

MINISTRY OF AGRICULTURE OF REPUBLIC OF KAZAKHSTAN

S.SEIFULLIN KAZAKH AGROTECHNICAL UNIVERSITY

DEPARTMENT OF «FINANCE»

APPROVED  
Dean of Economic faculty  
*S. Aitkhozhin*  
S.Aitkhozhin  
« 08.08 » 2020  
ФАКУЛЬТЕТИ  
БЕКПАНАТЫ  
Discipline work program  
(SYLLABUS)

Discipline: Financial institution management (advanced course)  
Specialty: M074-Finance, Banking and insurance  
Scientific and pedagogical direction

Nur-Sultan 2020

Working educational program discipline "Management of financial institutions" (Syllabus) is made on the basis of the catalog of elective disciplines of the specialty M074-Finance, Banking and insurance and the approved curriculum of the specialty

Reviewed at the meeting of the Department of Finance. , Protocol No. 11 of June 03, 2020.

Chair of the department



Z.A. Baimagambetova

Recommended by methodical commission of the Faculty of Economics  
Protocol No. 13," \_19\_ " June 2020  
(day, month, year)

Chairman of the MC



S. Daripbaeva

## 1. Information about the teacher.

Lecturer – candidate of economic Sciences, acting associate Professor D. A. Tleuhanova  
Seminar-candidate of economic Sciences, acting associate Professor Tleuzhanova D. A.  
Kazakh agrotechnical University.S. Seifullin.

Department of Finance, tel: 395-807

Consultations: according to the schedule of consultation at the Department

Subparagraph 1.1 of the Syllabus should be supplemented by the following: “Classes are held according to the approved schedule using distance technologies in «online» and «offline» modes.

## 2. Information about the discipline

### Distribution of hours

Weeks of the trimester	1	2	3	4	5	6	7	8	9	10	total
lectures	2	2	2	2	2	2	2	2	2	2	20
Practical class	2	2	2	2	2	2	2	2	2	2	20
Independent work of a student with a teacher (IWST)	2	2	2	2	2	2	2	2	2	2	20
Independent work of the student (IWS)	6	6	6	6	6	6	6	6	6	6	60
total	12	12	12	12	12	12	12	12	12	12	120

## CHARACTERISTIC OF DISCIPLINE , ITS PLACE IN THE EDUCATIONAL PROCESS

### 1.1 Description of the discipline under study

The discipline "Management of financial institutions" occupies an important role among the academic disciplines of economic specialties. It is reflected in such disciplines as "Financial markets and intermediaries", "Banking", "Financing and crediting of investments", "Insurance business", etc.

From the first days of the existence of an independent Kazakhstan, financial institutions are given one of the leading roles in the formation of its market economy. The priority area of the state economic policy is the formation of an effective financial market. The main participants of the financial market, in turn, are financial institutions. This educational discipline reveals the management activities of such financial institutions as commercial banks, accumulative pension funds, insurance companies, investment funds, the National Bank of Kazakhstan, the FSA, microcredit organizations, pawnshops, credit partnerships, mortgage companies, etc.

The discipline "Management of the activities of financial institutions" is intended to highlight the main stages of the formation of financial institutions, regulation and management of their activities, to consider the main problems of financial institutions and the prospects for their development

The course "Management of the activities of financial institutions (advanced)" occupies a special place among the academic disciplines that form the specialists of the economic profile.

### **1.2 Objectives of studying the discipline**

About acquaint the undergraduates with the main problems of managing the activities of financial institutions in the current conditions in the world financial market and in Kazakhstan practice and suggest concrete ways to resolve these problems. Comprehensive study of types of financial institutions and their activities, individual moments of state regulation and supervision.

### **1.3 The objectives of the study of discipline are:**

- give a comprehensive understanding of the current interpretation of financial institutions, their classification;
- familiarize with the activities of financial institutions: credit partnerships, credit bureaus, pension funds, insurance companies, commercial banks, investment funds, development institutions;
- to acquaint with modern problems of management of activity of financial institutions in the world financial market and in Kazakhstan practice;
- to identify specific ways to solve the problems of managing the activities of financial institutions and the prospects for their development.

**1.4 Prerequisites for the course:** "Economic theory", "Macroeconomics", "International economy", "Financial markets and intermediaries", "Money, credit, banks", "Banking", "Finance".

**1.5 Course Requisites:** Financial management, performing the master operation.

When studying the course undergraduates

- first, the study of the theoretical aspects of the functioning of financial institutions, that is, the study of their functions and principles with consideration of the economic content of financial institutions, the stages of formation and historical development of financial institutions in the Republic of Kazakhstan, the main conceptual directions of financial reforms in the country, etc.;
- second, in-depth study of the functioning and management of financial institutions, as well as learning practical activities of specific types of financial management, the study of the laws of the organization management of financial institutions, study the impact of managerial mechanisms;
- third, it is necessary to master the methods of management planning based on a deep study of the theoretical and practical aspects of managing the activities of financial institutions, as well as apply management mechanisms.

