

Programme Title: LLM in Regulation and Compliance



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	2 - 4 years
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 the 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 offered by CCLS across Queen Mary's London and Paris campuses. The flexible combination of modules and locations enables students to tailor the programme to their 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 providing 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:

A 1	Demonstrate knowledge of a substantial range of major concepts, values, principles and rules of domestic and international legal environment within which the economy operates
A 2	Explain the legal framework (laws and procedures) that govern economic systems.
A 3	Demonstrate the study in depth in context of compliance systems.

Disciplinary Skills - able to:

B 1	Students should demonstrate an ability to apply knowledge to a situation of legal and regulatory complexity.
B 2	Read and discuss legal and regulatory materials which are written in technical and complex language
B 3	Bring together information and materials from a variety of different sources.

Attributes:

C 1	Work to tight deadlines in the process of carrying out projects involving complex regulatory analysis.
C 2	Work as part of a team to undertake the completion of projects involving complex regulatory analysis.
C 3	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.

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 (x22.5 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 or Paris 'specialist' electives pathways (x22.5 credits each).

For a named specialist award, students must complete the 3 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 (London) and Semester B (Paris).

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.

The part-time programme will allow students to complete their studies by any combination of modules offered in London, Paris that are part of the programme in a course of 2 - 4 years. This more flexible structure will cater for students who are not able to study full-time as well as for practitioners who would like to enhance their professional knowledge and career developments on a part-time basis.

Compulsory Modules - OFFERED EITHER IN PARIS OR LONDON

Sem A:

- Compliance systems in practice
- Principles of Regulation
- Law and Ethics in Finance

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Sem B:

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

Sem C:

Specialist case study/Dissertation (50:50)

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

LONDON

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 of 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

PARIS

LLM in Regulation and Compliance (Financial Institutions)

International Banking Law
Insurance Law
Regulation of Financial Markets
Law of Financial Crime

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LLM in Regulation and Compliance (Data protection and IP)

Current Issues in International Copyright Law
International Law of Patents, Trade Secrets and Related Rights

LLM in Regulation and Compliance (Business and Insurance Law)

Competition Law
Law of the WTO
International and Comparative law of Unfair Competition

LLM in Regulation and Compliance (Energy)

International Regulation and Governance in Energy

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

Academic Year of Study FT - Year 1

Module Title	Module Code	Credits	Level	Module Selection Status	Academic Year of Study	Semester
EU financial and Monetary Law	QLLM377	22.5	7	Elective	1	Semester 1
Law of Finance and Foreign Investment in Emerging Economies	QLLM364	22.5	7	Elective	1	Semester 1
Regulation of Financial Markets	QLLM366	22.5	7	Elective	1	Semester 1
Compliance in Global Markets	QLLMxxx	22.5	7	Compulsory	1	Semester 2
Islamic Finance and Commercial Law	QLLM165	22.5	7	Elective	1	Semester 2
Securities Regulation	QLLM378	22.5	7	Elective	1	Semester 2
Banking Law	QLLM361	22.5	7	Elective	1	Semester 2

