and International Studies (with Universität Konstanz, Germany)
  - Year 1 of M92L International Development (Double Degree - Konstanz)
  - Year 1 of M92B International Political Economy (Double Degree - Konstanz)
  - Year 1 of M92C International Politics and East Asia (Double Degree - Konstanz)
  - Year 1 of M92D International Politics and Europe (Double Degree - Konstanz)
  - Year 1 of M92E International Relations (Double Degree - Konstanz)
  - Year 1 of M92G International Security (Double Degree - Konstanz)
  - Year 1 of M92K Political and Legal Theory (Double Degree - Konstanz)
  - Year 1 of M92H Public Policy (Double Degree - Konstanz)
  - Year 2 of M92B International Political Economy (Double Degree - Konstanz)
  - Year 2 of M92C International Politics and East Asia (Double Degree - Konstanz)
  - Year 2 of M92D International Politics and Europe (Double Degree - Konstanz)
  - Year 2 of M92E International Relations (Double Degree - Konstanz)
  - Year 2 of M92G International Security (Double Degree - Konstanz)
  - Year 2 of M92K Political and Legal Theory (Double Degree - Konstanz)
  - Year 2 of M92H Public Policy (Double Degree - Konstanz)
- Year 2 of TPOS-M9PT MA in International Development
- Year 2 of TPOS-M1P8 Postgraduate Taught International Politics and East Asia
- Year 2 of TPOS-M9PS Postgraduate Taught Political and Legal Theory
- Year 2 of TPOS-M9PQ Postgraduate Taught United States Foreign Policy