

AC
ITEM NO

As Per NEP 2020

Tolani College of Commerce (Autonomous)



Knowledge is Supreme

Title of the Course:
Financial Regulations
Programme: Bachelor of Commerce (Financial Markets)
Semester: IV

Syllabus for 4 Credit Course
From the academic year: 2024-2025

Name of the Course: Financial Regulations

Sr. No.	Heading	Particulars
1	Description of the course:	Financial regulation is a type of regulation or supervision that places limitations, rules, and guidelines on financial institutions with the goal of preserving the integrity and stability of the financial system. Governmental or non-governmental organisations may manage this. Because there are now more financial products available as a result of financial regulation, this has also had an impact on how banking sectors are structured. Hence knowing various financial regulatory bodies will enhance their knowledge.
2	Vertical:	Minor Elective
3	Type:	Theory
4	Credit:	4 Credits
5	Hours Allotted:	60 Hours
6	Marks Allotted:	100 Marks Continuous Evaluation: 40 Semester-End: 60
7	Learning Objectives <ul style="list-style-type: none"> • To understand the regulations and its framework involved in financial system. • To learn major regulatory framework with respect to SEBI. • To learn major regulatory framework with respect to Competition Commission of India. • To learn major regulatory framework with respect to FEMA. 	
8	Learning Outcomes Will enable learners to: <ul style="list-style-type: none"> • Understand the financial regulations framework and its significance in financial System. • Get clear understanding of the regulatory framework with respect to SEBI. • Get clear understanding of the regulatory framework with respect to Competition Commission of India. • FEMA in regulating the capital market. 	
9	Syllabus	
	Module.1. Introduction to Financial Regulations(15Hours)	

	<ul style="list-style-type: none"> • Need and significance of Indian financial system regulations • Structure of financial regulations in India • Global financial crisis– response of the Indian regulations. • Reserve Bank of India (RBI) • Functions of RBI -credit control measures, qualitative credit control and quantitative credit control. • Regulatory measures taken by RBI to facilitate financial inclusion
	<p>Module.2. Introduction to important SEBI Regulations pertaining to Capital Market (15 Hours)</p>
	<ul style="list-style-type: none"> • Issue of Capital and Disclosure Regulations (2009). • SEBI (Prohibition of Insider Trading) Regulations – 2015. • SEBI (Prohibition of Fraudulent and Unfair Trade Practices Related to Securities Market) Regulations – 2003. • SEBI Substantial Acquisition and Takeover Regulations – (2011). • Mutual Fund: SEBI (Mutual Funds) Regulations – 1996.
	<p>Module.3. Competition Commission of India (15 Hours)</p>
	<ul style="list-style-type: none"> • Concept of competition and development of Competition Law and policy • Competition Act, 2002 - Anti Competitive Agreements, abuse of dominant position, • Combination, regulation of combinations, • Competition Commission of India, • Appearance before commission and Appellate Tribunal, • Compliance of Competition Law.
	<p>Module.4. Foreign Exchange Management and Regulations(15 Hours)</p>
	<ul style="list-style-type: none"> • Objectives and definitions under FEMA, 1999, • Current account transactions and capital account transactions, • Establishment of branch, office etc. in India, • Realization and repatriation of foreign exchange, • authorized person, penalties and enforcement, • Foreign Contribution (Regulation)Act, 2010.
10.	<p>References</p> <ol style="list-style-type: none"> 1. Booklet on Securities Market: Securities Market– Understanding from Investor’s Perspective 2. Foreign Exchange Management Act (FEMA) For India: A Complete Guide 2021. 3. Introduction to Competition Law by Competition Commission of India. 4. Rahul Bajoria. The Story of the Reserve Bank of India published by Rupa Publisher. 5. Ruchi Prabhu. Financial Regulations published by Puffins Publishers Private Limited.2020.

11.	Internal Continuous Assessment: 40%	Semester End Examination: 60%
12	Continuous Evaluation through:	
	Sub-components	Maximum Marks
	1) 1 st Project/ Report work	10
	2) 2 nd Project/ Report work	10
	3) Case Study analyses in the classroom	10
	4) 10 Objective Questions (MCQ of 1 mark each)	10
	Total	40
	a) A learner must be present for each of the sub-components.	
13.	Format of question paper	
	Maximum Marks: 60	Duration: 2 Hour.
	All Questions are Compulsory Carrying 15 Marks each.	
	Question No	Particular
		Marks
	Q-1	(From Module I) a. Theory (08 Marks) b. Theory (07 Marks) OR c. Theory (08 Marks) d. Theory (07 Marks)
		15 Marks
	Q-2	(From Module II) a. Theory (08 Marks) b. Theory (07 Marks) OR c. Theory (08 Marks) d. Theory (07 Marks)
		15 Marks
	Q-3	(From Module III) a. Theory (08 Marks) b. Theory (07 Marks) OR c. Theory (08 Marks) d. Theory (07 Marks)
		15 Marks
	Q-4	(From Module IV) a. Theory (08 Marks) b. Theory (07 Marks) OR c. Theory (08 Marks) d. Theory (07 Marks)
		15 Marks

Signature/s of Team Member/s

Sr.No	Name	Signature
1.	Dr. Hema Mehta	