

Seat No. : _____

SD-119

September-2020

M.Com., Sem.-IV (HPP)

**CC-19 : Financial Regulation
(Financial and Financial Services)**

Time : 2 Hours]

[Max. Marks : 50

- Instructions :** (1) All Questions in **Section-I** carry equal marks.
(2) Attempt any **TWO** questions in **Section-I**.
(3) Question No. **5** in **Section-II** is **COMPULSORY**.

Section – I

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| 1. | (A) Explain different functions of SEBI. | 10 |
| | (B) Write a note on Investors Grievances Redressal. | 10 |
| 2. | (A) Discuss Securities Contracts Regulations, 2018. | 10 |
| | (B) Explain SEBI guidelines relating to Disclosure and Investors Protection. | 10 |
| 3. | (A) Discuss Roles of RBI. | 10 |
| | (B) Explain the Industrial Development Bank of India Act. | 10 |
| 4. | (A) Explain Insurance Regulatory and Development Authority of India. | 10 |
| | (B) Discuss the functions of National Housing Bank. | 10 |

Section – II

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| 5. | Select appropriate alternative from given choices. (any five) | 10 |
| | (1) SEBI stands for | |
| | (A) Securities and Exchange Bank of India | |
| | (B) Securities and Exchange Board for Investment | |
| | (C) Securities and Exchange Board of India | |
| | (D) None of These | |
| | (2) SEBI get its statutory powers on | |
| | (A) 1998 | (B) 1994 |
| | (C) 1992 | (D) 2000 |

- (3) SCORES stands for:
(A) SEBI Complaints Redress System
(B) Special Complaints Redress System
(C) Sources for Complaints Redress System
(D) None of These
- (4) SEBI has allowed celebs to endorse which products ?
(A) Bonus (B) Mutual funds
(C) Dividends (D) Insurance
- (5) Which of the following regulates Credit Rating agencies in India ?
(A) RBI (B) NSE
(C) SEBI (D) ICAI
- (6) Which of the following is not a credit rating agency ?
(A) CRISIL (B) ICRA
(C) NIKKEI (D) CARE
- (7) At present headquarters of RBI is located at _____
(A) Mumbai (B) Gujarat
(C) Madras (D) Kolkata
- (8) Who will act as the banker to the Government of India ?
(A) State Bank of India (B) NABARD
(C) Reserve Bank of India (D) Nationalised Banks
- (9) Industrial Development Bank of India (IDBI) established in
(A) 1964 (B) 1965
(C) 1966 (D) 1967
- (10) The IRDA stands for
(A) Insurance Regulatory and Development Activity.
(B) Insurance Reconstruction and Development Activity.
(C) Insurance Regulatory and Development Authority.
(D) Insurance Regulatory and Department Activity.
- (11) _____ is an apex financial institution for housing.
(A) RBI (B) SBI
(C) NHB (D) None of The Above
- (12) The Head Office of National Housing Bank is at:
(A) Kolkata (B) Bangalore
(C) New Delhi (D) Mumbai