A. to consider at the theoretical level the stages of organization of formation, development and functioning of reforms in the activities of financial institutions of the Republic of Kazakhstan;

B. obtaining information about the management of financial institutions on the basis of legal acts on financial institutions of the Republic of Kazakhstan;

C. ability to identify contradictions in the behavior of participants in relations between financial institutions in certain cases and develop proposals based on the analysis of legal provisions Management consulting, comparison of various legal situations;

D. Ability to recognize patterns and trends in the development of foreign countries and financial institutions of the Republic of Kazakhstan;

E. analysis of financial reporting indicators in the management of public financial institutions..

*Taxonomy of educational objectives in the cognitive process:*

*know:* the nature and role of securities in the economy, Especially the organization of the stock market, legislative acts of the Republic of Kazakhstan in the stock market;

*understanding:* development of information on changes in the stock market in the Republic of Kazakhstan;

*application:* consideration of the order of transactions with securities, the order of their evaluation, application in determining the order of accounting for types of securities;

*analysis:* analysis of the structure and composition of the stock market of Kazakhstan;

*synthesis:* mastering the skills of analytical work to assess the effectiveness of the stock market of Kazakhstan;

*assessment:* development of logical thinking skills and management decision-making based on the analysis of problems in the stock market of Kazakhstan.

## 2 CONTENTS OF THE DISCIPLINE

### 2.1 Thematic study plan

	Topic Title	Volume, hours	literature
	Lecture classes		
1. Module. Fundamentals of financial institutions and their regulation	Topic 1 . The role of financial institutions in the economic development of the country Classification of financial institutions: traditional and Kazakh	2	1,2,4,5, 6, 18,19
	Topic 2. Regulators and state policy in the field of management of Kazakhstan financial institutions. Legislative base of functioning of Kazakhstan financial institutions.	2	1,2,4,5, 6, 18,19
2. Module. Organization of financial institutions	Topic 3. Banks as the main financial institutions	2	1,2,4,5, 6, 18,19
	Topic 4. Features and principles of managing the activities of investment funds.	2	1,2,4,5, 6, 18,19
	<b>Topic 5. Insurance companies in the Republic of Kazakhstan and management of their activities</b>	2	1,2,4,5, 6, 18,19
	Theme 6. Features in the management of activities n of accumulative pension funds	2	1,2,4,5, 6, 18,19
3. Module. Strategies for the development of financial institutions	Theme 7. The strategy of managing the activities of Kazakhstan's specialized financial institutions	2	1,2,4,5, 6, 18,19
	Topic 8. Professional participants as specialized financial institutions of the securities market	2	1,2,4,5 , 6,7, 8,9 10,11,12,18
	Topic 9. International Financial Institutions	2	1,2,4,5 , 6,18,19,periodicals
	Topic 10. Prospects for the development of Kazakhstani financial institutions	2	1,2,4,5 , 6,18,19,periodicals

	Total	20	
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Module Title	Topic Title	Volume, hours	literature	Current control, points
	Seminar (practical) lessons			
1. Module. Fundamentals of financial institutions and their regulation	Topic 1. The role of financial institutions in the economic development of the country Classification of financial institutions: traditional and Kazakh	2	1,2,4,5, 6, 18,19	50-100
	Topic 2. Regulators and state policy in the field of management of Kazakhstan financial institutions. Legislative base of functioning of Kazakhstan financial institutions.	2	1,2,4,5, 6, 18,19	50-100
2. Module. Organization of financial institutions	Topic 3. Banks as the main financial institutions	2	1,2,4,5, 6, 18,19	50-100
	Topic 4. Features and principles of managing the activities of investment funds.	2	1,2,4,5, 6, 18,19	50-100
	<b>Topic 5. Insurance companies in the Republic of Kazakhstan and management of their activities</b>	2	1,2,4,5, 6, 18,19	50-100
	Theme 6. Features in the management of activities n of accumulative pension funds	2	1,2,4,5, 6, 18,19	50-100
3. Module. Strategies for the development of financial institutions	Theme 7. The strategy of managing the activities of Kazakhstan's specialized financial institutions	2	1,2,4,5, 6, 18,19	50-100
	Topic 8. Professional participants as specialized financial institutions of the securities market	2	1,2,4,5 , 6,7, 8,9 10,11,12,18 ,19	50-100
	Topic 9. International Financial Institutions	2	1,2,4,5, 6, 18,19	50-100
	Topic 10. Prospects for the development of Kazakhstani financial institutions	2	1,2,4,5, 6, 18,19 periodicals	50-100
	Total	20		

