



SYMBIOSIS COLLEGE OF ARTS & COMMERCE

An Autonomous College | Under Savitribai Phule Pune University

Reaccredited 'A+' with 3.51 CGPA For Third Cycle By NAAC | College with Potential for Excellence

UG/PG (Revised Curriculum under NEP w.e.f. June 2023)

PROGRAM	BA	BA(Hon)	B.Com	B.Com(Hon)	M.Com	MA - Eng	MA- Eco	MA- Psy
Tick ✓					✓			

SEMESTER	1	2	3	4	5	6	7	8
Tick ✓	✓							

SPECIALIZATIONS									
BA	Eco	Eng	Psy	Gen					
Tick ✓									
BCOM	Costing	Banking	Entrep	MKT	Fin & Acc	Mgt Acc	HRM	Bus Analytics	Gen
Tick ✓									

Name of Board of Studies	Commerce
Name of the Department	Department of Commerce
Name of Head of Department	Dr. Hrishikesh Soman
Title of the Course	Governance and Legal Framework for Finance
Course Code	
Type of Course (New / Revised)	New
Nature of Course (Maj/Min/AEC/SEC/VEC/VSC)	
Number of Credits	4
Name of the Faculty	Shekhar Jayant Paranjape
Date of Approval by BoS	
Date of Implementation	

Course Outcomes
1. To develop the ability to critically analyse and evaluate governance and regulatory framework in finance
2. To assess the strengths, weaknesses and effectiveness of existing framework and purpose for improvements in regulations and governance for finance.
3. To gain knowledge of ethical standards in finance

4. To articulate complex governance and regulatory concepts clearly and concisely.
5. To develop a thorough understanding of fundamental principles of governance.

DETAILS OF SYLLABUS		
UNIT NUMBER	DETAILS	NUMBER OF LECTURES
1	<p>Introduction to Corporate Governance and Regulatory Framework for Finance Importance of regulation in financial markets, Major regulatory reforms, Principles of Good Corporate Governance, Key Stakeholders and their roles in Financial Governance- Board of Directors and their responsibilities, Shareholders rights, Ethical Considerations in Finance Case studies on corporate scandals and their governance implications</p>	14
2	<p>Risk Governance and Regulatory Compliance Risk management framework and principles, Risk Governance structure and committees Regulatory requirements for governance practices-1. Financial Institutions 2. Financial Markets 3. Investment Funds- Fiduciary duties of fund managers, regulatory initiatives for transparency and fairness Case studies on regulatory examinations and audits (both internal and external)</p>	14
3	<p>Overview of Regulatory Bodies SEBI Regulations and Guidelines, SEBI mutual Fund regulations, RBI, Insurance Regulatory Development Authority (IRDA), Ministry of Corporate Affairs –their role in securities regulation, Investor Protection and disclosure requirements. Case studies on Lessons learned and best practices from governance crises,</p>	12
4	<p>Emerging Regulatory Issues and Future Trends Governance Challenges, Digital Finance Regulation, Governance implications of sustainable finance and ESG considerations, Innovations in Governance Practices, Technology and Governance in Finance- Cyber Security and data privacy considerations</p>	14
5	<p>Assignments: Case study, Article review, filed visit, Group presentations</p>	
Reference List		
<p>1. The Oxford Handbook of Corporate Law and Governance Jeffrey N. Gordon, Wolf-Georg Ringe</p> <p>2. The Evolution of Corporate Governance by Bob Tricker</p>		

Principal
Symbiosis College of
Arts & Commerce, Pune-4.

Name and Sign of Head

Examination Pattern

Internal 50 Marks

External- 50 marks

Format of the Question Paper

Q.1 Short notes

Q.2 objectives

Q.3 short answers/case studies

Q.4 Long answers