Programme Title: LLM in Regulation and Compliance (London)

Programme Specification

Awarding Body/Institution: Queen Mary University of London
Teaching Institution: Queen Mary University of London
Name of Final Award and Programme Title: LLM in Regulation and Compliance
Name of Interim Award(s): Certificate/Diploma
Duration of Study / Period of Registration: 1 year
QM Programme Code / UCAS Code(s): 
QAA Benchmark Group: 
FHEQ Level of Award: Level 7
Programme Accredited by: 
Date Programme Specification Approved: 
Responsible School / Institute: Centre for Commercial Law Studies

Schools which will also be involved in teaching part of the programme:
Centre for Commercial Law Studies

Institution(s) other than Queen Mary that will provide some teaching for the programme:

Programme Outline

The programme is designed to meet the high demand from the industry for highly-skilled professionals with a strong understanding of regulation and compliance disciplines. The programme is designed for those who are interested in pursuing a career in compliance with an option of specialising in one of the following sectors: Financial Institution, Data protection and IP, Business and Insurance Law, Energy. Students studying on the programme will have an exposure to the cutting-edge approaches in dealing with practical issues in compliance and regulation. The programme contains a range of both general and specialist modules to allow students a flexible choice of modules to tailor the programme to the students specific needs.

Aims of the Programme

The objective of this programme is to introduce candidates to the critical role played by the Compliance function in Global Markets. The programme will provide an outline the fundamental of regulatory framework as well as more focused approach to compliance in various markets. The programme then provides a comprehensive inspection of the Compliance issues emanating in practice in global markets.
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An opportunity for critical engagement is provided through the utilisation of practical applications and case studies. The programme is also enables students to reflect on how the regulatory rules are applied in the case studies and how they have been shaped by the changing regulatory environment.

The overall programme of Regulation and Compliance should provide ample scope for critical engagement within the broad, i.e. market as a whole and narrow, i.e. market specific, concepts of compliance that will allow students to pursue a career in compliance in various roles, e.g. compliance officer in a private sector and/or regulatory body.

What Will You Be Expected to Achieve?

Students who successfully complete the programme will be able to pursue their career in compliance as well as work at a senior level in law firms, economic think-tanks, the financial industry, governmental bodies and consultancy firms.

Academic Content:

A1 Demonstrate knowledge of a substantial range of major concepts, values, principles and rules of domestic and international legal environment within which the economy operates

A2 Explain the legal framework (laws and procedures) that govern economic systems.

A3 Demonstrate the study in depth in context of compliance systems.

Disciplinary Skills - able to:

B1 Students should demonstrate an ability to apply knowledge to a situation of legal and regulatory complexity.

B2 Read and discuss legal and regulatory materials which are written in technical and complex language

B3 Bring together information and materials from a variety of different sources.

Attributes:

C1 Work to tight deadlines in the process of carrying out projects involving complex regulatory analysis.

C2 Work as part of a team to undertake the completion of projects involving complex regulatory analysis.

C3 Understand the value of the ethical behaviour when working in such a delicate and important area.

How Will You Learn?

A range of Teaching and Learning techniques will be used, tailored to the learning outcomes of the different modules. These will include lectures, directed readings, practical and library-based research, presentations, group work and knowledge transfer activities. Individual module forms list further details of teaching and learning procedures. In particular, activities such as case study presentation that provide students with the necessary experience of presenting their work in front of an audience.
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How Will You Be Assessed?

A wide range of assessment techniques will also be used. These will include technical exercises, critiques of and extended written analyses of primary and secondary sources including case-law and data. Individual module proposal forms list further details of assessment practices.

How is the Programme Structured?

Please specify the full time and part time programme diets (if appropriate).

The programme consists of 4 compulsory modules (x 22.5 credits each), core dissertation (x1 45 credit) and 2 electives (x 22.5 credits each), from a range of elective 'specialist' modules.

A distance learning option is available, students wishing to incorporate DL modules must choose 3 distance learning elective modules (x15 credits each), instead of the 2 London 'specialist' electives pathways (x22.5 credits each).

