



Course Specifications

Course Title:	Regulations of Applied and Digital Finance
Course Code:	FIN 351
Program:	BSc Finance
Department:	Finance
College:	Business Administration
Institution:	Prince Sultan University

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A. Course Identification

1. Credit hours:	3
2. Course type	
a.	University <input type="checkbox"/> College <input type="checkbox"/> Department <input checked="" type="checkbox"/> Others <input type="checkbox"/>
b.	Required <input checked="" type="checkbox"/> Elective <input type="checkbox"/>
3. Level/year at which this course is offered:	
4. Pre-requisites for this course (if any):	BUS 231, FIN 210
5. Co-requisites for this course (if any):	

6. Mode of Instruction (mark all that apply)

No	Mode of Instruction	Contact Hours	Percentage
1	Traditional classroom	45	100
2	Blended		
3	E-learning		
4	Distance learning		
5	Other		

7. Contact Hours (based on academic semester)

No	Activity	Contact Hours
1	Lecture	45
2	Laboratory/Studio	
3	Tutorial	
4	Others (specify)	
	Total	45

B. Course Objectives and Learning Outcomes

1. Course Description

This course introduces students to the laws and regulations that apply to the financial sector: Students learn the fundamental laws and regulations that govern the traditional and digital financial services. The paramount importance of these financial regulations is highlighted through analyzing some major financial crises that were caused by the breach of such financial regulations. Students are also introduced to the global financial markets and the regulations governing them along with the Kingdom's own domestic financial sector's laws and regulations. Students also learn laws and regulations pertaining to the derivative markets, both international and domestic.

2. Course Main Objective

The main objective of this course is to introduce students to the legal landscape of the financial sector, both digital and traditional services. After successfully completing this course, students should be able to:



- Explain various laws and regulations that govern financial sector, both traditional and digital services;
- Analyze recent financial crises and determine the causes behind these crises;
- Suggest how to mitigate the chances of such financial crises to happen again;
- Analyze global legal environment governing financial markets and compare it to the Kingdom's own financial legal landscape; and
- Analyze regulations governing financial derivative markets, both globally and domestically.

3. Course Learning Outcomes

CLOs		Aligned PLOs
1	Knowledge and Understanding	
1.1	Explain fundamental laws and regulations that apply to financial sector.	PLO1
1.2	Explain major causes behind recent financial crises.	PLO1
1.3		
1...		
2	Skills :	
2.1	Analyze the real-world cases related to regulation of both traditional and digital finance in KSA and internationally	PLO 2
2.2	Analyze financial crises, both qualitatively and quantitatively, to suggest preventing such crises from happening again.	PLO2
2.3	Demonstrate good communication skills primarily through assignments as well as classroom discussions and report writing	PLO 4a, 4b
2...		
3	Values:	
3.1	Show ability to collaborate with other students in working on the cases and project	PLO 5a
3.2	Understand ethical aspects of financial regulations and recognize unethical behaviors in studies cases	PLO 5b
3.3		
3...		

C. Course Content

No	List of Topics	Contact Hours
1	Overview of the course	3
2	Multiple Objective of financial regulations	3
3	Lessons of the recent financial crisis	3
4	Global Financial regulation: the institutional complexities	3
5	Regulating the derivatives markets	3
6	(Margin Requirements for Non-centrally Cleared Derivatives (KSA	3
7	International perspectives on regulation Fintech and cryptocurrency	6
8	Regulation and Ethics	3
9	KSA Capital Market law	6
10	KSA Anti-Fraud Rules for Finance Companies	3
11	KSA Rules of Engaging in Microfinance Activity	3



