



Dr. V. N. Bedekar Institute of Management, Thane
Teaching Plan (MMS/PGDM)
Academic Year (2018-2019)

Programme Name: MMS

Semester: III

Name of the subject: Financial Regulations

Maximum marks: 100

No. of Sessions: 14

Name of the Faculty: Dr Gauri Heble

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Weblink:

Learning Objectives:

1. To understand the regulations and its framework involved in financial system.
- 2 . To learn major intricacies of financial regulations

Reference Books:

1. Siddhartha Shankar Shah , Indian Financial System and Markets.
2. Shashi K. Gupta and Nisha Aggarwal , Financial Services.
3. Guruswamy , Merchant Banking and Financial Services
4. Ramamurthy, RBI Act .
5. Ritika Garg and Bharat Agarwal ,Guide to Prevention of Money Laundering Act with Rules and Notifications.
6. SEBI Manual, Taxmann.
7. Manual Khilnani , FEMA.

DR VN BRIMS/REC/ACA/05



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Plan:

Session No	Topics to be covered	Books referred/ Recommended/ References- Print/Articles/ News/Research papers/ Online database/ Software /Simulations used	Learning outcomes	Evaluation of Students understanding by MCQs, Quiz, Short Test
1	Introduction to Financial Regulations Need and significance of Indian financial system regulations, structure of financial regulations in India, global financial crisis – response of the Indian regulations.	Siddhartha Shankar Shah , Indian Financial System and Markets, Prakash Apte: International Finance	To understand and significance of Indian financial system regulations	Quiz
2	Functions of RBI, credit control measures, qualitative credit control and quantitative credit control,	Ramamurthy, RBI Act Various Publications of RBI, RBI website	To understand the working of the RBI	Quiz
3	Various steps and regulatory measures taken by RBI to facilitate financial inclusion.	Ramamurthy, RBI Act Various Publications of RBI, RBI website	To understand the process of Financial Inclusion	Presentations
4	Securities and Exchange Board of India (SEBI): Introduction to SEBI Act	Shashi K. Gupta and Nisha Aggarwal , Financial Services	To understand the SEBI Act	MCQs



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	(1992), powers and functions of SEBI.	SEBI Manual, Taxmann Various Publications of SEBI, SEBI website	and functions	
5	Functions of SEBI pertaining to: 1. Issue of Capital and Disclosure Regulations (2009) and Prohibition of Insider Trading Regulations – 2015	Shashi K. Gupta and Nisha Aggarwal , Financial Services SEBI Manual, Taxmann Various Publications of SEBI, SEBI website	To understand the SEBI functions	MCQs
6	Functions of SEBI pertaining to: 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.	Shashi K. Gupta and Nisha Aggarwal , Financial Services SEBI Manual, Taxmann Various Publications of SEBI, SEBI website	To understand the SEBI functions	MCQs
7	Insurance Regulatory and Development Authority (IRDA) IRDA Act, Salient features of the IRDA Act, 1999, IRDA (protection of policy holder interests) Regulations 2002, its duties, power and functions of authority.	Shashi K. Gupta and Nisha Aggarwal , Financial Services. Guruswamy , Merchant Banking and Financial Services Madura , Financial Institutions & Markets.	To understand the process of Insurance and IRDA functions and powers	Test
8	Competition Commission of India Concept of competition, development of Competition Law, Competition Policy - Competition Act, 2002 - Anti Competitive	Shashi K. Gupta and Nisha Aggarwal , Financial Services. Guruswamy , Merchant Banking and Financial Services Madura , Financial Institutions & Markets.	To understand the regulatory framework of CCI	Test



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	Agreements, compliance of Competition Law.			
9	Foreign Exchange Management and Regulations Objectives and definitions under FEMA, 1999, current account transactions and capital account transactions,	Shashi K. Gupta and Nisha Aggarwal , Financial Services. Guruswamy , Merchant Banking and Financial Services Manual Khilnani , FEMA	To understand the significance of FEMA and foreign trade policy regulations framework	Quiz
10	Foreign Exchange Management and Regulations: Establishment of branch, office in India, realization and repatriation of foreign exchange, authorized person, penalties and enforcement, foreign contribution (Regulation) Act, 2010.	Shashi K. Gupta and Nisha Aggarwal , Financial Services. Guruswamy , Merchant Banking and Financial Services Manual Khilnani , FEMA	To understand the significance of FEMA and foreign trade policy regulations framework	Quiz
11	Prevention of Money Laundering Act, 2002, concept and definitions, various transactions, etc., obligations of banks and financial institution, KYC.	Ritika Garg and Bharat Agarwal , Guide to Prevention of Money Laundering Act with Rules and Notifications. Various Publications of RBI, RBI website	To understand money laundering concept and its regulation	Presentation
12	Regulatory framework for International Funds: Regulations framework for raising fund through: Global Depository Receipts (GDRs) and American Depository Receipts (ADRs), External Commercial Borrowings.	International Business, Hill and Jain International Finance, Prakash Apte	To understand regulatory framework for international funds and commodity markets	Quiz
13	Foreign Direct Investment Regulations: Foreign Direct Investment (FDI) Policy. SEBI (Foreign Portfolio Investors)	International Business, Hill and Jain International Finance, Prakash Apte	To understand regulatory framework for international	Quiz



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	Regulations -2014, SEBI (Alternate Investment Fund) Regulations 2012.	Shashi K. Gupta and Nisha Aggarwal , Financial Services, SEBI Manual, Taxmann Various Publications of SEBI, SEBI website	funds and commodity markets	
14	Regulatory framework related to Credit Rating Agencies: SEBI (Credit Rating Agencies Regulations) – 1999.	Shashi K. Gupta and Nisha Aggarwal , Financial Services SEBI Manual, Taxmann Various Publications of SEBI, SEBI website	To understand the significance of regulating the credit rating agencies	MCQs
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2. Practical Approach : Other activities (Atleast 4 distinct activities)

Sr. No.	Activity Name	Topic Coverd	Learning outcomes	Source
1	Role Play			
2	Industry Visit			
3	Academic Projects	Prevention of Money Laundering	To understand money laundering concept	Various Books on the Subject
4	Book Review			



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5	Group Discussion			
6	Business Quiz / Business News sharing	Regulatory framework related to Credit Rating Agencies	To understand the significance of the credit rating agencies	Various Business newspapers and channel clippings
7	Videos / Simulation	Functions of RBI, credit control measures, qualitative credit control and quantitative credit control	To understand the working of the RBI	RBI website
8	Use of Softwares and Labs	Various steps and regulatory measures taken by RBI to facilitate financial inclusion.	To understand the process of Financial Inclusion	Various Websites
9	Any other activity: Important News of the week Activity done every week	Overall Syllabus	To gain knowledge into Current Affairs related to the subject	Various Newspaper Clippings



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Evaluation:

I) Internal:

Component	Details	Marks
Class Test	Overall Syllabus	20 marks
Presentation	Any one case on topic of choice within syllabus	10 marks (5*2)
Case Study		
Participation		
Others: Written Assignment	Any one case on topic of choice within syllabus	10 marks (5*2)

Signature of Faculty

Signature of the Co-ordinator