For a named specialist award, students must complete the 4 compulsory modules, the core dissertation, and 2 electives modules from their chosen specialism indicated below:

- LLM in Regulation and Compliance (Financial Institutions)
- LLM in Regulation and Compliance (Data protection and IP)
- LLM in Regulation and Compliance (Business and Insurance Law)
- LLM in Regulation and Compliance (Energy)

Students that do not wish to specialise will be awarded the LLM in Regulation and Compliance and will take the 4 compulsory modules, the core dissertation, and a further 45 credits from the full list of electives available in London.

Global perspective of the programme:
Subject to immigration constraints, students will spend Semester A and Semester B (London).

There will be an option to provide dissertation supervision online, in other words the ‘meetings’ between a supervisor and a student can be conducted online using platforms such as Skype and Facetime.

Compulsory Modules
Sem A
- Compliance systems in practice
- Principles of Regulation
- Law and Ethics in Finance

Sem B:
- Specialist case study/Dissertation (50:50)
- Compliance in Global Markets

Sem C:
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Specialist case study/Dissertation (50:50)

In addition to 4 compulsory modules students will be able to take 2 electives from the following specialisations:

### LLM in Regulation and Compliance (Financial Institutions)
- EU financial and Monetary Law
- Law of Finance and Foreign Investment in Emerging Economies
- Regulation of Financial Markets
- Islamic Finance and Commercial Law
- Securities Regulations
- Banking Law
- Insurance Regulations
- Corporate Governance and Responsibility in Finance

### LLM in Regulation and Compliance (Data protection and IP)
- Corporate Copyright Law
- Comparative law of Patents and Trade Secrets
- EU Data Protection Law
- International Law of Patents and Related Rights
- Design and Intellectual Property: EU and US
- The Law or Registered Trade Marks
- Information Security and the Law

### LLM in Regulation and Compliance (Business and Insurance Law)
- Chinese Business Law
- Asian and African Legal Systems
- International and Comparative law of Unfair Competition
- Cartels, Collusion and Competition Law
- Chinese Banking and Financial law
- Competition Enforcement from Investigations to Sanctions
- Regulations of International Trade
- Merger and Acquisitions

### LLM in Regulation and Compliance (Energy)
- Energy Regulations and Policy
- Energy Law and Ethics
- Energy Economics I: A legal perspective
- International Regulation and Governance in Energy
- Transnational Law and Governance in Practice

### Distance Learning
- Online Banking and Financial Services
- Privacy and Data Protection Law
- Advanced IP Issues: Digital Rights Management
- Internet Content Regulation
- Information Security and the Law
- European Telecommunications Law
- Mergers and Acquisitions in the ICT Sector
- Online Media Regulation
- Information and Communications Technology and Competition Law
- Internet Governance
- Cloud Computing
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**Academic Year of Study**  
FT - Year 1

<table>
<thead>
<tr>
<th>Module Title</th>
<th>Module Code</th>
<th>Credits</th>
<th>Level</th>
<th>Module Selection Status</th>
<th>Academic Year of Study</th>
<th>Semester</th>
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<td>EU financial and Monetary Law</td>
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<td>Law of Finance and Foreign Investment in Emerging Economies</td>
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<td>Islamic Finance and Commercial Law</td>
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<td>Corporate Governance and Responsibility in Finance</td>
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<td>Compliance Systems in Practice</td>
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<td>Design and Intellectual Property: EU and US</td>
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<td>International and Comparative law of Unfair Competition</td>
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<td>Cartels, Collusion and Competition Law</td>
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<td>Chinese Banking and Financial law</td>
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<td>Competition Enforcement from Investigations to Sanctions</td>
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<td>Merger and Acquisitions (M&amp;As)</td>
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<td>Energy Economics I: A legal perspective</td>
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<td>Transnational Law and Governance in Practice</td>
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<td>Advanced IP Issues: Digital Rights Management</td>
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<td>Mergers and Acquisitions in the ICT Sector</td>
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<td>Information and Communications Technology and Competition Law</td>
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<td>Internet Governance</td>
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<td>Cloud Computing</td>
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**What Are the Entry Requirements?**

The usual qualification for entry to the LLM programme is a degree in law, or a degree with a substantial law content, of at least 2.1 honours (or equivalent). Law graduates with 2.2 honours who also have other legal qualifications and/or substantial professional legal experience may also qualify.