12	KSA Fintech and cryptocurrency regulation	6
Total		45

D. Teaching and Assessment

1. Alignment of Course Learning Outcomes with Teaching Strategies and Assessment Methods

Code	Course Learning Outcomes	Teaching Strategies	Assessment Methods
1.0	Knowledge and Understanding		
1.1	Explain main concepts underlying international financial regulations	Lecture, class discussions, and class activities.	Quiz/ Major exam/ final exam
1.2	Explain key aspects of financial regulations in KSA	Lecture, class discussions, and class activities.	Quiz/ Major exam/ final exam
1.3	Explain major causes behind recent financial crises.	Lecture, class discussions, and class activities.	Quiz/ Major exam/ final exam
...			
2.0			
2.1	Analyze the real-world cases related to finance regulation both traditional and FinTech	Lecture, class discussions, and class activities.	Quiz/Major exam/final exam/assignment
2.2	Analyze financial crises, both qualitatively and quantitatively, to suggest preventing such crises from happening again.	Lecture, class discussions, and class activities.	Quiz/Major exam/final exam/assignment
2.3	Analyze a case of a financial crisis in collaboration with other students, and demonstrate the team-work ability in solving the case.	Lecture, class discussions, and class activities.	Quiz/Major exam/final exam/assignment
3.0			
3.1	Show ability to collaborate with other students in working on the cases and project	Lecture and discussion	Assignment/project
3.2	Understand ethical aspects of financial regulations and recognize unethical behaviors in studies cases	Class discussion and report writing	written assignment (project)/presentation
...			

2. Assessment Tasks for Students

#	*Assessment task	Week Due	Percentage of Total Assessment Score
1	Major 1	5	20%
2	Major 2	9	20%
3	Assignment	7	5%
4	Participation	ongoing	5%
5	Written assignment (Project) and presentation	13	10%



#	*Assessment task	Week Due	Percentage of Total Assessment Score
6	Final exam	Exam week	40%
7			
8			

*Assessment task (i.e., written test, oral test, oral presentation, group project, essay, etc.)

E. Student Academic Counseling and Support

Arrangements for availability of faculty and teaching staff for individual student consultations and academic advice:

The instructor allocates 5 hours of face-to-face meeting per week to discuss problems encountered by the students. Instructor also makes use of emails and LMS as a medium of communication with the students

F. Learning Resources and Facilities

1. Learning Resources

Required Textbooks	Georges Ugeux, International Finance Regulation: The Quest for Financial Stability, 2014, ISBN: 978-1-118-82961-5, WILEY
Essential References Materials	-
Electronic Materials	https://www.sama.gov.sa/en-US/Laws/Pages/FinanceRulesAndRegulations.aspx https://cma.org.sa/en/RulesRegulations/CMALaw/Pages/default.aspx https://cma.org.sa/en/RulesRegulations/Regulations/Documents/FinTech_en.pdf https://fintechsaudi.com/wp-content/uploads/2020/07/English-Fintech-Access-Guide.pdf
Other Learning Materials	Instructor has the right to use any other resources appropriate for the course

2. Facilities Required

Item	Resources
Accommodation Classrooms, laboratories, demonstration) (.rooms/labs, etc	1. Size of classroom must occupy maximum up to 25 students. 2. Classroom with projector, computer, whiteboard, internet or WIFI



Item	Resources
Technology Resources AV, data show, Smart Board, software, (.etc)	Internet access, Smart-board
Other Resources Specify, e.g. if specific laboratory equipment is required, list requirements or (attach a list)	Bloomberg lab

G. Course Quality Evaluation

Evaluation Areas/Issues	Evaluators	Evaluation Methods
Strategies for Obtaining Student Feedback on Effectiveness of Teaching	Students	<ul style="list-style-type: none"> Students' evaluation survey Focus group discussion with small groups of students
Other Strategies for Evaluation of Teaching by the Instructor or by the Department	Associate Chair	Teaching evaluation by the Associate Chair
Achievement of course learning	Students	Student's evaluation survey

Evaluation areas (e.g., Effectiveness of teaching and assessment, Extent of achievement of course learning outcomes, Quality of learning resources, etc.)

Evaluators (Students, Faculty, Program Leaders, Peer Reviewer, Others (specify))

Assessment Methods (Direct, Indirect)

H. Specification Approval Data

Council / Committee	
Reference No.	
Date	

