

Name:	
Enrolment No:	

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

**Course: Financial Market Regulation**

**Course Code: CLBN3001**

**Programme: B.B.A.LL.B**

**Time: 03 hrs.**

**Semester: VI**

**Max. Marks: 100**

**SECTION A**

**1. Each Question will carry 5 Marks**

**2. Instruction: Fill in the blanks**

S. No.	Question	Marks	CO
1	Insurance sector is governed by which regulations and regulatory body.	5	CO2
2	What is an IPO – Initial Public offer ?	5	CO1
3	What are debentures & name the various types of Debentures which are used for sources of funding?	5	CO1
4.	Explain the importance of NBFC sector in India.	5	CO1
5	Write a short note of FOREX markets and name the laws governing it.	5	CO4
6	Discuss five key features of Indian mutual funds industry.	5	CO1

**SECTION B**

**1. Each question will carry 10 marks**

**2. Instruction: Write short / brief notes**

7	Write a note on various digital payment modes. Also names the RBI subsidiaries in this context.	5+5	CO2
8	Credit ratings and consumer financing are inter-related. Explain how?	10	CO3
9	How PMLA 2002 and KYC have regulated the Indian financial markets successfully since last two decades?	10	CO3
10	a) Write a note on Venture capital funding.	5+5	CO2

	b) What is the difference between equity shares and preference shares?		
11	Discuss how SEBI Act governs the Indian Capital Markets – both primary and secondary markets.	<b>10</b>	<b>CO3</b>
	<b>Section C</b> <b>1. Each Question carries 20 Marks.</b> <b>2. Instruction: Write long answer.</b>		
12.	What are three most important regulations which govern Indian Banking system? Also in light of these laws explain the structure of Indian Banking.	<b>20</b>	<b>CO4</b>