

# LAW 7202: Introduction to Compliance

The emerging field of compliance sits at the intersection of several more-established areas of law, including criminal and corporate law. The purpose of this course is to provide an overview of the legal basis and practical implementation of the compliance function within businesses and other organizations. In addition to this overview, the course will delve specifically into compliance issues for financial services companies, such as banks, mutual funds and money managers. Students in this course will learn how lawyers working in compliance play a key role in applying laws and regulations to a specific company's operations, and assessing the risks related to non-compliance, and how they work closely with regulators, both civil and criminal. Students will be graded based on a mid-week written test on key terms and concepts introduced in the readings and the initial lectures. There will be a final, group project that will involve creation of a written work product, plus an in-class presentation.

**Credits:** 1.0