



Dr. V. N. Bedekar Institute of Management, Thane
Teaching Plan (MMS)
Academic Year (2019-2020)

Programme: MMS Semester: III Period: July'19 – October'19
Course Code: MMS-3-F-E05
Name of the subject: Financial Regulations
Maximum marks: 100 (60+40) No. of Sessions: 13/14 (3 hrs each)

Name of the Faculty: Dr Gauri Heble
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Program Outcomes (PO)	Course Outcomes (CO)
1. Demonstrate decision-making ability. 2. Ability to develop culture of technology-usage. 3. Inculcate social sensitivity among students. 4. Integrate and apply business knowledge and management techniques for problem-solving / analytical skills.	1. Analyse the regulations and its framework involved in financial system. 2. Evaluate 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.**

A. Plan:

Sessio n No.	Pl. Date	Topic	Ref. Study Material	Course Outcomes
1	01.07	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 analyse the significance of Indian financial system regulations
2	08.07	Functions of RBI, credit control measures, qualitative credit control and quantitative credit control	Ramamurthy, RBI Act, Various Publications of	To understand the working of the RBI



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			RBI, RBI website	
3	15.07	Various steps and regulatory measures taken by RBI to facilitate financial inclusion.	Ramamurthy, RBI Act Various Publications of RBI, RBI website	To analyse the process of Financial Inclusion
4	22.07	Securities and Exchange Board of India (SEBI): Introduction to SEBI Act (1992), powers and functions of SEBI.	Shashi K. Gupta and Nisha Aggarwal , Financial Services SEBI Manual, Taxmann Various Publications of SEBI, SEBI website	To understand the SEBI Act and functions
5	29.07	Functions of SEBI pertaining to: 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 identify with the SEBI functions and analyse impact on companies.
6	05.08	Internal Test & Lecture		
		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,	To understand the SEBI functions



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			Taxmann Various Publications of SEBI, SEBI website	
7	12.08	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 analyse the process of Insurance and IRDA functions and powers
8	19.08	Competition Commission of India Concept of competition, development of Competition Law, Competition Policy - Competition Act, 2002 - Anti Competitive Agreements, compliance of Competition Law.	Shashi K. Gupta and Nisha Aggarwal , Financial Services. Guruswamy , Merchant Banking and Financial Services Madura , Financial Institutions & Markets.	To analyse the regulatory framework of CCI
9	26.08	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
10	02.09	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 scrutinize the significance of FEMA and foreign trade policy regulations framework
11	09.09	Prevention of Money Laundering Act, 2002, concept and definitions, various transactions, etc., obligations	Ritika Garg and Bharat Agarwal ,Guide to	To analyse and evaluate money laundering concept and its



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		of banks and financial institution, KYC.	Prevention of Money Laundering Act with Rules and Notifications. Various Publications of RBI, RBI website	regulation
12	16.09	Internal Test & Lecture		
		Regulatory framework for International Funds: Regulations framework for rising fund through: Global Depository Receipts (GDRs) and American Depository Receipts (ADRs), External Commercial Borrowings.	International Business, Hill and Jain International Finance, Prakash Apte	To examine regulatory framework for international funds and commodity markets
13	23.09	Foreign Direct Investment Regulations: Foreign Direct Investment (FDI) Policy. SEBI (Foreign Portfolio Investors) Regulations -2014, SEBI (Alternate Investment Fund) Regulations 2012.	International Business, Hill and Jain International Finance, Prakash Apte Shashi K. Gupta and Nisha Aggarwal , Financial Services, SEBI Manual, Taxmann Various Publications of SEBI, SEBI website	To understand regulatory framework for international funds and commodity markets
14	30.09	Regulatory framework related to Credit Rating Agencies: SEBI (Credit Rating Agencies Regulations) – 1999.	Shashi K. Gupta and Nisha Aggarwal ,	To analyse the significance of credit rating agencies and examine their regulations.



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			Financial Services SEBI Manual, Taxmann Various Publications of SEBI, SEBI website	
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B. Practical Approach: Other activities

Sr. No.	Activity Name	Topic Covered	Learning outcomes	Source
1	Case study (Current Affairs)	Global financial crisis – response of the Indian regulations. (Case Study on: 1. Financial Crisis in Venezuela 2. Global Investment Glut	To understand the triggers of Financial Crises and the Indian Response	Select Research papers on the subjects.
2	Academic Projects	Prevention of Money Laundering	To understand the concept of money Laundering .	Various Books on the Subject
3	Group Discussion	NBFCs as financial intermediaries	To analyse the working of the financial system with NBFCs as a significant contributor to growth	Study of select Research Papers
4	Role Play			
5	Industry Visit			
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	1. Functions of RBI, credit control measures,	To understand the	RBI and IRDA website



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		qualitative credit control and quantitative credit control 2. Insurance, Meaning, Functions and Powers of IRDA	working of the RBI and IRDA	
8	Use of Software 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

C. Innovative pedagogy adopted:

1. Brainstorming sessions on the topic taught in the class with students at the end of the lecture.
2. Weekly discussions on Current Affairs and Newspaper Activity.
3. Regular Library Assignments to encourage reading on the subject.
4. Use of Video Tools to supplement Teaching.

Prepared by:
Faculty

Reviewed by:
Specialisation

Approved by:
ADC

Date:

Date:

Date:

A. Execution:

<u>Session No.</u>	<u>Actual Date</u>	<u>Topic Covered</u>	<u>Attendance %</u>	<u>Evaluation Method</u>	<u>Case Study Ref.</u>	<u>Quiz Ref.</u>	<u>CR Sign</u>
1							
2							
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B. Evaluation:

Component	Details	Marks
Presentations & Viva	Mandatory	5+5
Class Test (3 for MMS)	Mandatory (MCQ, Descriptive, Etc)	20
Assignments / Others	Mandatory	5
Participation/Attendance	Mandatory	5
Final Exam	Mandatory	60

C. Student Performance Analysis:

<u>Avg. Attendance</u>	<u>Avg. Internal Marks</u>	<u>% Failed in Internals</u>	<u>Avg. Final Marks</u>	<u>% Failed in Final</u>	<u>No. of best students > 80%</u>	<u>No. of students needs improvement</u>

D. Attainment:

	CO1	CO2	CO3		
PO1					
PO2					
PO3					

Comments / Suggestions / Recommendations:

Suggestions (if any) to students on subject related Certificate/Diploma or Add-on program: -

--NSE Certified Capital Market Professional

Signature of Faculty

Signature of the Co-ordinator / ADC