

Exam. Code : 303701

Subject Code : 6906

P.G. Diploma in Financial Services (Banking & Insurance) 1st Semester

FINANCIAL SECTOR REGULATIONS—I

Paper—PGDFS-103

Time Allowed—3 Hours]

[Maximum Marks—50

Note :— Candidates are to attempt **FIVE** questions, **ONE** from each Section. **Fifth** question may be attempted from any Section. All questions carry equal marks.

SECTION—A

1. Explain how does Securities Contract (Regulation) Act, 1956, governs the functioning of Stock Exchanges.
2. Highlight the important provisions under BSCC Act.

SECTION—B

3. Discuss the powers and functions of SEBI.
4. What are the guidelines issued by SEBI regarding investor protection with reference to post-issue regulations ?

SECTION—C

5. Enumerate the enquiry, inspection and penalties under the Depositories Act, 1996.

6. Describe in detail regulatory framework covering prudential norms for NBFCs.

SECTION—D

7. Bring out the differences between FERA and FEMA. Also explain the objectives of FEMA.
8. Discuss the provisions of Government Securities Act.