Topic Title	Volume, hour	Literature	
<p>Topic 1. Topic 1. The role of financial institutions in the economic development of the country  Classification of financial institutions: traditional and Kazakh  Financial institutions, essence and concept. Place of financial institutions in the financial system. Institutional structure of the financial sector. The economic content of the concept of a financial institution. The subjects of the financial system and their role in the activities of financial institutions. The role of financial institutions in the economic, financial development of the country.  Classification of financial institutions, developed on the basis of world experience (traditional). Features of the classification of Kazakhstan financial institutions. Characteristics of regulatory financial institutions, investment and commercial financial institutions, development institutions, specialized financial institutions</p>	2	1,2,4,5, 6, 18,19	50-100
<p>Topic 2. Regulators of financial institutions. Legislative base of functioning of Kazakhstan financial institutions.  Governance and regulation of financial institutions: a brief overview and characteristic features. The activities of the National Bank of the Republic of Kazakhstan and the Agency for the Supervision and Regulation of Financial Institutions, as the main state bodies for managing the activities of financial institutions. The main goal and tasks of the National Bank of the Republic of Kazakhstan. Internal regulation. Monetary policy of the National Bank. Analysis of the financial status of investment institutions. The main goal, objectives and principles of state regulation and supervision of the financial market and financial organizations. Features of regulation of banks. Features of regulation and supervision of insurance activities. Features of regulation and supervision of the activities of securities market entities, accumulative pension funds and other specialized financial institutions. The need for self-regulating organizations.</p>	1	1,2,4,5, 6, 18,19	50-100
<p>Topic 3. Banks as the main financial institutions  The role of banks in the financial market infrastructure. The role of banks in the financial market system. Credit and investment strategies of banks. Credit policy of banks. Commercial banks as issuers and investors in the securities market. Structure of the investment portfolio of banks. A place Analysis of the development of the banking sector of the Republic of Kazakhstan in comparison with other countries. The main qualitative changes in the development of the banking sector. The main quantitative indicators characterizing the</p>	1	1,2,4,5, 6, 18,19	50-100

development of the banking sector. Problems of development of the banking sector. Comparative analysis of the development of the banking sector of the Republic of Kazakhstan in comparison with other countries			
<p>Topic 4. Features and principles of managing the activities of investment funds.</p> <p>Investment funds, general characteristics and classification. Normative legal base of functioning of investment funds in RK Features of management of investment funds .Investment funds, as financial institutions. Organization of the activity of joint-stock investment funds and mutual investment funds. Problems of investment funds and prospects for their development. Strategy of the activity of investment funds.</p>	2	1,2,4,5, 6, 18,19	50-100
<p><b>Topic 5. Insurance companies in the Republic of Kazakhstan and management of their activities</b></p> <p>Classification of insurance companies in the Republic of Kazakhstan. Leading positions of Kazakhstan insurance companies. General overview of the insurance market of the Republic of Kazakhstan. Strategy of the insurance company.Accommodation of insurance reserves of insurance companies. Risks in insurance activities. Insurance of commercial risks. Features of management and regulation of the activity of the insurance company. Prospects for development of the insurance market of the Republic of Kazakhstan.</p>	2	1,2,4,5, 6, 18,19	50-100
<p>Theme 6. Features in the management of activities n of accumulative pension funds</p> <p>Pension reform in the Republic of Kazakhstan, world experience and development prospects. Pension funds in the RK, their characteristics. The role of the state center for the payment of pensions in the pension system. Evaluation of the effectiveness of the pension fund. The process of managing pension assets of Kazakhstan pension funds. The policy of pension funds and their risks. Bank of custodians. Activity of the organization that exercises investment management of pension assets. Prospects for improving the pension system.</p>	2	1,2,4,5, 6, 18,19	50-100
<p>Theme 7. The strategy of managing the activities of Kazakhstan's specialized financial institutions</p> <p>Normative legal framework for the organization of the activities of specialized financial institutions. Rules for theorganization of credit partnerships. Features of the functioning of credit bureaus. Pawnshops and the organization of their activities. Organization of microcredit organizations and their activities. The postal savings system in the Republic of Kazakhstan. Management of the Deposit Guaranteeing (Insurance) Fund. Organization of a mortgage lending system in the Republic of Kazakhstan. Center for Interbank Settlements in</p>	2	1,2,4,5, 6, 18,19	50-100



