WSB University					
Field of study: Management					
Course: Regulatory Financial Compliance					
Educational profile: General					
Education level: II -cycle studies					
Number of hours per semester	1		2		
	I	II	III	IV	
Full-time studies (L/C/lab/pr/e)				16	
Part-time studies (L/C/lab/pr/e)					
CLASS LANGUAGE	English				
LECTURER	Laeeq Razzak Janjua – Phd , CAMS, PDG (Compliance)				
FORM	Lectures				
COURSE OBJECTIVES	The Regulatory Financial Compliance course aims to provide students with a comprehensive understanding of the legal, regulatory, and ethical frameworks governing financial operations in both national and international contexts. Students will gain practical insights into compliance processes, risk management, and the integration of business intelligence tools for regulatory oversight. The course emphasizes the role of responsible leadership, ethical practices, and alignment with the Sustainable Development Goals (SDGs) in achieving transparent, sustainable, and compliant financial management.				

Reference to learning outcomes – Field-related learning outcome EFMD	**Description of learning outcomes**		
	Description of learning outcomes	**Teaching and learning methods**	**Verification of learning outcomes**
Knowledge			
Business management concept and challenges	Students identify and define the foundational concepts of regulatory compliance at both domestic and international levels, and recall its historical development. They	Teaching methods: I. Interactive Lecture II. Socratic method	Class Quiz / Role play assessment/ Inspera online Exam

LO2 LO3	understand the interplay between financial regulations, corporate governance, and operational risk. Students identify and list key international and national regulatory authorities along with their respective mandates. They recall and define the structure of the global regulatory environment and describe how ambiguous compliance standards influence organizational operations. By recognizing the interconnection between local and global compliance frameworks, students enumerate the long-term implications of regulatory uncertainty and state foundational knowledge necessary to navigate complex regulatory landscapes.	Learning methods: I. Flipped Classroom- Individual analysis of the scientific text.	
Business Analysis and research methods LO5 LO6	Students understand how to apply compliance risk assessment models and frameworks (e.g., COSO, Basel III). They explain the role of monitoring and auditing in ensuring regulatory adherence. Students understand how business intelligence (BI) tools can enhance regulatory reporting and compliance monitoring. They recognize the importance of data integrity and real-time analytics in financial oversight.	Teaching methods: I. Interactive Lecture II. Socratic method Learning methods: I. Flipped Classroom- Individual analysis of the scientific text.	Class Quiz / Role play assessment/ Inspera online Exam
Responsible and Ethical Leadership and Decision-making LO11 LO12	Students understand the role of leadership in fostering a culture of compliance, transparency, and ethical behaviour. They recognize how leaders can balance regulatory requirements with business objectives. Students understand the practical steps leaders must take to ensure compliance and minimize financial and reputational risks. They describe the role of training and awareness programs in building compliance culture.	Teaching Method I. Interactive lectures II. Scoratic methods III. Case-base leaning IV. Group Discussions and Debates/ essay writing V. Simulations and Role-Playing	Class Quiz / Role play assessment/ Inspera online Exam

		Learning methods: I. Presentation and written assignment II. Analysis of written scientific text with current global issues. III. ESG Model discussion	
Ethics and Sustainability LO20	Students understand how ethical principles and SDGs inform responsible financial practices. They identify how compliance contributes to sustainable and socially responsible business conduct.	Teaching Method I. Interactive lectures II. Scoratic methods III. Case-base leaning IV. Group Discussions and Debates/ essay writing V. Simulations and Role-Playing Learning methods: I. Presentation and written assignment II. Analysis of written scientific text with current global issues. III. ESG Model discussion	
Skills & Attitudes			
Business management concept and challenges LO2 LO3	Students apply regulatory requirements to real-world business scenarios and case studies and adapt compliance frameworks to different financial and organizational contexts. Students analyse regulatory challenges in dynamic business environments, including global trade and digital finance. They are also able to assess the impact of political, economic, and technological changes on compliance obligations.	Learning methods: I. Flipped Classroom- Individual analysis of the scientific text.	Class Quiz / Role play assessment
Business Analysis and research methods	Students use risk assessment tools to identify potential compliance gaps and possess skills to develop compliance monitoring plans and internal audit strategies.	Learning methods: I. Flipped Classroom- Individual analysis of	Class Quiz / Role play assessment

