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**BACHELOR PROGRAM**

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

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**SYLLABUS**

**1. Course Title:** *FINANCIAL MARKETS AND INSTITUTIONS*

**2. Module code:**

**3. Number of Credits:** 3 credits

**4. Level:** *Third year student*

**5. Teaching Time Allocation:** *(credit hours for activities)*

+ In class: 2 credits

+ Self-study, self-research: 1 credit.

**6. Pre-Requisites:**

- Having professional knowledge about Macroeconomics.

- Having professional business of financial and monetary theory.

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

- Course Aims:

The module equips students with basic knowledge about financial markets, the tools circulated on financial markets. Students can learn about the financial institutions of banking and non banking financial market. At the same time, students can grasp the mechanism for the operation of the stock market, stock of goods, information of the stock market ... After that, the module helps students to understand the nature and functions of financial markets, the financial institutions which focus on the operation of the stock market in relation to other markets.

- Course Objectives:

O1: Understanding the general concepts of financial markets.

O2: Having a thorough grasp of the structures of financial markets, the role and functions of financial markets in the economy.

O3: Having a thorough grasp of tool tips for the operation of financial markets.

O4: Understanding organizations and the business activities of financial institutions of banking and non-banks.

O5: Understanding the positions, the roles, the functions, the structures, and operation principles of the stock market.

O6: Having a thorough grasp of concepts, classification of goods in the stock market: tools for stocks, bonds, and arising tool tips.

O7: Understanding and practicing on valuation of securities by the methods.

O8: Having a thorough grasp of processes of issuing securities, and the professional of issuance underwriting securities.

O9: Having a thorough grasp of the trading activities on the stock market.

O10: Understanding and practicing on methods of transaction, types of trading orders.

### **8. Course Description:**

- Chapter 1 : The overview of financial markets.
- Chapter 2 : The intermediary financial institutions.
- Chapter 3 : The overview of stock markets.
- Chapter 4 : Securities
- Chapter 5 : The primary market - The issuance of securities.
- Chapter 6 : The secondary market – The operation of securities transaction.

### **9. Student Learning Activities:**

- Attendance: as prescribed
- Assignments: prepare at home, done in class.
- Tools and materials: learning materials in accordance.
- Others: *(as required by the instructor)*

### **10. Recommended Resources:**

- Textbooks:
  - [1] Associate Professor, Dr. Bui Kim Yen (2012), Financial Markets, Ho Chi Minh City, Statistics Publishing House.
  - [2] Associate Professor, Dr. Bui Kim Yen (2009), Securities Analysis, exercises and solutions, Ho Chi Minh City, Publishing House Transportation.
- Reference books:
  - [3] Associate Professor, Dr. Bui Kim Yen, Dr Nguyen Minh Kieu (2009), Textbooks on financial markets, Ho Chi Minh City, Statistics Publishing House.

### **11. Evaluation:**

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

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

**13. Learning Activities:**

<b>Date</b>	<b>Lecture</b>	<b>Text Book</b>	<b>Student Preparation</b>	<b>Learning objectives</b>
Day (4 periods)	<p><b>Chapter 1: The overview of financial markets.</b></p> <ol style="list-style-type: none"> <li>1. The concepts of financial markets.</li> <li>2. The roles of financial markets.</li> <li>3. The classification of financial market.</li> </ol>	[1] [3]	<ul style="list-style-type: none"> <li>- Documents Reading in advance.</li> <li>- Explanation of concepts.</li> <li>- Issues Discussion.</li> <li>- 10-minute quiz test (if any)</li> </ul>	O1, O2, O3
Day (6 periods)	<p><b>Chapter 2: The intermediary financial institutions</b></p> <ol style="list-style-type: none"> <li>1. The concept of intermediary financial institutions.</li> <li>2. The classification of intermediary financial institutions</li> </ol> <ul style="list-style-type: none"> <li>- The banking financial institutions</li> <li>- The non-banking financial institutions.</li> </ul>	[1] [3]	<ul style="list-style-type: none"> <li>- Documents Reading in advance.</li> <li>- Explanation of concepts</li> <li>- Issues Discussion.</li> <li>- 10-minute quiz test (if any)</li> </ul>	O1, O4
Day (4 periods)	<p><b>Chapter 3: The overview of the stock market.</b></p> <ol style="list-style-type: none"> <li>1. The concept of stock market.</li> <li>2. The roles of stock market</li> </ol>	[1] [3]	<ul style="list-style-type: none"> <li>- Documents Reading in advance.</li> <li>- Explanation of concepts</li> <li>- Issues Discussion.</li> <li>- 10-minute quiz test (if any)</li> </ul>	O1, O5

	<p>3. The structures of the stock market.</p> <p>4. The principles of operation on the stock market</p>			
Day (16 periods)	<p><b>Chapter 4: The securities</b></p> <p>1. The concept of securities</p> <p>2. The classification of securities</p> <p>- Equity securities</p> <p>- Debt securities</p> <p>- Derivative Securities.</p>	[1] [2] [3]	<p>- Documents Reading in advance.</p> <p>- Explanation of concepts</p> <p>- Issues Discussion.</p> <p>- Practicing assignments.</p> <p>- 10-minute quiz test (if any)</p>	O1, O6, O7
Day (6 periods)	<p><b>Chapter 5: The operations of issuing securities.</b></p> <p>1. The methods of issuing securities.</p> <p>2. The issuance underwritings of securities.</p>	[1] [3]	<p>- Documents Reading in advance.</p> <p>- Explanation of concepts</p> <p>- Issues Discussion.</p> <p>- Assignments practice.</p> <p>- 10-minute quiz test (if any)</p>	O1, O8
Day (9 periods)	<p><b>Chapter 6: The operations of securities transactions.</b></p> <p>1. Securities transactions on the decentralized stock market.</p> <p>2. Securities transactions on the focused stock market.</p>	[1] [3]	<p>- Reading documents in advance.</p> <p>- Explanation of concepts</p> <p>- Issues Discussion.</p> <p>- Assignments practice.</p> <p>- 10-minute quiz test (if any)</p>	O1, O9, O10
<b>Total: 45 periods</b>				

*Ho Chi Minh City, 3 April 2013*

**COURSE COORDINATOR**

**LECTURER**

**DR. TRAN THI MONG TUYET**

