

Module Information

2022.01, Approved

Summary Information

Module Code	7506LAWINF
Formal Module Title	Compliance, Supervision and Enforcement
Owning School	Law
Career	Postgraduate Taught
Credits	20
Academic level	FHEQ Level 7
Grading Schema	50

Teaching Responsibility

LJMU Schools involved in Delivery
LJMU Partner Taught

Partner Teaching Institution

Institution Name
Informa Connect

Learning Methods

Learning Method Type	Hours
Online	30

Module Offering(s)

Display Name	Location	Start Month	Duration Number Duration Unit
APR-PAR	PAR	April	12 Weeks

Aims and Outcomes

Aims	This module aims to critically assess the compliance, supervision and enforcement of law within the financial services industry. This includes exploring the range of regulatory approaches and compliance monitoring processes, as well as the scope of enforcement powers.
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After completing the module the student should be able to:

Learning Outcomes

Code	Number	Description
MLO1	1	Examine the fundamental regulatory principles of the financial services sector, and the impact on business conduct
MLO2	2	Appraise the supervision process and the scope of enforcement powers
MLO3	3	Critically evaluate the development of a risk-based compliance monitoring function
MLO4	4	Construct solutions for complex legal matters arising from compliance, supervision and enforcement within the financial services industry

Module Content

Outline Syllabus	By completing this module, students are expected to cover the indicative content as follows: Core regulatory principles The conduct of business The supervision process: a. Supervisory visits b. Conduct of investigations c. Enforcement powers Risk profile Performing risk assessment Planning reviews, testing and reporting The regulatory approach to 'culture' Role of the compliance officer Developing a risk-based compliance monitoring function
Module Overview	
Additional Information	There are no professional body requirements at this stage, however developments will be monitored and where appropriate, incorporated into module content.

Assessments

Assignment Category	Assessment Name	Weight	Exam/Test Length (hours)	Module Learning Outcome Mapping
Essay	Essay	60	0	MLO1, MLO2, MLO3
Report	Report	40	0	MLO4

Module Contacts

Module Leader

Contact Name	Applies to all offerings	Offerings
Emmanuel Guinchard	Yes	N/A

Partner Module Team

Contact Name	Applies to all offerings	Offerings