<table>
<tr><td>LO5
LO6</td><td>They are able to use BI platforms and dashboards to analyse regulatory data and detect anomalies as well as to interpret data-driven compliance reports for decision-making.</td><td>the scientific text.</td><td></td></tr>
<tr><td>Responsible and Ethical Leadership and Decision-making
LO11
LO12</td><td>Students are able to lead cross-functional teams to implement compliance processes effectively and communicate regulatory requirements and insights to non-technical stakeholders.</td><td>Learning methods:
I. Presentation and written assignment
II. Analysis of written scientific text with current global issues.
III. ESG Model discussion</td><td>Class Quiz / Role play assessment</td></tr>
<tr><td>Ethics and Sustainability
LO20</td><td>Students incorporate SDG-related objectives into compliance programs (e.g., anti-corruption, fair trade, financial inclusion). They show a commitment to sustainability and transparency in financial practices.</td><td>Learning methods:
I. Presentation and written assignment
II. Analysis of written scientific text with current global issues.
III. ESG Model discussion</td><td>Class Quiz / Role play assessment</td></tr>
<tr><td colspan="2">Full- time
Participation in lectures = 16
Participation in classes =
Preparation to classes =
Preparation to lectures = 32
Preparation to an examination = 20
Project tasks =
e-learning =
Credit/examination = 1
others (indicate which) = 6
TOTAL:
ECTS points: 3
Including practical classes: 3</td><td colspan="2">Part-time
Participation in lectures =
Participation in classes =
Preparation to classes =
Preparation to lectures =
Preparation to an examination =
Project tasks =
e-learning =
Credit/examination =
others (indicate which) =
TOTAL:
ECTS points:
Including practical classes:</td></tr>
<tr><td>PREREQUISITES</td><td colspan="3">Foundational knowledge of financial systems, corporate governance, and risk management.</td></tr>
<tr><td>COURSE CONTENT (Division into contact hours and e-learning)</td><td colspan="3">Contact hours:
1. Introduction to Regulatory Compliance: Historical Roots, Essence, and Daily Relevance.
2. Global Regulatory Landscape: Understanding Compliance Through Key Regulatory Bodies.
3. Mastering Compliance Risk: Strategies, Governance, and Sectoral Applications.
4. Financial Crimes and Money Laundering: Regulations, Risks, and Strategic Responses.
5. Customer Risk Assessment and Due Diligence under FATF Standards.
6. Sanctions: Purpose, Mechanisms, and Strategic Implications.
7. Politically Exposed Persons (PEPs): Risks, Corruption, and Ethical Oversight.
8. ESG, Ethics, and Professional Standards in Compliance Operations
E-learning:</td></tr>
<tr><td>LITERATURE (compulsory reading)</td><td colspan="3">Ryder, N. (Ed.). (2017). White collar crime and risk: Financial crime, corruption and the financial crisis. Springer.</td></tr>
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	Bello, A. U. (2017). Improving anti-money laundering compliance: Self-protecting theory and money laundering reporting officers. Springer. Usman Kemal, Muhammad. "Anti-money laundering regulations and its effectiveness." Journal of Money Laundering Control 17.4 (2014): 416-427.
OPTIONAL LITERATURE	Baranga, P., & Zalinca, I. (2021). The Vulnerabilities of the Risk Assessment Model Elaborated by the Basel Committee for Banking Supervision. In Business Revolution in a Digital Era: 14th International Conference on Business Excellence, ICBE 2020, Bucharest, Romania (pp. 145-157). Springer International Publishing. Girling, P. X. (2022). Operational risk management: A complete guide for banking and fintech. John Wiley & Sons. Galletta, S., Goodell, J. W., Mazzù, S., & Paltrinieri, A. (2023). Bank reputation and operational risk: The impact of ESG. Finance Research Letters, 51, 103494.
SCHOLARLY PUBLICATIONS BY PERSONS WHO CONDUCT CLASSES, WHICH ARE RELATED TO THE MODULE SUBJECT	➢ Gigauri, I., & Janjua, Laeeq Razzak (2023). Digital and sustainable products to achieve sustainable business goals along the path to industry 5.0. In *Digitalization, sustainable development, and industry 5.0: An organizational model for twin transitions* (pp. 25-40). Emerald Publishing Limited. ➢ Janjua, L. R., & Khan, S. A. R. (2020). Nexus between money laundering and sustainable development goals: A threat to developing countries. In *Global perspectives on green business administration and sustainable supply chain management* (pp. 134-155). IGI Global Scientific Publishing.
TEACHING AIDS	PC, MsTeams, Microsoft 365, source texts and other stuff like videos, pictures, charts, animations etc. multimedia presentation (ppt)
PROJECT (if implemented in the framework of a classes module)	Not applicable Project goal: Topic of the project: Project form:
FORM AND CONDITIONS OF ASSESSMENT CRITERIA FOR ASSESSING ACHIEVED LEARNING OUTCOMES.	A final grade based on 3 components, Class quiz- group task-Assignment- Role play - 25% (during class practice) Presentation – 25% (during class practice) Exam -50% **Evaluation criteria**: A student who appear in class practice , participated in class quiz group task and role play and submitted assignments evaluated based on below criteria. I. 51–60% of aggregate assessment of task entitled grade of 3 (satisfactory) II. 61-70 % of aggregate assessment of task entitled grade of 3,5 (satisfactory plus) III. 71-80 % of aggregate assessment of task entitled grade of 4,0 (good) IV. 81-90 % of aggregate assessment of task entitled a grade of 4,5 (good plus) V. 91-100 % of aggregate assessment of task entitled grade of 5,0 (very good) VI. 0-50 % aggregate assessment of task entitled grade of 2,0 (bad) *aggregate assessment = class quiz, role play task, presentation & written assignment

** L-lecture, C- classes lab- laboratory, pro- project, e- e-learning*