

[Time: 3.00 Hrs]

[Marks: 60]

Please check whether you have got the right question paper.

Instructions :

- There will be Five Questions in all.
- Q1 would be compulsory and would carry 20 Marks
- In addition to Q1, there would be six questions. Each question would carry 10 Marks.
- Each of these Six Questions will have three sub – questions and each sub – question would carry 05 Marks
- Students have to attempt any four out of the remaining six Questions and within each question; students have to attempt any two out of three sub – questions.

Q.1 Read and attempt the following:**(A) Multiple choice question****10 Marks**

- What is the primary objective of financial regulation?
a) To promote economic growth b) To ensure financial stability c) To protect consumers
d) To generate revenue.
- Which of the following is a key responsibility of financial regulators?
a) To provide loans to businesses b) To supervise and regulate financial institutions c) To conduct research on financial markets d) To audit financial statements
- What is the term for the process of setting rules and standards for financial institutions?
a) Regulation b) Supervision c) Monitoring d) Auditing
- What is the primary role of the Reserve Bank of India (RBI)?
a) To regulate the stock market b) To regulate the banking sector c) To regulate the insurance sector d) To regulate the pension sector
- What is the term for RBI's monetary policy framework?
a) Inflation targeting b) Interest rate targeting c) Credit targeting d) GDP targeting
- What is the term for IRDA's regulatory framework for insurance companies?
a) Insurance norms b) Disclosure norms c) Corporate governance norms d) Accounting norms
- Which of the following is a function of RBI's monetary policy?
a) To set interest rates b) To regulate foreign exchange c) To supervise banks d) To issue currency
- What is the primary role of the Securities and Exchange Board of India (SEBI)?
a) To regulate the banking sector b) To regulate the insurance sector c) To regulate the stock market d) To regulate the commodity market

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- ix. What is the term for SEBI's regulatory framework for listed companies?
 - a) Listing norms b) Disclosure norms c) Corporate governance norms d) Accounting norms
- x. What is the primary role of the Insurance Regulatory and Development Authority (IRDA)?
 - a) To regulate the banking sector b) To regulate the insurance sector c) To regulate the stock market d) To regulate the pension sector

(B) State whether True or false.

10 Marks

- i. RBI is responsible for regulating non-banking financial companies (NBFCs).
- ii. SEBI regulates all types of commodity exchanges.
- iii. IRDA regulates only life insurance companies.
- iv. FEMA regulates foreign exchange transactions with neighbouring countries.
- v. Prevention of Money Laundry Act is enforced by RBI.
- vi. RBI regulates only scheduled commercial banks.
- vii. SEBI regulates all types of collective investment schemes.
- viii. IRDA regulates only general insurance companies.
- ix. FEMA regulates foreign exchange transactions with international organizations.
- x. Prevention of Money Laundry Act is enforced by SEBI.

Q.2 Attempt any Two of the following:

10 Marks

- i. Explain the important of Indian Financial System
- ii. Write a note on financial Regulation
- iii. Explain the Role of RBI in Global Financial Crises.

Q.3 Attempt any Two of the following:

10 Marks

- iv. What are the Powers and Functions of SEBI?
- v. Explain in detail Mutual Fund Regulation act 1996.
- vi. What is the condition of Public Issue?

Q.4 Attempt any Two of the following:

10 Marks

- i. Explain Current Account Transactions.
- ii. Discuss Competition Act, 2002 in detail?
- iii. Explain Capital Account Transactions.

Q.5 Attempt any Two of the following:

10 Marks

- i. What is the role of PMLA?
- ii. Write a note of KYC?
- iii. Distinguish Between ADR and GDR?

Q.6 Attempt any Two of the following:

10 Marks

- i. Write a note on External Commercial Borrowings?

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- ii. Explain the role of Foreign Direct Investment in shaping India economy?
- iii. What are the different Foreign Direct Regulations imposed by India?

Q.7 Attempt any Two of the following:

10 Marks

- i. What are the different disadvantages of Credit Rating Agencies?
- ii. What is the regulatory Framework of Credit Rating Agencies in India?
- iii. Does Credit Rating Agencies help in raising fund? Explain with suitable example?
