MODULE DESCRIPTION FORM
نموذج وصف المادة الدراسية

<table>
<tr><th colspan="6">Module Information
معلومات المادة الدراسية</th></tr>
<tr><td>Module Title</td><td colspan="3">التشريعات المالية والتجارية</td><td colspan="2">Module Delivery</td></tr>
<tr><td>Module Type</td><td colspan="3">Supportive</td><td colspan="2" rowspan="5">☒Theory
☒ Lecture
☒ Lab
☐ Tutorial
☐ Practical
☒Seminar</td></tr>
<tr><td>Module Code</td><td colspan="3">AT1213</td></tr>
<tr><td>ECTS Credits</td><td colspan="3">6</td></tr>
<tr><td>SWL (hr/sem)</td><td colspan="3">150</td></tr>
<tr><td>Module Level</td><td>1</td><td colspan="2">Semester of Delivery</td><td colspan="2">1</td></tr>
<tr><td>Administering Department</td><td>Accounting tech.</td><td>College</td><td colspan="3">TECM</td></tr>
<tr><td>Module Leader</td><td>Lamia Shaker Ahmed</td><td>e-mail</td><td colspan="3">lamia.shaker@ntu.edu.iq</td></tr>
<tr><td>Module Leader’s Acad. Title</td><td>Assist Lecturer</td><td colspan="2">Module Leader’s Qualification</td><td colspan="2"></td></tr>
<tr><td>Module Tutor</td><td>Lamia Shaker Ahmed</td><td>e-mail</td><td colspan="3">lamia.shaker@ntu.edu.iq</td></tr>
<tr><td>Peer Reviewer Name</td><td>Dr. Waleed Khalid</td><td>e-mail</td><td colspan="3">Walled_khalid@ntu.edu.iq</td></tr>
<tr><td>Scientific Committee Approval Date</td><td>1/10/2024</td><td colspan="2">Version Number</td><td colspan="2">1.0</td></tr>
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<tr><th colspan="4">Relation with other Modules
العلاقة مع المواد الدراسية الأخرى</th></tr>
<tr><td>Prerequisite module</td><td>Non</td><td>Semester</td><td></td></tr>
<tr><td>Co-requisites module</td><td>Non</td><td>Semester</td><td></td></tr>
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Module Aims, Learning Outcomes and Indicative Contents أهداف المادة الدراسية ونتائج التعلم والمحتويات الإرشادية	
Module Objectives أهداف المادة الدراسية	1. Understanding Financial Regulations: Students will learn about the various laws and regulations governing financial institutions and markets, including their purposes and implications. 2. Legal Framework: The course aims to provide a thorough understanding of the legal framework surrounding financial transactions and operations, including local and international legislation. 3. Compliance and Risk Management: Students will gain knowledge about compliance requirements for businesses and financial entities, including risk management practices related to financial legislation. 4. Financial Instruments: The objectives include understanding different financial instruments and their regulations, such as stocks, bonds, derivatives, and insurance products. 5. Role of Regulatory Bodies: The course will highlight the role and functions of regulatory bodies such as the Securities and Exchange Commission (SEC), Financial Industry Regulatory Authority (FINRA), and others.
Module Learning Outcomes مخرجات التعلم للمادة الدراسية	1. Knowledge of Legal Framework: Students will demonstrate a comprehensive understanding of the main laws and regulations governing financial practices and institutions at both national and international levels. 2. Application of Regulations: Students will be able to apply legal concepts and financial regulations to real-world scenarios, analyzing and interpreting relevant laws to assess compliance and legal risks. 3. Critical Thinking: Learners will develop critical thinking skills to evaluate the implications of financial legislation on businesses and markets, considering both legal and ethical perspectives. 4. Regulatory Analysis: Students will be proficient in analyzing the roles and functions of regulatory bodies, understanding how they supervise and enforce financial legislation.

Learning and Teaching Strategies استراتيجيات التعلم والتعليم	
Strategies	1. Lectures and Presentations: Utilize interactive lectures to introduce key concepts, frameworks, and case studies related to financial legislation. Incorporate multimedia presentations to enhance understanding. 2. Case Studies: Analyze real-world case studies to illustrate the application of financial laws and regulations. This approach helps students connect theoretical knowledge with practical scenarios.

	3. Group Discussions: Encourage group discussions on current events and recent changes in financial legislation. This promotes critical thinking and allows students to explore diverse perspectives. 4. Role-Playing: Implement role-playing exercises where students take on the roles of regulators, financial institutions, and legal advisors. This fosters empathy and deeper understanding of the workings of financial legislation.

