

Al-Farabi Kazakh National University

Higher School of Economics and Business Department of
Finance and Accounting

**PROGRAM-METHODICAL RECOMMENDATIONS OF THE FINAL EXAM IN THE
DISCIPLINE:**

FNM4308 "Financial Supervision and Monitoring"

"6B04106 - Finance" educational program

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Compiler:

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Program of the final exam on the discipline " Financial Supervision and Monitoring "
considered and approved at the meeting of the department "Financeand Accounting"

Protocol №11from «15» February 2022.

Instructions for passing the exam:

1. The final control (exam) for full-time students is carried out on the corporate platform Microsoft Teams of Al-Farabi Kazakh National University or on the external ZOOM service in case of technical problems. The process of passing an oral exam by a student involves the automatic creation of an exam ticket, to which the student must answer verbally by the Examination Board. When conducting an oral exam, video recording is mandatory.
2. Duration of the exam: the time of preparation is decided by the examiner or the Examination Board. The answer time is decided by The Examiner or the Examination Board. It is offered 15-20 minutes to answer all the questions of the ticket.
3. Univer IP exam tickets are opened automatically.
4. 30 minutes before the start of the exam, all students of the group enter the conference hall of the video communication by following the link specified in the rules of the final exam organized by the teacher or members of the Commission (sent by the teacher/members of the commission in case of violation of the work of the video communication service).
5. The ability to log in 30 minutes before the start of the exam Univer.kaznu.kz checks through any browser, but through Google Chrome (in case of loss of username and/or password, the student must contact the curator-adviser before the exam starts). After verification, they log out of the account, waiting for a call from the Commission.
6. at the beginning of the exam, the student invited by the commission shows his / her ID card (ID card or passport) to the camera. It is forbidden to take the ID card exam). Includes screen display. The student logs in to his / her account in the Univer IP and goes to the "exam table" page, selects the current exam-by clicking on the "pass the oral exam" button. After passing the link "passing the oral exam", a window opens where the student will see the questions of the exam ticket. The student shows a screen with questions about the ticket, reads them aloud. The BBB translates the presentation of the service to the camera and prepares for the answer and answers the ticket questions after preparing for the period of time set by the teacher or the commission.
7. if a student who has opened his ticket for technical reasons (power outage, internet shutdown, or low speed) does not stay online for more than 10 minutes during the exam, then his answer is canceled. The exam is postponed to another day in coordination with the Department of academic affairs.
10. the Examination Board and the teacher certify the exam participants. Univer puts points in the final statement in the IP. The time for putting points in the certification list for the oral exam is 48 hours.
Students should familiarize themselves with the date and time of the exam advance in the "Univer" system, in the "exam schedule" section.

Requirements for students:

1. the student must familiarize himself with all the instructions for passing the final exam and the program of the final exam in the discipline";
2. before the exam starts, the student must check:
 - * internet connection on the working device(computer, monoblock, laptop, tablet), the device must be provided with charging for the entire duration of the exam;
 - * web functionality of the camera and microphone.
- 3.the student must prepare a workplace for passing the exam: a separate room (office); the room must be illuminated.
4. when passing the test, the presence of unauthorized persons in the room/office is not allowed
- 5.the student's clothing style is classic. It is not allowed to participate in the exam in home clothes or in a sports suit.
6. checks the ability to log in 30 minutes before the exam starts Univer.kaznu.kz through any browser, but through Google Chrome (in case of loss of username and / or password, the student must contact the curator- adviser before the start of the exam).
7. according to the schedule, at the beginning of the exam, students will have access to UNIVER IP tickets created in their accountsuniver.kaznu.kz.
- 8.a student does not have the right to open a ticket until the commission personally invites him / her to pass the exam, only at the request of the commission, the student logs in to the Univer IP account and opens his / herticket on video.

Evaluation policy:

Criterion-based assessment: evaluation of learning outcomes according to descriptors (verification of competence formation in border control and exams).

Summative assessment: assessment of the activity of work in the audience (webinar); assessment of the completed task. The final grade in the discipline is calculated using the following formula: here AB – intermediate control; MT – intermediate exam (midterm); PA – final control (exam).

Tickets are generated automatically

Number of questions in tickets - 3 (question 1 - 30 points, question 2 – 30 points, question 3 - 40 points).

The highest score - 100

Time duration: time for preparation - 5-10 minutes, to answer all questions of the ticket - 15-20minutes.

Schedule of exams - according to the schedule in the Univer

system.Control of the exam. The instructor or examining

committee:

- makes a video recording of the exam,

- Retains the video recording of the exam for 3 months from the day the session ends. The examinee must show on the video camera:

- an identification document (UDV or passport. **It is FORBIDDEN to take the exam with an ID card**);

- the room in which he/she is - there must be no unauthorized people, additional sources of information in the room.