Kazakhstan. PRESSING CENTER. Major changes and trends in the development of non-banking financial institutions.			
<p>Topic 8. Professional participants as specialized financial institutions of the securities market Development Institutions in Kazakhstan</p> <p>Legislative bases of functioning of subjects of the securities market. Stages of reforming and developing the institutional infrastructure of the securities market. Classification of professional participants of the securities market. The activity of issuers in the securities market. Management of brokerage and dealer companies. Depository activities. Custodian activity. Characteristics of registrar activity. Organization of the Kazakhstan Association of Registrars (CARD). Stock Exchange. State regulation of securities market entities.</p> <p>The main objectives of the establishment of development institutions in Kazakhstan. Institutions implementing the investment and innovation strategy of development of Kazakhstan. Types of development institutions in Kazakhstan. Kazakhstan Investment Fund. National Innovation Fund. Status and prospects for the development of development institutions in Kazakhstan</p>	2	1,2,4,5 , 6,7, 8,9 10,11,12,18,19	50-100
<p>Topic 9. International Financial Institutions</p> <p>The essence of international capital markets. The main participants of the international capital market are international financial institutions. International Monetary Fund. The World Bank Group. Management structure of the IBRD. European Bank for Reconstruction and Development. Asian Development Bank. Forms of provision of resources by international financial institutions</p>	2	1,2,4,5 , 6,18,19,periodicals	50-100
<p>Topic 10. Prospects for the development of Kazakhstani financial institutions</p> <p>Comparison of state regulation and supervision of financial institutions in Kazakhstan with developed countries and CIS countries , taking into account the peculiarities and implementation of financial reforms . Comparative analysis of the development of segments of financial systems and the conditions for the presence of foreign capital in the development of financial institutions. Priority directions of development of the financial sector in the medium term. Issues of transition to EU standards.</p>	2	1,2,4,5 , 6,18,19,periodicals	50-100

The schedule and contents of the IWMT:

Lesson Topic	Content of the assignment	The form holding	
Topic 1 . The role of financial institutions in the economic development of the country	1. Financial institutions, essence and concept. 2. Institutional structure of the	Verbal enquiries	50-100

Classification of financial institutions: traditional and Kazakh	<p>financial sector.</p> <p>3. The role of financial institutions in the economic, financial development of the country.</p> <p>1. Classification of financial institutions, developed on the basis of world experience (traditional).</p> <p>2. Features of the classification of Kazakhstan financial institutions .</p>		
Topic 2. Regulators of financial institutions. Legislative base of functioning of Kazakhstan financial institutions.	<p>1. Methods and types of regulation of financial institutions</p> <p>2. Functions of the Agency for the Supervision and Regulation of Financial Institutions, as the main regulator financial institutions.</p> <p>3. The main goal and tasks of the National Bank of the Republic of Kazakhstan.</p> <p>4. The need for self-regulatory organization.</p>	Verbal enquiries	50-100
Topic 3. Banks as the main financial institutions	<p>1. The role of banks in the financial market infrastructure.</p> <p>2. Credit and investment strategies of banks.</p> <p>3. Main quantitative indicators characterizing the development of the banking sector.</p>	Verbal enquiries	50-100
Topic 4. Features and principles of managing the activities of investment funds.	<p>1. Investment funds, general characteristics and classification.</p> <p>2. Normative legal framework for the functioning of investment funds in the Republic of Kazakhstan</p> <p>3. Features of managing the activities of investment funds .</p>	Control work	50-100
Topic 5. Insurance companies in the Republic of Kazakhstan and management of their activities	<p>1. Classification of insurance companies in the Republic of Kazakhstan.</p> <p>2. Leading positions of Kazakhstan insurance companies. 3. General overview of the insurance market of the Republic of Kazakhstan.</p> <p>4. Strategy of the insurance company. Accommodation of insurance reserves of insurance companies. Risks in insurance activities.</p>	Economic dictation	50-100
Theme 6. Features in the management of pension funds	<p>1. Pension reform in the Republic of Kazakhstan, world experience and development prospects.</p> <p>2. Pension funds in the RK, their characteristics.</p>	Verbal enquiries	50-100

	<p>3. Management of pension assets of Kazakhstan pension funds.</p> <p>4. Prospects for improving the pension system.</p>		
Theme . The strategy of managing the activities of Kazakhstan's specialized financial institutions	<p>1. Normative and legal framework for organizing the activities of specialized financial institutions.</p> <p>2. On the organization of the activity of credit partnerships.</p> <p>3. Features of the functioning of credit bureaus.</p> <p>4. Pawnshops and the organization of their activities.</p> <p>5. Organization of microcredit organizations and their activities. The postal savings system in the Republic of Kazakhstan.</p>	Control work	50-100
Topic 7. Professional participants as specialized financial institutions of the securities market Development Institutions in Kazakhstan	<p>1. Legislative bases of functioning of subjects of the securities market.</p> <p>2. Classification of professional participants of the securities market.</p> <p>3. Stock Exchange.</p> <p>1. The main objectives of the establishment of development institutions in Kazakhstan. Institutions implementing the investment and innovation strategy of development of Kazakhstan.</p> <p>2. Types of development institutions in Kazakhstan. Kazakhstan Investment Fund. National Innovation Fund.</p> <p>3. Status and prospects for the development of development institutions in Kazakhstan</p>	Verbal enquiries	50-100
Topic 8. Investment strategies of Kazakhstan financial institutions	<p>1. Components of the strategy of financial institutions: risk reduction,</p> <p>2. Assets and liabilities of financial institutions.</p> <p>3. Participation of financial institutions in investment projects.</p>	Economic dictation	50-100
Topic 9. International Financial Institutions	<p>1. The essence of international capital markets.</p> <p>2. The main participants of the international capital market are international financial institutions.</p> <p>3. International Monetary Fund. The World Bank Group.</p> <p>4. Forms of provision of resources by international financial institutions</p>	Verbal enquiries	50-100

