


Name:	
Enrolment No:	

UNIVERSITY OF PETROLEUM AND ENERGY STUDIES
Online End Semester Examination, May 2021

Course: Risk Management & Compliances
Program: B. Tech. CSE + BFSI (2017-21)
Code: CSBI4004

Semester: VIII
Time 03 hrs. Course
Max. Marks: 100

SECTION A

- 1. Each Question will carry 5 Marks**
- 2. Instruction: Complete the statement / Select the correct answer(s) / Fill the Blank(s)**

S. No.	Question	CO
Q 1	Write five major Risk Management Strategies are: (a) -----, (b) -----, (c) -----, (d) -----, (e) -----.	CO1
Q2	Every bank need to have a clear credit policy, drawn up by board of management. Mention the main five Policy Dimension functions are: (a) -----, (b) -----, (c) -----, (d) -----, (e) -----.	CO1
Q3	State four major fundamental characteristics of HQLA (High Quality Liquid assets): (a) -----, (b) -----, (c) -----, (d) -----.	CO2
Q4	Essential elements of Validation & Verification are: (a) -----, (b) -----, (c) -----, (d) -----, (e) -----.	CO2
Q5	There are several kinds of Product Risks which Insurance business faces. Five major product risks are: (a) -----, (b) -----, (c) -----, (d) -----, (e) -----.	CO3
Q6	Mention basic five characteristics of an Audit: (a) -----, (b) -----, (c) -----, (d) -----, (e) -----.	CO3

SECTION B

- 1. Each question will carry 10 marks**
- 2. Instruction: Write short / brief notes. Bullet point's answer appreciated. Max 200 Words limit**

S. No.	Question	CO
Q 7	Define Risk & mention important features of Risk. What are the two methods to handle risk? (2+6+2 Marks)	CO1
Q 8	Discuss different types of risk possible in Banking Industry. (2x5 Marks)	CO1

Q 9	Mention the risks in Insurance industry.	CO2
Q 10	“Audit is health check-up of any business”, Define types of Audit & mention principles of Audit.	CO2
Q 11	Analyze Operational Risk. What are the three approaches prescribed in Basel-III to handle operational risk? Or Analyze Market Risk and discuss two standards prescribed by Basel-III to handle market risk.	CO3
Section C		
1. Total Question carries 20 Marks. Each part carry 5 Marks 2. Instruction: Write Detail answer.		
Q12	Elaborate your final understanding about the whole Risk Management in terms of: (a) As a Software Professional having in-depth knowledge about Risk Management in BFSI domain, what additional opportunities, you can avail in your professional carrier as Risk Management expert? (b) In future, what new digital transformation, you visualize, and due to that, what new challenges & opportunities are associated with new horizon of Risk Management in BFSI domain? (c) In Risk Management domain, how regulators play important role to save & safe industry & customers in three pillars of economy? (d) “Due to globalization and internet, whole world become a single village, we can’t protect our BFSI institution by isolation, so we need Global standards & compliances”. Mention some steps taken by our government in this direction to survive and sustain in global competition.	CO3