



# **SUBJECT DATASHEET**

**Bank, securities and stock market law**

**BMEGT55M009**

# I. SUBJECT DESCRIPTION

## 1. SUBJECT DATA

### Subject name

Bank, securities and stock market law

### ID (subject code)

BMEGT55M009

### Type of subject

contact lessons

### Course types and lessons

<i>Type</i>	<i>Lessons</i>
Lecture	2
Practice	0
Laboratory	0

### Type of assessment

mid-term  
grade

### Number of credits

3

### Subject Coordinator

<i>Name</i>	<i>Position</i>	<i>Contact details</i>
Dr. Grad-Gyenge Anikó	associate professor	grad-gyenge.aniko@gtk.bme.hu

### Educational organisational unit for the subject

Department of Business Law'

### Subject website

<https://edu.gtk.bme.hu>

### Language of the subject

magyar - HU

### Curricular role of the subject, recommended number of terms

#### Direct prerequisites

*Strong* None

*Weak* None

*Parallel* None

*Exclusion* None

### Validity of the Subject Description

Approved by the Faculty Board of Faculty of Economic and Social Sciences, Decree No: 581046/15/2021. Valid from: 24.11.2021.

## 2. OBJECTIVES AND LEARNING OUTCOMES

### Objectives

The course aims to provide students with a comprehensive overview of banking law and capital market law. During the course, besides the current Hungarian regulation, we pay increased attention to international trends and the legal development of the European Union's legislation. Students will learn basic banking, securities, stock market concepts, and regulatory areas (e.g., banking and capital market supervision, compliance, financial and investment transactions, etc.). Besides, they can learn about new challenges such as financial innovation (Fintech) and current related economic criminal law issues.

### Academic results

#### Knowledge

1. the basic concepts of banking law, the organizational and operational regulations concerning the financial intermediation system
2. regulation of financial, capital market, and investment services
3. the regulation of individual securities and the domestic and EU system of capital market legislation
4. current regulatory issues for financial innovation (Fintech)
5. provisions of criminal economic law relevant to the course's subject (e.g., insider dealing and market power abuse).

#### Skills

1. to review the system and context of banking, securities, and capital market regulations
2. make proper use of the basic concepts of banking law, securities law, and capital market law
3. the interpretation and application of essential banking and capital market law provisions.

#### Attitude

1. thinks consciously and responsibly in the field of finance law.
2. is open to critical self-assessment, active learning methods, experimental style.

#### Independence and responsibility

1. -

### Teaching methodology

The subject's teaching is based on the presentation of the banking system, securities, stock exchange law regulation, their connections, and some challenges. In addition to the transfer of knowledge, we illustrate through practical examples, and students can conduct research based on independent work.

### Materials supporting learning

- Előadásanyagok, jegyzet.

## II. SUBJECT REQUIREMENTS

### TESTING AND ASSESSMENT OF LEARNING PERFORMANCE

#### General Rules

The assessment of the learning outcomes outlined in point 2.2. is based on two mid-term tests. To complete a subject, it is required to achieve at least 50% based on the combined results of the mid-term tests and to attend at least 70% of the lectures. Completing the assigned tasks allows for an additional 20% of points.

#### Performance assessment methods

Mid-term tests: the complex, written assessment of the students' knowledge and skill type competencies in the form of a written test or online test questions. The test may consist of test questions that assess the interpretation of individual concepts and the recognition of relationships between them, and essay questions that evaluate lexical knowledge and the ability to synthesize information. The time allotted for the test is 30 to 90 minutes.

#### Percentage of performance assessments, conducted during the study period, within the rating

- Mid-term tests: 100
- partial performance evaluation (homework): 20

#### Percentage of exam elements within the rating

#### Conditions for obtaining a signature, validity of the signature

#### Issuing grades

Excellent	91
Very good	85–90
Good	76–84
Satisfactory	64–75
Pass	50–63
Fail	< 50

#### Retake and late completion

According to TVSz.

#### Coursework required for the completion of the subject

Participation in contact lessons	28
homework	10
preparation for assessments	52
total	90

#### Approval and validity of subject requirements

# III. COURSE CURRICULUM

## THEMATIC UNITS AND FURTHER DETAILS

### Topics covered during the term

To achieve the learning outcomes set out in 2.2, the subject consists of the following thematic blocks. The syllabuses of the courses announced in each semester will be scheduled according to the calendar and other constraints.

- 1 Basics of Banking: basic concepts of the financial intermediation system, the rationale and purpose of regulation
- 2 International regulation of the financial market, development of EU law
- 3 Prudential requirements, supervisory regime, regulation of certain banking transactions
- 4 Financing operations of credit institutions
- 5 Financial consumer protection, insurance companies and their services
- 6 Fintech
- 7 Mid-term test I
- 8 Capital market regulation in the European Union
- 9 Capital market funds: introduction to the domestic regulatory regime
- 10 Stock exchange funds
- 11 Introduction to securities law
- 12 Legal practice in banking, securities and capital markets law practice
- 13 Economic criminal law
- 14 Midterm test II.

### Additional lecturers

Dr. Mezei Kitti egyetemi adjunktus mezei.kitti@gtk.bme.hu

Dr. Vértessy László egyetemi docens vertesy.laszlo@gtk.bme.hu

### Approval and validity of subject requirements