Topic 10. Prospects for the development of Kazakhstani financial institutions	1. Comparison of the systems of state regulation and supervision of financial institutions of Kazakhstan with developed countries and CIS countries , taking into account the peculiarities and implementation of financial reforms . 2 Priorities for the development of the financial sector in the medium term.	Control work	50-100
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#### Schedule and content of the IWM:

<b>№</b>	<b>Subject of the task</b>	<b>Content of the assignment</b>	<b>Form of control</b>	<b>Term of delivery (week)</b>	
1	Classification and stages of development of financial institutions in Kazakhstan	Classification of financial institutions of RK (scheme) Description of the stages of development of Kazakhstan's financial institutions in chronological order	Scheme, summary, verbal response	1-2	50-100
2	Regulators of financial institutions: features, analysis of the state, problems and development prospects	To study the goals and objectives of the activity of the regulatory bodies of financial institutions. Analyze the state of the financial market (3 years). Identify the problems of their activities and develop measures to improve	Abstract, report	3-4	50-100
3	Commercial banks of the Republic of Kazakhstan in a market economy Accumulative pension funds in the Republic of Kazakhstan: status, problems and solutions	Analysis of the activities of commercial banks of the Republic of Kazakhstan for the last 3 years. Stages of development of the accumulative pension system of the Republic of Kazakhstan. Analysis of the state of banks-custodians. Identify problems and solutions	Abstract, verbal response	5-6	50-100
4	Formation and development of investment funds in the Republic of Kazakhstan Mutual Investment Funds: Problems and Development Paths Insurance organizations of	Analysis of the state for the last 3 years. Problems of the activity of investment funds in the Republic of Kazakhstan and prospects for development The analysis of the state of unit investment funds is 3 years. Quantitative indicators of open, closed, interval mutual funds. Identify problems and solutions	Abstract, verbal response	7-8	50-100

	RK: state, problems and development prospects	Analysis of the state for 3 years. Problems of activity of insurance organizations of the Republic of Kazakhstan and development prospects			
5	Microcredit organizations in the Republic of Kazakhstan: state, problems and development prospects	Number of credit partnerships in the Republic of Kazakhstan. Analyze activities, determine the role in the microcredit system. Analyze the dynamics of microcredit organizations over the past 3 years. Identify the problems of the microcredit system and develop measures to address them	Abstract, verbal response essay	9	50-100
6	Institutes of development in the Republic of Kazakhstan and their role in the implementation of the innovative strategy of the Republic of Kazakhstan. The global financial crisis: the causes and consequences (for Kazakhstan)	Characterize the features of the development institutions of Kazakhstan. Analyze the state of the past 3 years. Identify problems and solutions. Identify the causes of the global financial crisis. Describe the measures to eliminate the crisis after the financial institutions of Kazakhstan, as well as world financial institutions	Abstract, verbal response	10	50-100

Summary: consistent consolidation of information of a free nature (quotes, extracts, theses).

Abstract: it is given on a specific topic, is a small research and creative work of the student. When evaluating the abstract, the disclosure of the topic, the use of scientific sources, the style of presentation, visibility, and content are taken into account. Deadlines for submission and defense of the abstract are carried out after the end of the topic, the work is not accepted or evaluated after the deadline.

Essay: a written statement of your opinion on a particular issue with reasonable conclusions and recommendations. The purpose of the Essay is to develop the skills of independent creative thinking and writing your thoughts.

In this case, you must fully Express yourself, using the necessary and sufficient evidence to disclose your opinion on a certain completed issue (without going beyond the scope of the issue under consideration) and critically evaluate the presented problematic opinions.

Summary evaluation criteria

- criteria for the selection of the necessary facts from the text
- criteria for the accuracy of fixing the material
- the amount of objectivity of the selected facts
- logical criteria for presentation
- the criterion of criticality of the text

Criteria for writing an Essay and abstract

- completeness criteria
- criterion of informativeness
- criteria for language and terminological validity
- the criterion of novelty
- criteria for creativity.

#### Evaluation criteria

In the discipline " A " - "Management of financial institutions" - semantic and deep development of all topics. Generalization in practice of theoretical concepts in the field of development of financial institutions, provided by the discipline, with a description of their trends and conditions in a particular life activity. Correct and clear answers to questions according to the topic. Increasing the role of modernization and globalization of financial institutions at the present stage. Assessment of the effectiveness of Kazakhstan's financial institutions : the ability to make informed conclusions and recommendations for improving the development of financial institutions. Ability to analyze the state and prospects of development of financial institutions in Kazakhstan in modern conditions. Establishing the relationship between interdisciplinary and economic relations in all the acquired knowledge.

