

Roll No



**PRESIDENCY UNIVERSITY
BENGALURU**

**SCHOOL OF MANAGEMENT
MID TERM EXAMINATION - APR 2023**

Semester : Semester IV - 2022 - 23 - BBA FT - 2021

Course Code : COM3027

Course Name : Sem IV - COM3027 - Laws for Financial safeguards

Program : BBA Financial Technology

Date : 15-APR-2023

Time : 2:00PM - 3:30PM

Max Marks : 50

Weightage : 25%

Instructions:

- (i) Read all questions carefully and answer accordingly.
- (ii) Question paper consists of 3 parts.
- (iii) Scientific and non-programmable calculator are permitted.
- (iv) Do not write any information on the question paper other than Roll Number.

PART A

ANSWER ALL THE QUESTIONS

(5 X 2 = 10M)

1. What are the consequences of not having adequate financial safeguards in place?
(CO1) [Knowledge]
2. What are the main financial regulatory bodies in India?
(CO1) [Knowledge]
3. How can a company ensure that its employees are trained in and understand its financial safeguards?
(CO1) [Knowledge]
4. What are the effects of insider Trading
(CO1) [Knowledge]
5. How do corporate crimes differ from individual crimes?
(CO1) [Knowledge]

PART B

ANSWER ALL THE QUESTIONS

(2 X 10 = 20M)

6. How can a company balance the need for financial safeguards with the need for operational flexibility?
(CO2) [Comprehension]
7. What are the ethical implications of corporate crimes in India?
(CO2) [Comprehension]

PART C

ANSWER THE FOLLOWING QUESTION

(1 X 20 = 20M)

8. What are the risks associated with inadequate financial regulation in India?
(CO4) [Application]