WARNING. THE STUDENT IS NOT ALLOWED TO OPEN THE TICKET BEFORE THE COMMISSION'S INDIVIDUAL INVITATION TO TAKE THE EXAM. ONLY AT THE REQUEST OF THE COMMITTEE, THE STUDENT ENTERS HIS/HER ACCOUNT IN THE VIDEO RECORDER AND OPENS HIS/HER TICKET.

The grading scale is given in the syllabus (especially for 1st year students):

Evaluation by letter system	Digital equivalent	Points (in%)	Evaluation according to the traditional system
A	4	95-100	Very good
A-	3,67	94-90	
B+	3,33	85-89	Good
B	3,0	80-84	
B-	2,67	75-79	
C+	2,33	70-74	Satisfactory
C	2,0	65-69	
C-	1,67	60-64	
D+	1,33	55-59	
D-	1,0	50-54	Unsatisfactory
FX	0,5	25-49	
F	0	0-24	

SYLLABUS QUESTIONS OF THE EXAMINATION ON THE DISCIPLINE

1. Introduction to financial monitoring. Legal basics of financial monitoring
- Information and analytical systems of financial monitoring
3. information and analytical systems of financial monitoring
4. Committee of financial monitoring of the Republic of Kazakhstan and its functions
5. Financial diagnostics
6. Financial intelligence as a function of financial monitoring
7. Financial monitoring and valuation of quasi-public sector organizations
8. International standards for financial monitoring
9. The National Bank of the Republic of Kazakhstan as a control and supervisory body for the financial market and financial organizations
10. The National Bank of the RK as a control and supervisory body at the financial market and financial organizations
11. Consolidated financial supervision over the activities of bank groups
12. the oversight functions of the State Internal Audit Committee
13. financial supervision of financial operations at the currency and securities market
- securities market
14. Legislative and normative regulation and supervision of financial market segments
15. To study foreign experience in financial supervision of financial organizations

EXAM PROGRAM QUESTIONS ON THE DISCIPLINE

" Financial Supervision and Monitoring ":

Forms of financial monitoring of companies

1. The principles of financial monitoring of companies are the following:
2. information and analytical systems of financial monitoring are
3. Basic comprehensive surveys of the objects of monitoring are carried out by direct examination
4. Classification of intangible assets
5. Liquidity ratios
6. The main stages of realization of the express analysis of the financial condition are
7. Calculation of the effect of financial leverage is determined by the formula
8. Calculation of operating leverage is determined by the formula
10. Models of analysis by "Dupont" method

RECOMMENDED READING MATERIAL FOR PREPARING FOR THE EXAM:

1. Тургулова А.К., Маркелова М.А. Финансовый мониторинг компании: Учеб. пособие. - Алматы: «Экономика», 2016.
2. Закон Республики Казахстан «О государственном регулировании и надзоре финансового рынка и финансовых организаций» № 474-ІІ от 04.07.2003г. (с дополнениями на 2016 г.)
3. Закон Республики Казахстан О противодействии легализации (отмыванию)

доходов, полученных незаконным путем, и финансированию терроризма от 28 августа 2009 года № 191-IV

4. Эксмо. Государственные и муниципальные финансы. – Litres, 2017.

5. Dingwerth K. Field recognition and the state prerogative: Why democratic legitimation recedes in private transnational sustainability regulation //Politics and Governance. – 2017. – Т. 5. – №. 1. (Признание права и государственная прерогатива: почему демократическая легитимация отстывает в частном транснациональном регулировании устойчивости)

6. Искаков У.М., Рузиева Э.А. «Финансовые рынки и посредники», 2012, Алматы

7. Сапарова Г.Т. «Государственное регулирование и надзор за финансовыми рынками», 2010 г.

8. Об утверждении Положения о Комитете финансового контроля Министерства финансов Республики Казахстан (по состоянию на 22 мая 2008 года)

9. <http://kfm.gov.kz/ru/>

1. <http://kfm.gov.kz/> официальный сайт Комитета по финансовому мониторингу

2. www.stat.kz/ официальный сайт Агентства РК по статистике

3. <http://www.almaty.gorstat.kz/almaty> - Департаменты статистики г.Алматы

4. <http://www.e.gov.kz/> Портал электронного Правительства Республики Казахстан

5. <http://www.minplan.kz/> Министерство экономического развития и торговли Республики Казахстан

6. <http://www.nationalbank.kz/> - Национальный Банк