"A" - define a specific problem for this task. The combination with the theoretical concepts of the considered experience in the discipline "Management of financial institutions". The answer to this question should be clear and precise. Good knowledge of the role of modernization and globalization of financial institutions in modern development conditions. Assessment of the effectiveness of development institutions in Kazakhstan: the ability to make informed conclusions and recommendations for improving the development of financial institutions. Ability to analyze the state and prospects of managing the activities of financial institutions in Kazakhstan in modern conditions. It is good to know the basic concepts and give them specific examples in the answer.

Knowledge of all topics in the discipline "B+" - "Management of financial institutions". Understanding the practical relationship of all theoretical concepts provided in the discipline, legislation. They make minor mistakes in the presentation of concepts, but correct their mistake when answering with the help of the teacher. Study all topics in general and answer questions.

The main concepts of the discipline " B " - "Management of financial institutions" and be able to distinguish them. We will give a generalized conclusion. The ability to apply the acquired knowledge in practical classes, to understand the meaning of scientific terms, as well as to work with basic and additional literature, reference materials. Mistakes may be made on this topic.

"B -" - the ability to correctly express your thoughts when answering, but deep semantic concepts can remain without mention. It does not reveal the connection between the cases that occur. Some of the answers don't match the meaning of the question. In general, they are concerned and explain the main problems of the development of the financial sector, but they cannot convey its final essence. Some of the answers are not clear.

"C+" - may deviate from the topic when answering. No analysis is carried out on the main issues of financial institutions ' management.

"C" - low level of knowledge, some of the answers to the questions correspond to the topic. It is impossible to link theoretical knowledge on the topic with practice. In the discipline "Management of financial institutions", you can only answer certain comments.

You can not draw conclusions on topics in the discipline "C -" - "Management of financial institutions". Some responses may contain semantic errors. Information and

sends them in conjunction with non-software on this topic by mistake. Some information and comments are relevant to this topic.

He can not determine the information on the topics of the discipline " D+ " - "Management of financial institutions", the general conclusion is not made. The data provided in the response does not correspond to the topic. No comparative analysis is carried out. According to the data provided, many mistakes will be made. Do not answer the main questions on this topic.

Does not understand the basic definitions of the discipline " D " - "Management of financial institutions", and can not use them as an answer to a specific question. Gross errors are allowed in the response. In order to clarify the mistakes made, correct answers to additional questions are not given.

General knowledge of the discipline "FX", " F " - "Management of financial institutions" is not mastered, there is no clear answer, it is not possible to explain the general direction of the topic in the answer and draw conclusions. Involuntary errors are allowed in the response. The subject deviates from the program and directs a lot in their responses. Refusal to issue a response

### **7. The main forms and methods of training should be supplemented according to the requirements of Distance Learning Technologies (DLT) (individually).**

Forms and methods used in training:

- lectures-questions are presented in a logical sequence. After each question the conclusion is drawn. The lecture will cover issues that have not yet been published in some new, valuable scientific literature. Students record the content of the materials, evidence, specific examples, the main conclusions.
- Visual presentation (illustration and demonstration) - Learning material is often related to visual aids and technical tools used in the learning process.
- By means of practical training methods, students practice practical activities, form practical skills and skills (oral, written, graphic exercises).
- Research method-used to better study the experience of creative work. Using the research method, the student uses knowledge, learns to work with the methods of scientific knowledge, summarizes the experience of solving new problems.
- The method of problem statement-statement of the problem situation to the student, the formulation of questions, the issuance of cognitive tasks, tasks.
- Independent work-in the process of doing this work develops creative, cognitive activity of students, solved the problem of motivation for their future profession, the main is able to rationally organize their time..
- Homework. Skills of students are formed in the process of homework.

## **8 BIBLIOGRAPHY**

### **List of main literature.**

- 1 «Финансовые рынки и посредники»У. М. Исаков, Д. Т. Бохаев, Э. А. Рузиева,2012 г
2. Финансовые рынки и финансово-кредитные институты : учебное пособие / Т. В. Никитина, А. В. Репета-Турсунова. – СПб. : Изд-во СПбГЭУ, 2014. – 115 с. [https://unecon.ru/sites/default/files/posobie\\_fr\\_i\\_fki.pdf](https://unecon.ru/sites/default/files/posobie_fr_i_fki.pdf)
2. И. Михайленко, А. Жилкина. Финансовые рынки и институты. Учебник. М: Юрайт: 2014 г.- 304 с. <https://urait.ru/book/finansovye-rynki-i-instituty-378101>
- 3 Қаржылық институттар қызметін басқару: Оқу құралы / Д.А. Тлеужанова, А:2010 -240 б.

