

<b>Module Title:</b>	Regulatory Environment and Compliance
<b>Academic year:</b>	2009-2010
<b>Credit Value:</b>	5
<b>Pre- requisites:</b>	None
<b>Assessment:</b>	Continuous Assessment 40% Final Examination 60%
<b>Aims</b>	This module aims to provide students with a comprehensive understanding of the importance of financial regulation and the role and management of the compliance function. Its pertinence to 'Ireland.inc' will be developed. The module will outline the relevance of key players to the industry and their regulatory powers .The role of the stock exchange, its powers and regulations is also focused on.
<b>Module Content</b>	<ul style="list-style-type: none"> <li>❖ Role and function of regulation and compliance in the financial services sector.</li> <li>❖ The main principles of insurance, and the classifications of insurance contracts.</li> <li>❖ Financial services theory .</li> <li>❖ The role of central banks in financial markets / institutional intervention</li> <li>❖ The role of credit unions, banks and building societies and their legislative restraints.</li> <li>❖ The role of directors and the management team with regard to compliance.</li> </ul>
<b>Intended Learning Outcomes:</b>	<p><b>On completion of the module the student will be able to:</b></p> <ol style="list-style-type: none"> <li>1. Describe in detail the role and function of regulation and compliance in the financial services sector.</li> <li>2. Assess the interaction between various regulatory bodies and their impact on the financial services sector and on the Irish economy.</li> <li>3. Outline the main principles of insurance, and the classifications of insurance contracts.</li> <li>4. Demonstrate competency in financial services theory and describe the action of whistle blowing.</li> <li>5. Analyse the role of central banks in financial</li> </ol>

	<p>markets and assess the effects of institutional intervention in an ever changing financial market.</p> <ol style="list-style-type: none"><li>6. Compare and contrast the role of credit unions, banks and building societies and their legislative restraints.</li><li>7. Outline the importance of the role of directors and the management team with regard to compliance.</li></ol>
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