

**M.Com (HPP) (FFS) Sem-4 Examination
CC 19**

Financial Regulation

April 2022

[Max. Marks : 50

Time : 2-00 Hours]

Instructions: All Questions in **Section I** carry equal marks.
Attempt any **TWO** questions in **Section I**.

Section I

- Q.1(a) Give a detailed note on SEBI Act, 1992 including its powers, Regulations and functions. (10)
- Q.1(b) Highlight the important regulations made by SEBI related to foreign portfolio Investors. (10)
- Q.2(a) Explain the SEBI (Credit Rating Agencies) Regulations, 1999. Also show the new changes has made in recent years. (10)
- Q.2(b) Write a note on SEBI guidelines relating to Mutual fund and Unit Trust of India. (10)
- Q.3(a) Explain RBI Act, 1934 in detail. (10)
- Q.3(b) Show some important regulations made by DICGC in accordance with The Bank Deposit Insurance Corporation Act. (10)
- Q.4(a) What are the significant help and regulations made by NABARD? Give detailed note on the same. (10)
- Q.4(b) "The SIDBI has done commendable work for development of small Industries as a subsidiary of IDBI." – Explain the statement at length. (10)

Section II

Q.5 Multiple Choice Questions (MCQs) (10)

- (1) When was SEBI constituted as a non-statutory body?
- (a) March, 1982 (b) July, 1992
(c) April, 1988 (d) December, 1974
- (2) Which of the following is a pre-issue activity?
- (a) Appointment of intermediaries (b) Basic allotment
(c) Coordination with intermediaries (d) Redressal of Investor grievance

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- (3) Which of the following is/are the powers of SEBI?
- (a) Ask any intermediary for information
 - (b) Inspect books of depository participants
 - (c) Suspend or cancel the registration of a merchant banker
 - (d) All of the above
- (4) Which amongst the following act is working to regulate the issue of bank notes, credit system and monetary stability as well powers to RBI to issue directions to the banking and financial sector under RBI act, 1934?
- (a) Banks books evidence act
 - (b) Banking secrecy act
 - (c) Banking regulation act
 - (d) Umbrella act
- (5) The IDBI Act was established in which year?
- (a) 1949
 - (b) 1956
 - (c) 1964
 - (d) 1977
- (6) Which of the following kind of loan is not provided by NABARD as direct credit?
- (a) Loans to state Government
 - (b) Loans to hi-tech agriculture projects
 - (c) Loans to farmers in the economical backward areas
 - (d) Loans to NGOs and self help group
- (7) _____ is empowered to receive and consider written complaints in respect of insurance contracts on personal lines where the insured amount is less than Rs.20 lakh.
- (a) RBI
 - (b) IRDA
 - (c) Judicial commission
 - (d) Insurance Ombudsman
- (8) The Export-Import bank of India is owned by _____.
- (a) RBI
 - (b) Government of India
 - (c) World Bank
 - (d) None of the above
- (9) Which is the first housing –price index in India to fill price –inflation gap and streamline the property-development process in major cities?
- (a) Housing finance index
 - (b) Housing price index
 - (c) Residential price Index
 - (d) Residential property index
- (10) NHB is apex-level _____ institution for the housing sector.
- (a) Financial
 - (b) political
 - (b) Family
 - (d) artificial
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