- 4 Финансовые рынки и инвестиции: Учебное пособие /У.М.Искаков, Д.Т.Бохаев, Э.А.Рузиева, А 2008 – 296 б.
5. REPORT of the National Bank of the Republic of Kazakhstan for 2019 <https://www.nationalbank.kz/en/news/godovoy-otchet-nbk>
6. Financial Markets and Institutions: A European Perspective, Fourth Edition, Cambridge University Press <https://www.researchgate.net/publication/341164467>
7. Maureen Burton, Reynold Nesiba, Bruce Brown An-Introduction-to-Financial-Markets-and-Institutions – 2-nd ed. <https://www.routledge.com/An-Introduction-to-Financial-Markets-and-Institutions/Burton-Nesiba-Brown/p/book/9780765622761>

#### **List of additional literature.**

1. Валинурова, Л. С., Управление инвестиционной деятельностью: учебник для студентов вузов, М. : КНОРУС, 2005  
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Часть 1: Виды рынков. Инвестиции. Инвестиционный капитал. Регулирование.  
Часть 2: Профессиональная деятельность на рынке ценных бумаг. Интеграция фондового рынка Казахстана с международным фондовым рынком.
2. Г. Белоглазова, Л.Кроливецкая. Финансовые рынки и финансово-кредитные институты. СПб: 2012 г. – 384 с. <https://www.twirpx.com/file/1515458/>
3. Управление финансами: Учебно-практическое пособие/ И.Г.Кукукина М 2001 - 267 с.
4. Бағалы қағаздар нарығы: Оқу құралы / Д.А Тлеужанова., А:2009 – 123б
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8. Қаржы : Оқулық / С. Құлпыбаев, А:2007 – 668 б.
9. Рынок ценных бумаг в Казахстан. (учебно-практическое пособие) / А.А. Адамбекова. А: 2003
10. Финансы, денежное обращение и кредит: Учебник / Под ред. М.В. Романовского, М 2004
11. Саханова А.Н. Исингарина Ж.С. Проблемы и перспективы развития фондового рынка Казахстана А: 2003 г.

#### **Electronic resource**

1. Zhumakhanova, Sh. A. Investment activity of the insurance companies at the **stock market** [Текст] : секция: Актуальные экономические проблемы аграрного сектора Казахстана / Sh. A. Zhumakhanova // Сейфуллин оқулары-12: Ғылым жолындағы жастар - болашақтың инновациялық әлеуеті" атты Республикалық ғылыми-теориялық конференциясының материалдары = Материалы Республиканской научно-теоретической конференции "Сейфуллинские чтения - 12: "Молодежь в науке - инновационный потенциал будущего". - Астана : КазАТУ, 2016. - Т.1, ч.2. - Р364-365 <https://library.kazatu.kz/jirbis2/index.php/component/irbis/>
2. Евсюкова Т.В., Локтева С.И. Английский язык: учебник для экономических специальностей  
This chapter is an attempt to explain how the **stock market** works. In large measure it is written from the standpoint of the small buyer andseller of **stocks**./  
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5. Рубинштейн Е.Д. [Рынок ценных бумаг: начальный курс](#) / Учебное пособие для бакалавров направления «Экономика» всех форм обучения / Курск, 2020. <https://elibrary.ru/item.asp?id=42443915>
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Издательство: [Издательство Юрайт](#) <https://elibrary.ru/item.asp?id=41248239>
8. О.А. Землячева, К.А. Попандопуло Проблемы развития рынка ценных бумаг // Journal of Economy and Business, vol. 1-2 (59), 2020 <https://cyberleninka.ru/article/n/problemy-razvitiya-rynka-tsennyh-bumag-1>
9. И.А. Дикарева, А.А. Кучеренко, Рынок ценных бумаг как рынок услуг // Journal of Economy and Business, vol. 5-2 <https://cyberleninka.ru/article/n/rynok-tsennyh-bumag-kak-rynok-uslug-1>
10. М.В. Прянишникова кэн., доцент Развитие экономической категории организованный рынок ценных бумаг в условиях цифровой экономики, //International Journal of Humanities and Natural Sciences, vol.5, part 2, 2018 / <https://cyberleninka.ru/article/n/razvitie-ekonomicheskoy-kategorii-organizovanny-rynok-tsennyh-bumag-v-usloviyah-tsifrovoy-ekonomiki>
11. к.э.н., Ниязбекова Анализ вторичного рынка государственных ценных бумаг Республики Казахстан <https://cyberleninka.ru/article/n/analiz-vtorichnogo-rynka-gosudarstvennyh-tsennyh-bumag-respubliki-kazahstan>
12. <https://cyberleninka.ru/article/n/aktualnye-problemy-funktsionirovaniya-sistem-infrastruktury-rynka-tsennyh-bumag2>

#### Нормативная правовая база:

1. Послание Президента РК народу Казахстана «Казахстанский путь – 2050: единая цель, единые интересы, единое будущее» Астана, 17 января 2014 года
2. Послание Президента РК народу Казахстана "Нұрлы жол-путь в будущее" Астана, 11 ноября 2014 года
3. 100 конкретных шагов Президента РК по реализации 5 институциональных реформ 5 мая 2015 года
4. «Стратегия» Казахстан-2050» стратегический план развития Республики Казахстан до 2020 года утвержден Указом Президента Республики Казахстан от 1 февраля 2010 года №922
6. Государственная программа по форсированному индустриально-инновационному развитию Республики Казахстан утверждена Указом Президента Республики Казахстан от 19 марта 2010 года № 958
7. Закон Республики Казахстан» О рынке ценных бумаг " от 2 июля 2003 года № 461-ІІ. (изд. 02.01.2021)
8. Закон РК» О Национальном банке РК " от 30.03.1995 № 2155 (с изменениями и дополнениями по состоянию на 02.01.2021 г.)