Non-law graduates

Non-law graduates with a minimum second class honours degree, that have also obtained a Merit (or 60 per cent) in the Common Professional Examination (CPE) or Graduate Diploma in Law (GDL) recognised by the UK professional bodies, may also qualify. Non-law graduates may also be considered on the basis of exceptional professional experience (of at least five years) in a legal area or an area directly related to their programme of study.

**How Do We Listen and Act on Your Feedback?**

The Staff-Student Liaison Committee provides a formal means of communication and discussion between schools/institutes and its students. The committee consists of student representatives from each year in the school/institute together with appropriate representation from staff within the school/institute. It is designed to respond to the needs of students, as well as act as a forum for discussing programme and module developments. Staff-Student Liaison Committees meet regularly throughout the year.

Each school/institute operates a Learning and Teaching Committee, or equivalent, which advises the School/Institute Director of Taught Programmes on all matters relating to the delivery of taught programmes at school level including monitoring the application of relevant QM policies and reviewing all proposals for module and programme approval and amendment before
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Submission to Taught Programmes Board. Student views are incorporated in the committee’s work in a number of ways, such as through student membership, or consideration of student surveys.

All schools/institutes operate an Annual Programme Review of their taught undergraduate and postgraduate provision. APR is a continuous process of reflection and action planning which is owned by those responsible for programme delivery; the main document of reference for this process is the Taught Programmes Action Plan (TPAP) which is the summary of the school/institute’s work throughout the year to monitor academic standards and to improve the student experience. Students’ views are considered in this process through analysis of the NSS and module evaluations.

Academic Support

Initial assessment of education and training needs for taught postgraduate students is carried out by the programme convenor and the relevant administrative staff in charge of processing applications for the programme. Induction of new students is coordinated by the Postgraduate Studies administrator in the CCLS in coordination with individual programme convenors. An additional pre sessional induction session will be held for taught postgraduate students in the first two week of the academic session.

All taught postgraduate students in the programme are assigned a personal advisor, who is the student’s primary point of contact for both academic and welfare issues relating to the programme as a whole and the student’s experience at Queen Mary. Advisors oversee the regular progress of advisees through the programme, and help coordinate any intervention that may be necessary between the advisee and other members of the School/College staff (including the School Chair of Examiners).

In addition to personal advisors, taught postgraduate students will be assigned supervisors for their dissertations during the second semester of the degree. Supervisors and supervisees will meet, either physically or virtually, at least 3 times (the specifics of which are to be determined by the supervisor and the supervisee) to ensure sufficient progress is being made on the dissertation and that the submitted dissertation will be of a standard required for work at the Masters level.

In addition to pastoral and welfare services offered by the College CCLS maintain an extensive support network for all students in taught programmes, and students on the new programme will have full access to these. Details of the School’s provision in this area can be found in the Handbooks for masters Students produced by CCLS.

Programme-specific Rules and Facts

Specific Support for Disabled Students

Queen Mary has a central Disability and Dyslexia Service (DDS) that offers support for all students with disabilities, specific learning difficulties and mental health issues. The DDS supports all Queen Mary students: full-time, part-time, undergraduate, postgraduate, UK and international at all campuses and all sites.

Students can access advice, guidance and support in the following areas:
- Finding out if you have a specific learning difficulty like dyslexia
- Applying for funding through the Disabled Students’ Allowance (DSA)
- Arranging DSA assessments of need
- Special arrangements in examinations
- Accessing loaned equipment (e.g. digital recorders)
- Specialist one-to-one study skills tuition
- Ensuring access to course materials in alternative formats (e.g. Braille)
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- Providing educational support workers (e.g. note-takers, readers, library assistants)
- Access to specialist mentoring support for students with mental health issues and Autistic Spectrum Disorders.

Links With Employers, Placement Opportunities and Transferable Skills

The course is intended to give postgraduate training to students wishing to pursue careers in the Regulation Advisory Sector, Corporate Finance, Government, Law firms, International Financial Institutions, the banking and finance industry. Demand for such professionals is high both in the UK, and in fast developing transitional economies such as China, India and others. This Programme aims at integrating Careers programme offered by the Careers service with academic study.

Programme Specification Approval

| Person completing Programme Specification | Leon Vinokur |
| Person responsible for management of programme | Leon Vinokur |
| Date Programme Specification produced/amended by School Learning and Teaching Committee | |
| Date Programme Specification approved by Taught Programmes Board | |