COURSE TITLE	**FINANCIAL MARKET REGULATION**
COURSE CODE	**10BL0902**
COURSE CREDITS	**4**

Objective:

1 To understand the working of financial institutions in India
2 To introduce various laws, rules, and regulations governing the financial market in India.
3 To imbibe basic concepts which enable financial decision-making by corporate entities
4 To provide a detailed understanding of various finance-related laws in India
5 To understand the working of financial institutions in India. •
6 To introduce various laws, rules, and regulations governing the financial market in India
7 To imbibe basic concepts which enable financial decision-making by corporate entities.
8 To provide a detailed understanding of various finance-related laws in India.

Course Outcomes: After completion of this course, student will be able to:

1 Know the basics of the financial market in India
2 Understand different aspects of the financial market such as capital market, money market, commodity market, etc.
3 Know various reforms in Indian Financial Market.
4 Examine the regulatory framework of the Indian Financial Market.
5 5Analyze laws applicable to the financial market.
6 Understand regulations governing the working of Non-banking Financial Companies (NBFC).

Pre-requisite of course:N/A

Teaching and Examination Scheme

Theory Hours	Tutorial Hours	Practical Hours	ESE	IA	CSE	Viva	Term Work
3	1	0	50	30	20	0	0

Contents : Unit	Topics	Contact Hours
1	**Introduction to Indian Financial Market** What is a financial market? , Basic functions of financial markets., Types of financial markets., Major players in financial markets. , Role and functions of the financial market., International scope of financial markets.	7
2	**Types of Financial Markets** Capital Market, Money Market , Commodity Market, Forward Market, Derivative market	7

DR. NONGTHOMBAM BANGKIM SINGH
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Contents : Unit	Topics	Contact Hours
3	**Financial Sector Reforms in India** Financial Sector Legislative Reforms Commission (FSLRC), FSLRC Report – Volume I & II, Draft Indian Financial Code, 2013 , Adoption of governance enhancing and non-legislative elements of the draft Indian Financial Code	7
4	**Legal and Regulatory framework** Regulatory Framework, Laws applicable to the financial market. , Companies Act, 2013, Negotiable Instruments Act, 1881, Reserve Bank of India Act, 1934., Securities Contracts (Regulation) Act, 1956, Securities and Exchange Board of India Act, 1992, SARFAESI Act, 2002 , FEMA, 1999 , Prevention of Money-Laundering Act, 2002, Foreign Contribution (Regulation) Act (FCRA), 2010, Overview of SEBI ICDR and LODR, Payment and Settlement Systems Act, 2007.	8
5	**Overview of Insider Trading** Introduction and meaning of Insider Trading , Provisions relating to Insider Trading in Companies Act, 2013 , SEBI (Prohibition of Insider Trading) Regulations, 2015 [Last amended on August 05, 2021], Communication or Procurement of UPSI , Trading When in Possession of UPSI Trading Plans , Disclosures of Trading by Insiders , Disclosures of Interest by Certain Persons , Codes of Fair Disclosure and Conduct , Penalty Provisions for violations of the Regulations , Appeal to Securities Appellate Tribunal , Role of Company Secretary in Compliance Requirements	8
6	**NBFC(s), Insurance and Financial Planning** NBFC(s), Insurance , Financial Planning , State financial corporation, Chit Funds and RNBC	8
Total Hours		**45**

Suggested List of Experiments:

Contents : Unit	Topics	Contact Hours
1	**Issues related to financial market regulations** Contemporary Issues related to financial market regulations	15
Total Hours		**15**

Textbook :

1 ICSI, Study Material Executive Programme Capital Markets, and Securities Laws. , ICSI, Study Material , ICSI, Study Material , 2020

References:

1 ICSI, Study Material Executive Programme Capital Markets, and Securities Laws, ICSI, Study Material Executive Programme Capital Markets, and Securities Laws, Institute of Company Secretaries of India, Ministry of Corporate Affairs, Government of India , 2019

DR. NONGTHOMBAM BANGKIM SINGH
Digitally signed by (Name of HOD)

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Digitally signed by (Name of Dean/ Principal)

Suggested Theory Distribution:

The suggested theory distribution as per Bloom's taxonomy is as follows. This distribution serves as guidelines for teachers and students to achieve effective teaching-learning process

Distribution of Theory for course delivery					
Remember / Knowledge	**Understand**	**Apply**	**Analyze**	**Evaluate**	**Higher order Thinking / Creative**
10.00	10.00	30.00	10.00	20.00	20.00

Supplementary Resources:

1 https://www.icsi.edu/media/webmodules/publications/CapitalMarketandSecuritesLaw.pdf
2 https://www.sebi.gov.in/
3 https://financialservices.gov.in/beta/en/related-laws
4 https://www.rbi.org.in/commonperson/English/scripts/FAQs.aspx?SID=31
5 https://corporate.cyrilamarchandblogs.com/category/financial-regulations/

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