

Elective Course 5: Financial Regulations

Course Type:	PS: Program Specialisation	Course Credits:	2
Course Code:	F3PE513	Course Duration:	30 Hours

Course Objective:

- To understand the regulations and its framework involved in financial system.
- To learn major intricacies of financial regulations.

Course Outcomes:

- CO1: Explain the structure and role of financial regulations in India and globally.
- CO2: Analyze the functions and regulatory mechanisms of key statutory bodies like RBI, SEBI, IRDA, and CCI.
- CO3: Evaluate various SEBI regulations pertaining to capital markets and credit rating agencies.
- CO4: Evaluate various SEBI regulations pertaining to capital markets and credit rating agencies.
- CO5: Interpret anti-money laundering laws, KYC norms, and understand the ethical implications in the regulatory space.

Unit / Module	Content	CO Mapping	Hours Assigned
1	Introduction to Financial Regulations – Need, significance, structure in India, impact of global financial crisis	CO1, CO2	4
2	Reserve Bank of India (RBI) – Functions, credit control tools, financial inclusion SEBI – Overview of SEBI Act 1992, powers & functions	CO1, CO2, CO5	4
3	SEBI Capital Market Regulations – ICDR 2009, Insider Trading 2015, UTP 2003, Takeover Code 2011, Mutual Fund Reg. 1996	CO2, CO3,	4

4	IRDA & Insurance Sector Regulations – IRDA Act 1999, Policyholder regulations 2002 CCI & Competition Law – Anti-competitive agreements, abuse of dominance	CO2, CO3, CO5	3
5	FEMA and Foreign Exchange Regulations – Current/capital transactions, repatriation, FCRA 2010	CO1, CO4	4
6	Prevention of Money Laundering Act (PMLA) – Concepts, types of transactions, compliance by banks, KYC	CO4, CO5	4
7	International Funds Regulation – GDRs, ADRs, ECBs, FDI Policy, SEBI FPI Regulations 2014, AIF Reg. 2012	CO3, CO4, CO5	3
8	Credit Rating Agencies Regulation – SEBI (CRA) Regulations 1999, Role & significance of CRA in capital markets	CO3, CO5	4

Textbooks:

1. Financial Institutions and Markets, L.M. Bhole & Jitendra Mahakud, McGraw Hill Education
2. Indian Financial System, Bharati V. Pathak, Pearson Education

Reference Books

1. Financial Market Operations, S. Gurusamy, Tata McGraw Hill
2. Law and Practice of Banking, G.S. Gill, Macmillan India
3. The Indian Financial System: Markets, Institutions and Services, E. Gordon & K. Natarajan, Himalaya Publishing House