9. Закон РК «О государственном регулировании, контроле и надзоре финансового рынка и финансовых организаций» (с изменениями и дополнениями по состоянию на 02.01.2021 г.)
10. Закон РК» О банках и банковской деятельности в РК " от 31.08.1995 №2444 (ред. 02.01.2021)
- 11.от 20.06.1997 № 136-1» о пенсионном обеспечении в Республике Казахстан " (ред. 02.01.2021)
12. Закон РК "Об инвестиционных фондах" от 07.07.2004 № 576; Закон РК «Об инвестиционных и венчурных фондах» (с изменениями и дополнениями по состоянию на 02.01.2021 г.)
13. Закон РК "Об инвестициях" от 08.01.2003 № 373-2
14. Закон РК от 26 ноября 2012 года № 56-V «О микрофинансовой деятельности» (с изменениями и дополнениями по состоянию на 02.01.2021г.)
15. Закон РК "О страховой деятельности" от 18.12.2000 № 126-2 (ред. 02.01.2021)

### **9. The policy of course:**

1. The organization of the educational process using distance learning technologies provides for conducting training courses in «online» and «offline» modes and is carried out in accordance with the established training load, educational programs, with a working curriculum and lesson schedule; Training sessions in "offline" mode provide for the process of educational interaction, in which the teacher and student communicate asynchronously, ie through their own AIS platform "PLATONUS", SDL "MOODLE", and their internal chat and forum communication services. Training sessions in "online" mode include the process of training interaction in real time: video conferencing (Zoom, Hangouts, etc.).

2. Students master the educational material of the disciplines (lectures, laboratory, practical, seminar and other types of classes) using the university's automated information systems (Platonus, moodle, Unihab automated written verification system) and online platforms, including Zoom, or using other publicly accessible platforms through the Internet, while being outside the university.

3. Before the start of the trimester, students should learn how to use distance learning technologies and when registering for an online lesson, fill out all sections: last name, first name, group, course, specialty, put their photo in profile. Students must create a workplace in advance (turn off extraneous sounds, do not allow unauthorized persons). Students must follow the dress code and look tidy.

4. Classes are held strictly on schedule, being late, skipping lessons, leaving online classes are not allowed. Class attendance is recorded and monitored daily. During classes, the sound can be turned off (on) by the organizer, if the teacher asks a question, you can answer by raising your hand using a special function on the computer. Questions that arise during classes can be asked in the chat.

5. Current control of students is carried out in accordance with the working curriculum of the discipline (syllabus) and grades are put in electronic journals in AIS Platonus via online resources in online mode in accordance with the QMS "Control of knowledge and conducting final examination " and instructions for filling out the electronic journal and student performance in AIS Platonus " which are placed in the EDMC "ARTA".

6. Responsibility for the timely completion of teachers' assignments in disciplines using DOT in online mode is held by students. If there is no possibility of DOT training, the student is obliged to inform his curator/adviser/head of the department/dean of the faculty through any means of communication.

7. Instructions for the use of DLT in NJSC “S.Seifullin KATU ” are placed in the “ Announcements ” section of AIS“ Platonus ” and SDL “Moodle ” as well as in the “ DLT ”section of the EDMC “Arta”.

Schedule of completion and submission of assignments for the discipline

Type of control	Academic period of study, week									
	1	2	3	4	5	6	7	8	9	10
Attendance	*	*	*	*	*	*	*	*	*	*
Lecture notes										*
Oral Interview	*	*	*	*	*	*	*	*	*	*
Test poll					*					*
abstract				*				*		
Essay										
Border testing							*			
Total										

\* *Note: the types of tasks and the frequency of monitoring are developed by the teacher depending on the specifics of the discipline being taught.*

## 10 ASSESSMENT OF KNOWLEDGE

### Evaluation criteria

The alphabetic system for assessing students' learning achievements, corresponding to a digital equivalent on a four-point system

Score by letter-	Digital equivalent	points	% content, Evaluation
A	4,0	95–100	excellent
A–	3,67	90–94	
B+	3,33	85–89	good
B	3,0	80–84	
B–	2,67	75–79	
C+	2,33	70–74	satisfactorily
C	2,0	65–69	
C–	1,67	60–64	
D+	1,33	55–59	
D	1,0	50–54	
F	0	0–49	unsatisfactory