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Module Title	Module Code	Credits	Level	Module Selection Status	Academic Year of Study	Semester
Insurance Regulations	QLLM139	22.5	7	Elective	1	Semester 2
Corporate Governance and Responsibility in Finance	QLLM375	22.5	7	Elective	1	Semester 2
Compliance systems in practice	TBA	22.5	7	Compulsory	1	Semester 1
Principles of Regulation	QLLM155	22.5	7	Compulsory	1	Semester 1
Dissertation	TBA	45	7	Core	1	Semester 2 & 3
Comparative Corporate Copyright Law	QLLM330	22.5	7	Elective	1	Semester 1
Comparative law of Patents and Trade Secrets	QLLM332	22.5	7	Elective	1	Semester 1
EU Data Protection Law	QLLM353	22.5	7	Elective	1	Semester 1
International Law of Patents and Related Rights	QLLM333	22.5	7	Elective	1	Semester 2
Design and Intellectual Property: EU and US	QLLM337	22.5	7	Elective	1	Semester 2
The Law of Registered Trade Marks	QLLM339	22.5	7	Elective	1	Semester 2
Information Security and the Law	QLLM354	22.5	7	Elective	1	Semester 2
Chinese Business Law	QLLM316	22.5	7	Elective	1	Semester 1
Asian and African Legal Systems	QLLM171	22.5	7	Elective	1	Semester 1
International and Comparative law of Unfair Competition	QLLM338	22.5	7	Elective	1	Semester 1
Cartels, Collusion and Competition Law	QLLM305	22.5	7	Elective	1	Semester 1
Chinese Banking and Financial law	QLLM357	22.5	7	Elective	1	Semester 2
Competition Enforcement: from Investigation to Sanctions	QLLM306	22.5	7	Elective	1	Semester 2

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Module Title	Module Code	Credits	Level	Module Selection Status	Academic Year of Study	Semester
WTO Law: Trade Remedies & Regulatory Issues	QLLM371	22.5	7	Elective	1	Semester 2
Merger and Acquisitions (M&As)	QLLM373	22.5	7	Elective	1	Semester 2
United States Energy Law, Regulations and Policy	QLLLM400	22.5	7	Elective	1	Semester 1
Energy Law and Ethics	QLLM382	22.5	7	Elective	1	Semester 1
Energy Economics I: A legal perspective	QLLM380	22.5	7	Elective	1	Semester 1
International Regulation and Governance of Energy	QLLM154	22.5	7	Elective	1	Semester 2
Transnational Law and Governance in Practice	QLLM315	22.5	7	Elective	1	Semester 2
International Banking Law	QLLP055	22.5	7	Elective	1	Semester 2
Insurance Law	QLLP051	22.5	7	Elective	1	Semester 2
Regulation of Financial Markets	QLLP016A	22.5	7	Elective	1	Semester 2
Law of Financial Crime	QLLP044	22.5	7	Elective	1	Semester 2
Current Issues in International Copyright Law	QLLP049B	22.5	7	Elective	1	Semester 1
International Law of Patents, Trade Secrets and Related Rights	QLLP052	22.5	7	Elective	1	Semester 2
Competition Law	QLLP061	22.5	7	Elective	1	Semester 1
Law of the WTO	QLLP017A	22.5	7	Elective	1	Semester 2
International and Comparative law of Unfair Competition	QLLP053	22.5	7	Elective	1	Semester 2
International Regulation and Governance in Energy	QLLP064	22.5	7	Elective	1	Semester 2
Ethics in Business and Finance	QLLP006	22.5	7	Compulsory	1	Semester 2

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Module Title	Module Code	Credits	Level	Module Selection Status	Academic Year of Study	Semester
Ethics in Business in Finance	QLLM374	22.5	7	Compulsory	1	Semester 2
Online Banking and Financial Services	CCDM008	15	7	Elective	1	TBA
Privacy and Data Protection Law	CCDM014	15	7	Elective	1	TBA
Advanced IP Issues: Digital Rights Management	CCDM015	15	7	Elective	1	TBA
Internet Content Regulation	CCDM018	15	7	Elective	1	TBA
Information Security and the Law	CCDM019	15	7	Elective	1	TBA
European Telecommunications Law	CCDM021	15	7	Elective	1	TBA
Mergers and Acquisitions in the ICT Sector	CCDM025	15	7	Elective	1	TBA
Online Media Regulation	CCDM028	15	7	Elective	1	TBA
Information and Communications Technology and Competition Law	CCDM031	15	7	Elective	1	TBA
Internet Governance	CCDM039	15	7	Elective	1	TBA
Cloud Computing	CCDM043	15	7	Elective	1	TBA
Compliance in Global Markets	QLLPxxx	22.5	7	Compulsory	1	Semester 2

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 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,

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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)
- 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