Student Workload (SWL) الحمل الدراسي للطالب محسوب لـ ١٥ اسبوعا			
Structured SWL (h/sem) الحمل الدراسي المنتظم للطالب خلال الفصل	93	**Structured SWL (h/w)** الحمل الدراسي المنتظم للطالب أسبوعيا	6.2
Unstructured SWL (h/sem) الحمل الدراسي غير المنتظم للطالب خلال الفصل	57	**Unstructured SWL (h/w)** الحمل الدراسي غير المنتظم للطالب أسبوعيا	3.8
Total SWL (h/sem) الحمل الدراسي الكلي للطالب خلال الفصل	**150**		

Module Evaluation تقييم المادة الدراسية					
		Time/Number	**Weight (Marks)**	**Week Due**	**Relevant Learning Outcome**
Formative assessment	**Quizzes**	3	10% (10)	5 ,8 and 10	LO #1, #2 and #10, #11
	Assignments	5	10% (10)	2,4,8,9,10	LO #3, #4 and #6, #7
	Projects / Lab.	5	10% (10)	Continuous	all
	Report	1	10% (10)	3,6,8	LO #7, #9 and #13
	Online assignment				
Summative assessment	**Midterm Exam**	2hr	10% (10)	7	LO #1 - #7
	Final Exam	3hr	50% (50)	16	All
Total assessment			100% (100 Marks)		

Delivery Plan (Weekly Syllabus) المنهاج الاسبوعي النظري	
	Material Covered
Week 1	Introduction to Financial Legislation - Overview of financial legislation and its importance. - Key concepts and definitions.

	- Historical development of financial regulation.
Week 2	Regulatory Frameworks - Understanding regulatory bodies (e.g., SEC, CFTC). - Roles and responsibilities of financial regulators. - Overview of major financial laws (e.g., Dodd-Frank Act).
Week 3	Securities Regulation - Introduction to securities laws. - Types of securities and their regulation. - The process of registration and disclosure.
Week 4	Banking Regulations - Overview of banking laws and regulations. - The role of the Federal Reserve. - Capital requirements and risk management.
Week 5	Anti-Money Laundering (AML) Laws - Introduction to AML regulations. - Know Your Customer (KYC) requirements. - The role of financial institutions in combating money laundering.
Week 6	Consumer Protection Laws - Overview of consumer financial protection legislation. - The role of the Consumer Financial Protection Bureau (CFPB). - Key laws (e.g., Truth in Lending Act, Fair Credit Reporting Act).
Week 7	Corporate Governance and Compliance - Principles of corporate governance. - Importance of compliance programs. - The role of the board of directors in financial oversight.
Week 8	Financial Markets and Instruments - Overview of financial markets (stock, bond, derivatives). - Regulation of financial instruments. - Understanding market manipulation and insider trading.
Week 9	International Financial Regulation - Overview of global financial regulations. - The role of international bodies (e.g., Basel Committee, FATF). - Cross-border regulation challenges.
Week 10	Taxation and Financial Legislation - Overview of tax laws affecting financial institutions. - Understanding tax compliance and implications.

	- Discussion on tax evasion and avoidance.
Week 11-14	Bankruptcy and Insolvency Laws - Introduction to bankruptcy laws. - The bankruptcy process and its impact on creditors and debtors. - Differences between Chapter 7 and Chapter 11 bankruptcy.
Week 15	**Review**
Week 16	**Final Exam**

Delivery Plan (Weekly Lab. Syllabus) المنهاج الاسبوعي للمختبر	
	Material Covered
Week 1	
Week 2	
Week 3	
Week 4	
Week 5	
Week 6	
Week 7	
Week 8	
Week 9-14	
Week 15	
Week 16	

Learning and Teaching Resources مصادر التعلم والتدريس		
	Text	**Available in the Library?**
Required Texts	Financial Regulation: Law and Policy" by Michael S. G. Lee - "The Law of Financial Institutions" by Jonathan R. Macey and Geoffrey P. Miller - "Principles of Financial Regulation" by Jeff N. C. W. P. Choi	Yes
Recommended Texts	journal of Financial Regulation - Offers peer-reviewed articles on financial regulation topics. - Harvard Law Review - Contains scholarly articles on legal issues, including financial legislation	yse
Websites	-Reports and guidelines published by regulatory bodies such as the SEC, Commodity Futures Trading Commission (CFTC), and the Consumer Financial Protection Bureau	

	(CFPB). -Platforms like Coursera and edX offer online courses pertaining to financial legislation and regulation.

Grading Scheme مخطط الدرجات				
Group	**Grade**	التقدير	**Marks %**	**Definition**
Success Group (50 - 100)	**A -** Excellent	امتياز	90 - 100	Outstanding Performance
	B - Very Good	جيد جدا	80 - 89	Above average with some errors
	C - Good	جيد	70 - 79	Sound work with notable errors
	D - Satisfactory	متوسط	60 - 69	Fair but with major shortcomings
	E - Sufficient	مقبول	50 - 59	Work meets minimum criteria
Fail Group (0 – 49)	**FX** – Fail	راسب (قيد المعالجة)	(45-49)	More work required but credit awarded
	F – Fail	راسب	(0-44)	Considerable amount of work required

Note: Marks Decimal places above or below 0.5 will be rounded to the higher or lower full mark (for example a mark of 54.5 will be rounded to 55, whereas a mark of 54.4 will be rounded to 54. The University has a policy NOT to condone "near-pass fails" so the only adjustment to marks awarded by the original marker(s) will be the automatic rounding outlined above.