

Module Details	
Module Title	Fin Tech Regulations, Compliance, Ethics and Risk Management
Module Code	AFE7516-B
Academic Year	2022/3
Credits	20
School	School of Management
FHEQ Level	FHEQ Level 7

Contact Hours	
Type	Hours
Directed Study	164
Lectures	24

Availability	
Occurrence	Location / Period
BDA	University of Bradford / Semester 2

Module Aims
This module aims to introduce students to current developments in FinTech with respect to regulation, governance, compliance and risk management. It explores contemporary FinTech regulation and compliance procedures. It discusses the underlying principles that will go on to influence the governance and risk management of FinTech into the future. At the successful completion of this module, students should be able to understand and critically evaluate governance and risk management procedures as applied to FinTech. Students will also cover contemporary FinTech regulation and compliance procedures as experienced by different countries and jurisdictions. Students will also be able to link their understanding with the recent developments in the global digital economy in general, and the financial services industry.

Outline Syllabus
? Regulation and compliance procedures for general financial assets; ? Cryptocurrencies and the law; ? Fraud and money laundering; ? Regulation and compliance for FinTech; ? Risk Management and governance for general financial assets; ? Risk Management and governance for FinTech; ? Managing regulatory risk; ? Managing technological risk.

Learning Outcomes	
Outcome Number	Description
1	Demonstrate an understanding of Fin Tech regulation and strategy including an awareness of wider financial services regulation and how regulations are applied in practice.
2	Explore current developments in FinTech and its impact on investors, the financial services industry, markets and the global economy.
3	Explore contemporary issues in regulation and compliance procedures within FinTech and cryptocurrencies.
4	Understand the real nature of risk management and governance procedures within FinTech related to retail and wholesale finance.
5	Explore aspects of financial regulation relevant to all Fin Tech businesses.
6	Explore ethical issues related to risk governance and compliance and Fin Tech.

Learning, Teaching and Assessment Strategy
Learning will be directed, supported and reinforced through a blending teaching approach which is the combination of online lectures and face to face tutorial sessions as well as through directed and self-directed study. Tutorial sessions will be face-to-case meetings involving small group supervision, feedback or detailed discussion on a particular topic. The tutorials complement formal lectures and will reinforce some of the major conceptual, regulatory and legal themes outlined in lectures. Formative feedback will be provided throughout the entire module. The final assessment will be; (1) a 2.5 hour closed book formal examination which explores the important themes that are outlined in this module, and (2) a group-based coursework assignment. Appropriate feedback, both formative and summative, will be given for the assessment.

Mode of Assessment			
Type	Method	Description	Weighting
Summative	Long-Time Limited Online Examination	Open book online exam	80%
Summative	Coursework - Written	Group-based coursework assignment (1500 words)	20%

Reading List
To access the reading list for this module, please visit https://bradford.rl.talis.com/index.html

Please note:

This module descriptor has been published in advance of the academic year to which it applies. Every effort has been made to ensure that the information is accurate at the time of publication, but minor changes may occur given the interval between publishing and commencement of teaching. Upon commencement of the module, students will receive a handbook with further detail about the module and any changes will be discussed and/or communicated at this point.

