



Course and Examination Fact Sheet: Spring Semester 2024

8,364: Politics of Financial Regulation

ECTS credits: 4

Overview examination/s

(binding regulations see below)

decentral - Written work, Digital, Group work group grade (50%)

Examination time: Term time

decentral - Active participation, Analog, Individual work individual grade (10%)

Examination time: Term time

decentral - Written work, Digital, Individual work individual grade (10%)

Examination time: Term time

decentral - Written work, Digital, Individual work individual grade (30%)

Examination time: Term time

Attached courses

Timetable -- Language -- Lecturer

[8,364,1.00 Politics of Financial Regulation](#) -- English -- [Gava Roy](#)

Course information

Course prerequisites

None.

Learning objectives

- Familiarisation with key actors (industry, regulators, policy-makers) and arenas (national, European, global) relevant for financial regulation.
- Drafting of regulatory mappings and policy analyses.
- Understanding of the drivers and impact of regulatory initiatives in the area of financial regulation (from agenda-setting to enforcement).

Course content

This course focuses on the regulation and governance of financial services. Thematically, the course covers banking, Fintech and sustainable finance regulation. The course investigates the emergence and evolution of regulatory frameworks, as well as the involvement of public and private actors in policy-making. The course privileges a comparative approach and deals with both the transnational (global, European Union) and national levels, with a particular focus on Switzerland and advanced economies. The analysis and discussion of the recent literature is complemented with case studies focusing on current policy events and regulatory initiatives. Practitioners from the private and public sectors, such as regulators and advocacy professionals, contribute as guest speakers.

The course covers the following topics:

- The Global Financial Crisis and its political and regulatory impact.
- Challenges of Fintech, sustainable finance, and anti-money laundering regulation.
- Financial regulators and supervisors.
- Lobbying and advocacy by firms and business associations.
- Enforcement of financial regulation and sanctions against banks.



Course structure and indications of the learning and teaching design

The course will be conducted in weekly two-hour sessions. The classes are structured as seminar sessions where presentations by the lecturer and guest speakers are complemented by interactive class discussions, work in groups and/or student presentations.

Course literature

The course literature is multidisciplinary. A complete syllabus will be provided at the beginning of the semester. All readings will be made available on Canvas. Most of the assigned readings consist of (1) scientific articles including empirical analyses, (2) policy documents and (3) newspaper articles.

Additional course information

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Examination information

Examination sub part/s

1. Examination sub part (1/4)

Examination modalities

Examination type	Written work
Responsible for organisation	decentral
Examination form	Written work
Examination mode	Digital
Time of examination	Term time
Examination execution	Asynchronous
Examination location	On Campus
Grading type	Group work group grade
Weighting	50%
Duration	--

Examination languages

Question language: English
Answer language: English

Remark

Term paper and presentation

Examination-aid rule

Free aids provision

Basically, students are free to choose aids. Any restrictions are defined by the faculty members in charge of the examination under supplementary aids.

Supplementary aids

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2. Examination sub part (2/4)

Examination modalities

Examination type	Active participation
Responsible for organisation	decentral



Examination form	Oral examination
Examination mode	Analog
Time of examination	Term time
Examination execution	Synchronous
Examination location	On Campus
Grading type	Individual work individual grade
Weighting	10%
Duration	--

Examination languages

Question language: English

Answer language: English

Remark

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Examination-aid rule

Free aids provision

Basically, students are free to choose aids. Any restrictions are defined by the faculty members in charge of the examination under supplementary aids.

Supplementary aids

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3. Examination sub part (3/4)

Examination modalities

Examination type	Written work
Responsible for organisation	decentral
Examination form	Written work
Examination mode	Digital
Time of examination	Term time
Examination execution	Asynchronous
Examination location	On Campus
Grading type	Individual work individual grade
Weighting	10%
Duration	--

Examination languages

Question language: English

Answer language: English

Remark

Feedback to peers

Examination-aid rule

Free aids provision

Basically, students are free to choose aids. Any restrictions are defined by the faculty members in charge of the examination under supplementary aids.

Supplementary aids

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4. Examination sub part (4/4)



Examination modalities

Examination type	Written work
Responsible for organisation	decentral
Examination form	Written work
Examination mode	Digital
Time of examination	Term time
Examination execution	Asynchronous
Examination location	On Campus
Grading type	Individual work individual grade
Weighting	30%
Duration	--

Examination languages

Question language: English
Answer language: English

Remark

Home assignment

Examination-aid rule

Free aids provision

Basically, students are free to choose aids. Any restrictions are defined by the faculty members in charge of the examination under supplementary aids.

Supplementary aids

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Examination content

- Term paper and presentation (in groups): 50%

Students write in small groups a term paper addressing an empirical question related to financial regulation and policy-making. Students are expected to present a first version of their work in class and receive feedback to improve their paper before handing in the final version.

- Home assignment: 30%

Students complete (individually) one written assignment at home.

- Feedback to peers: 10%

Students review other students' work and provide (individually) written feedback to their colleagues.

- Active participation: 10%

Students are expected to attend each class session and participate fully in class discussions. Readings must be completed prior to each class.

Examination relevant literature

The relevant literature will be provided on Canvas at the start of the course.



Please note

Please note that only this fact sheet and the examination schedule published at the time of bidding are binding and takes precedence over other information, such as information on StudyNet (Canvas), on lecturers' websites and information in lectures etc.

Any references and links to third-party content within the fact sheet are only of a supplementary, informative nature and lie outside the area of responsibility of the University of St.Gallen.

Documents and materials are only relevant for central examinations if they are available by the end of the lecture period (CW21) at the latest. In the case of centrally organised mid-term examinations, the documents and materials up to CW 13 are relevant for testing.

Binding nature of the fact sheets:

- Course information as well as examination date (organised centrally/decentrally) and form of examination: from bidding start in CW 04 (Thursday, 25 January 2024);
- Examination information (supplementary aids, examination contents, examination literature) for decentralised examinations: in CW 12 (Monday, 18 March 2024);
- Examination information (supplementary aids, examination contents, examination literature) for centrally organised mid-term examinations: in CW 13 (Monday, 25 March 2024);
- Examination information (regulations on aids, examination contents, examination literature) for centrally organised examinations: Starting with de-registration period in CW 15 (Monday, 08 April 2024).