



Dr. V. N. Bedekar Institute of Management Studies, Thane
Teaching Learning Plan - MMS
Academic Year: 2020-2021

Programme: MMS Semester : III (F) Specialisation: Period: July 2020 to Nov.. 2020
Course Code: MMS
Name of the subject: Financial Regulations
Maximum marks: 100 (60+40) No. of Sessions:14
Name of the Faculty: Dr.M.Sreedharan
Mobile No: Email: smenon@vpmthane.org

Program Outcomes (PO)	Course Outcomes (CO)
<ol style="list-style-type: none">1. To understand the regulations and its framework involved in financial system.2. To learn major intricacies of financial regulations	<ol style="list-style-type: none">1. Learning the concepts and regulations and its framework in the financial system2.To obtain Clarity and understanding the framework of various financial regulatory and statutory bodies.3.Understanding the issues relating to money laundering, international funding and influence of credit rating agencies against the backdrop of regulatory issues

Text Books

Siddhartha Shankar Shah , Indian Financial System and Markets.
Shashi K. Gupta and Nisha Aggarwal , Financial Services.
Guruswamy , Merchant Banking and Financial Services.

Reference Books

1.	Madura , Financial Institutions & Markets.
2.	Seth, P.R Kulkarni, Justice A.B , Banking Regulation Act (Commentary).
3.	Guide to FEMA with Ready Reckoner and RBI Circulars .
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.
8.	Taxmann , NBFC .
9.	Dr Anil Kumar , Corporate Laws .



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A. Plan:

Session No.	Planned Date	Topic	Ref. Study Material	Course Outcomes
1	6-8-2020	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	1 and 2
2	13-8-2020	Functions of RBI, credit control measures, qualitative credit control and quantitative credit control	Ramamurthy, RBI Act Various Publications of RBI, RBI website	1 and 2
3	20-8-2020	Various steps and regulatory measures taken by RBI to facilitate financial inclusion.	Ramamurthy, RBI Act Various Publications of RBI, RBI website	2 and 3
4	27-8-2020	Internal Test –		2 and 3
5	3-9-2020	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	1, 2 and 3
6	10-9-2020	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	1,2,3



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7	17-9-2020	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	1,2 and 3
8	24-9-2020	Internal Test-		1, 2 and 3
9	1-10-2020	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.	1, 2 and 3
10	8-10-2020	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.	2,3
11	15-10-2020	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	2,3
12	22-10-2020	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	2,3



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13	29-10-2020	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	2, 3
14	5-11-2020	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	2,3
15	12-11-2020	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	2,3
16	19-11-2020	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	2,3



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B. Practical Approach: Other activities

Sr. No.	Activity Name	Topic Covered	Learning Outcomes	Source
1	Case study		www.youtube.com	Youtube
2	Academic Projects			Topics identified for class presentation
3	Group Discussion			
4	Role Play			
5	Industry Visit			
6	Business Quiz / Business News sharing			Reference to websites
7	Videos / Simulation			Videos shown and mailed about class topics
8	Use of Software and Labs			
9	Any other activity			

C. Innovative Pedagogy adopted:

Hands on development of various templates for value chain analysis discussed in the class

**Prepared by: Dr.M.Sreedharan
Faculty**

Date:

**Approved by:
Specialisation Head**

Date:



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A. Execution:

Session No.	Actual Date	Topic Covered	Evaluation Method	Case Study Ref.	Quiz Ref.	CR Sign

B. Evaluation:

Component	Details	Marks
Presentations	Mandatory	10
Class Tests	Mandatory (MCQ, Descriptive, etc)	20
Attendance & Active Participation	Mandatory	5
Overall Conduct	Mandatory	5
Final Exam	Mandatory	60

Comments / Suggestions / Recommendations:

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

Signature of Faculty

Signature of Co-ordinator