

**BACHELOR PROGRAM**  
**MAJOR: FINANCE AND BANKING**  
**CONCENTRATION: SECURITIES**

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## SYLLABUS

1. **Course Title:** *SECURITIES LAW*
2. **Module Code:** .....
3. **Number of Credits:** 2 credits
4. **Level:** Third year student
5. **Teaching Time Allocation:**
  - + In class:            2 credits
  - + Self-study, self-research:
6. **Pre-Requisites:**
  - Having professional knowledge about securities market.
  - Having professional business of securities companies.
  - Having professional knowledge about the currency bank.

### 7. **Course Aims & Learning Objectives:**

- Course Aims:

Main content of the module is to provide general knowledge of securities law. In particular, it is to equip students with cognitive abilities of the documents that create important legal basis in the establishment and operation of securities market in Vietnam.

Besides providing the ability for us to find out the meaning of the theory, the module also focuses on practical issues in establishing a legal framework in a full, perfect, synchronization, coherence, and safe, which related to the field of organization and operation of the Stock Market, senior financial markets that provide capital funds for medium and long term for the modern economy.

- Course Objectives:

- O1: Understanding the concepts of a legal system on Securities and Stock Market.
- O2: Understanding the formation and development of the law on Securities and Stock Market.
- O3: Having a thorough grasp of the provisions of law on the form of the offering of Securities, and obligations of the issuer
- O4: Having a thorough grasp of the law on public companies.
- O5: Understanding the criteria for listing of securities in the stock market in the world as well as in Vietnam.
- O6: Clear understanding of the law on organization of the securities trading market.
- O7: Having a thorough grasp of the transactions on the Stock Market.
- O8: Understanding the law on business and securities services.
- O9: Having a thorough grasp of business processes of the company's Securities Act, the registration, the depository and the clearing of Securities.
- O10: Understanding the organizational model, the operation of securities investment companies, securities investment funds.
- O11: Having a thorough grasp of the principles of disclosure of information, methods and contents of information disclosure on stock market.
- O12: Understanding the role of State management on inspection, monitoring and handling of violations in the field of securities and stock market.

## **8. Course Description:**

CHAPTER 1: Overview of legislation on securities and securities market.

CHAPTER 2: Legal provisions on offers of securities and public companies.

CHAPTER 3: Legislations on the listing of securities.

CHAPTER 4: Legal provisions on the trading activities on stock markets.

CHAPTER 5: Legal regulations on the registration, the depository, the clearing of securities. (Self-study)

CHAPTER 6: Legal regulations on the operations of securities companies.

CHAPTER 7: Legal regulations on the operation of securities investment funds and securities investment companies (own research).

CHAPTER 8: Legal provisions on the information disclosed to the stock market.

CHAPTER 9: Legal provisions on the supervision, inspection and sanction on the stock market. (Self-study)

**9. Student Learning Activities:**

- Attendance: as stipulated.
- Preparing presentations, discussions
- Tools and materials: The study materials according to regulations, and other downloaded documents, updated information on Web pages related to the fields of Securities and Stock Market
- *Others: (as required by the instructor)*

**10. Recommended Resources:**

- Textbooks:

[1] The Securities Act, 2006, the Law Amending and Supplementing Securities Act, 2010

[2] Law of Enterprises, 2005

[3] The decree, decision, circulars, etc ... related to the field of securities and stock market.

- Reference books:

[4] Department of Securities - Economic University of Ho Chi Minh (2008), Financial-Market Stock Market, Ho Chi Minh City: Statistics Publishing House.

[5] Securities and Exchange Commission state-law on securities and stock market (2009), Published Statistics.

**11. Evaluation.:**

- Quiz Test: 10%
- Group discussion or presentation: 10%
- The mid-term module Test: 10%
- The End of module Test: 70%

The exam forms of ending subject: test (self-review can be combined), the use of the material.

**12. Course Grading Scale: (based on institutional learning credits)**

**13. Learning Activities:**

Date	Lecture	Text Book	Student Preparation	Learning objectives
Day	<b>CHAPTER 1: The overview</b>		- Documents Reading in advance.	O1, O2

(5 periods)	<p><b>of legislation on securities and securities market.</b></p> <ol style="list-style-type: none"> <li>1. The concept</li> <li>2. The process of formation</li> <li>3. The legal system of securities and stock market.</li> </ol>	[1] [2] [3] [5]	<ul style="list-style-type: none"> <li>- The explanation of concepts</li> <li>- Issues Discussion.</li> <li>- 10-minute quiz test (if any).</li> </ul>	
Day (5 periods)	<p><b>CHAPTER 2: The legal provisions of the law on securities offering and public companies.</b></p> <ol style="list-style-type: none"> <li>1. Regulations of the law on securities offering.</li> <li>2. Regulations of the law on public companies.</li> </ol>	[1] [2] [3] [4] [5]	<ul style="list-style-type: none"> <li>- Documents Reading in advance.</li> <li>- The explanation of concepts</li> <li>- Issues Discussion and dealing with practical assignments.</li> <li>- 10-minute quiz test (if any).</li> </ul>	O1, O3, O4
Day (5 periods)	<p><b>CHAPTER 3+4: The legal provisions of the legislation on the listing and the trading of securities.</b></p> <ol style="list-style-type: none"> <li>1. The listing of securities.</li> <li>2. The operations of securities transactions.</li> </ol>	[1] [2] [3] [4] [5]	<ul style="list-style-type: none"> <li>- Documents Reading in advance.</li> <li>- The explanation of concepts</li> <li>- Issues Discussion and dealing with practical assignments.</li> <li>- 10-minute quiz test (if any).</li> </ul>	O1, O5, O6, O7
Day (5 periods)	<p><b>CHAPTER 6: The legal provisions of the law on operations of securities companies.</b></p> <ol style="list-style-type: none"> <li>1. The concept and characteristics of legal</li> <li>2. Regulations about organizations and operations of securities companies.</li> </ol>	[1] [2] [3] [4] [5]	<ul style="list-style-type: none"> <li>- Documents Reading in advance.</li> <li>- The explanation of concepts</li> <li>- Issues Discussion and dealing with practical assignments.</li> <li>- 10-minute quiz test (if any).</li> </ul>	O1, O8, O9, O10
Day (5 periods)	<p><b>CHAPTER 8: The legal provisions of law about</b></p>		<ul style="list-style-type: none"> <li>- Documents Reading in advance.</li> <li>- Issues Discussion.</li> </ul>	O1, O11

	<p><b>publishing information on the stock market.</b></p> <p>1. The principles of disclosure of information.</p> <p>2. The objects and methods, the contents of information disclosure.</p>	<p>[1] [2]</p> <p>[3] [4]</p> <p>[5]</p>		
<p>Day (5 periods)</p>	<p><b>CHAPTER 9: The legal provisions of law on supervision, inspections, and sanctions on the stock market.</b></p> <p>1. The State Administration for securities and stock market.</p> <p>2. The inspections for the operations of securities and securities markets.</p> <p>3. Dealing with violations of the securities' operations and securities markets.</p>	<p>[1] [2] [3]</p> <p>[4] [5]</p>	<p>- Documents Reading in advance.</p> <p>- Issues Discussion.</p>	<p>O1, O12</p>
<p><b>Total:</b> <b>30</b> <b>periods</b></p>				

*Ho Chi Minh City, 3 April 2013*

**COURSE COORDINATOR**

**LECTURER**

**DR. TRAN THI MONG TUYET**