

M.Com. HPP (FFS) Semester-4 Examination

CC-19

Financial Regulation

April-2023

Time : 2-30 Hours]

[Max. Marks : 70

Q1. Write a short note on SEBI. Explain in detail all the powers SEBI has to discipline the intermediaries.

14 MARKS

OR

Q1. What do you understand by Merchant Banking services? Write in brief some of the provisions under SEBI (Merchant Banker) Regulations, 1992.

14 MARKS

Q2. Write a short note on Mutual Funds and UTI. What are some of the guidelines given by SEBI regarding mutual funds.

14 MARKS

OR

Q2. What is credit rating? Give a brief profile of CRISIL, ICRA, and CARE.

14 MARKS

Q3. What are the main functions of the RBI? Give the names of few Acts governing Individual Institutions in Banking.

14 MARKS

OR

Q3. Write a note on RBI. Its Objective and role of RBI.

14 MARKS

Q4. Write a note on National Housing Bank, its functions and various initiatives.

14 MARKS

OR

Q4. Write a short note on SIDBI and IRDAI.

14 MARKS

Q5. Multiple Choice Questions (Attempt any 7 out of 12)

14 MARKS

1. What is the full form of NHB?
 - a) National Housing Bank
 - b) Nations Half Banks
 - c) Nationality Having Banks
 - d) None of the above
2. Which of the following is correct?
 - a) SIDBI Act, 1969
 - b) SIDBI Act, 1989
 - c) SIDBI Act, 1979
 - d) SIDBI Act, 1949

3. Export credit is provided by which of the following?
 - a) State bank of India
 - b) Exim Bank
 - c) RBI
 - d) None of the above
4. RBI was nationalised in which year?
 - a) 1992
 - b) 1957
 - c) 1949
 - d) 1970
5. What is the full form of IDBI?
 - a) International Development Bank
 - b) Indian Delhi Board of Industries
 - c) International Development Board of Insurance
 - d) Industrial Development Bank of India
6. Which of the following is the Apex bank of India?
 - a) SBI
 - b) RBI
 - c) IDBI
 - d) SIDBI
7. When was UTI set up in India?
 - a) 1950
 - b) 1955
 - c) 1977
 - d) 1963
8. Which of the following is not a credit rating agency in India?
 - a) CRISIL
 - b) Brickwork ratings
 - c) CARE
 - d) Radhe ratings
9. Mutual Fund schemes that are open for subscription only for a specified period and have a fixed corpus are called?
 - a) Closed ended schemes
 - b) Open ended schemes
 - c) Subscribe worthy schemes
 - d) Rounded schemes
10. What is the full form of SRO?
 - a) Self-Regulatory Organizations
 - b) Space Research Organizations
 - c) Self-Revival Organization
 - d) Self-Reducing Organization
11. Capital market is regulated by?
 - a) IRDAI
 - b) SBI
 - c) SEBI
 - d) IDBI
12. What is the full form of PFRDA?
 - a) Pension Fund Regulatory and Development Authority
 - b) Pension Function regulatory development Authority
 - c) Pension Fund Development Association
 - d) Pension Funds Relative Association