

朝陽科技大學 097學年度第1學期教學大綱  
Financial Law & Regulations 金融證券法規

當期課號	1362	Course Number	1362
授課教師	卓俊雄	Instructor	CHO,CHUN HSIUNG
中文課名	金融證券法規	Course Name	Financial Law & Regulations
開課單位	保險金融管理系(四日)四A	Department	
修習別	選修	Required/Elective	Elective
學分數	2	Credits	2
課程目標	<ol style="list-style-type: none"> <li>1.學生了解證券監理法規之基本意義及概念</li> <li>2.能具備識別證券交易市場的管理問題</li> <li>3.能具備金融證券法規之專業態度</li> <li>4.對日後金融證券法規之學習有所助益</li> </ol>	Objectives	<ol style="list-style-type: none"> <li>1. Helping students understand basic meaning and concepts of financial law and regulations.</li> <li>2. Able to identify management problems in securities market.</li> <li>3. Having professional attitudes on financial law and regulations.</li> <li>4. Helping future study on financial law and regulations.</li> </ol>
教材	劉連煜，證券交易法實例演習，元照	Teaching Materials	
成績評量方式	學習評分標準 <ol style="list-style-type: none"> <li>1. 上課情形及小考(30%)</li> <li>2. 期中考或期中報告(30%)</li> <li>3. 期末考或期中報告(40%)</li> </ol>	Grading	class attendance and presentation: 30% mid-term exam: 30% final exam: 40%
教師網頁	-		
教學內容	透過本課程之介紹，有助於使學生了解下列問題 <ol style="list-style-type: none"> <li>1.了解證券市場的管理概況</li> <li>2.了解證券發行市場的管理</li> <li>3.了解證券交易市場的管理</li> <li>4.認識證券服務業</li> <li>5.主要證券監理法制</li> </ol>	Syllabus	After studying this course, students must be able to <ol style="list-style-type: none"> <li>1.explain the major reasons why stock markets are regulated</li> <li>2.identify key legal cases and legislation that have had an important impact on stock markets regulations</li> <li>3.identify the obligations and rights for an issuerand</li> <li>4.explain the objectives of stock markets regulation</li> </ol>

尊重智慧財產權，請勿非法影印。