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1204E177

Candidate's Seat No : _____

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

CC-19

Financial Regulation

Time : 2-30 Hours]

April-2025

[Max. Marks : 70

Q.1 Write a note on Investors Grievances Redressal and explain what are Self-Regulatory Organizations (14)

OR

Q.1 Write a note on SEBI explaining what it does to regulate, promote and develop securities market. (14)

Q.2 Write a Short Note on SEBI (Issue and Listing of Debt Securities) Regulations, 2008. What is the Eligibility Criteria for Trustees. (14)

OR

Q.2 What are the Eligibility Criteria for Certificate of Registration under SEBI Guidelines on Mutual Funds and Unit Trust of India (UTI) (14)

Q.3 What are the Objectives of Reserve Bank of India. Write about the Organization Structure (14)

OR

Q.3 Write a Short Note on Industrial Development Bank of India (14)

Q.4 Explain the role of NHB in housing finance and list some of the initiatives undertaken by NHB. (14)

OR

Q.4 What is IRDAI? Explain its mission, duties, powers and functions. (14)

Q.5 Choose Appropriate alternative from the following. (Attempt any 7 out of 12) (14)

1. What shall be the Net Worth of an applicant seeking registration to act as a Trustee as per SEBI (Issue and Listing of Debt Securities) Regulations, 2008:

- a) 3 crores
- b) 2 crores
- c) 5 crores
- d) 1 crores

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2. With Reference to SEBI Guidelines on Disclosure and Investor Protection - Brokers, so appointed accepting applications and application monies, shall be considered as

- A. Collection Centres
- B. Collection Brokers
- C. Commission Centres
- D. Commission Brokers

3. Under SEBI Guidelines on Mutual Funds and Unit Trust of India (UTI), the sponsor has contributed or contributes _____ to the net worth of the asset management company

- A. at least 30%
- B. at most 30%
- C. at least 40%
- D. at most 40%

4. How many Deputy Governors shall RBI have:

- A. 2
- B. 5
- C. 4
- D. 3

5. The authorised capital of the Development Bank shall be:

- A. Two thousand crores
- B. Three thousand crores
- C. Four thousand crores
- D. Five thousand crores

6. Industrial Finance Corporation of India (IFCI) established under IFCI Act, 1948 was converted to Public Limited Company in:

- A. 1999
- B. 1991
- C. 2000
- D. 1993

7. Who is the current Chairman of SEBI?

- A. Tuhin Kanta Pandey
- B. Madhabi Puri Buch
- C. Ajay Tyagi
- D. Manoj Mittal

8. Securities market is **NOT** regulated by?

- A. SEBI
- B. Ministry of Finance
- C. Ministry of Corporate Affairs
- D. TRAI

9. SEBI came into existence in which year?

- A. 1988
- B. 1992
- C. 2002
- D. 1982

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10. Which of the following is correct?

- A. SIDBI Act, 1969
- B. SIDBI Act, 1989
- C. SIDBI Act, 1979
- D. SIDBI Act, 1949

11. Which of the following is **NOT** a funded lending programme of EXIM?

- A. Pre-shipment rupee credit
- B. bid bond
- C. Post-shipment rupee credit
- D. Foreign currency loan

12. The Head Office of National Housing Bank is at:

- A. Kolkata
- B. Bangalore
- C. New Delhi
- D. Mumbai
