

UUCMS No.

--	--	--	--	--	--	--	--	--	--	--	--	--	--	--	--	--	--	--	--

**B.M.S COLLEGE FOR WOMEN, AUTONOMOUS
BENGALURU – 560004
SEMESTER END EXAMINATION – MARCH/APRIL- 2023**

M.Com. - III Semester

FINANCIAL MARKETS AND SERVICES

Course Code: MCM306T

Duration: 3 Hours

QP Code: 13014

Max. Marks: 70

SECTION – A

1. Answer any seven questions out of ten. Each question carries two marks. (7x2=14)

- What do you mean by financial system?
- What is loan syndication?
- What is underwriting?
- Who is an angel investor?
- List out the role of SEBI.
- How the BASEL norms are fixed?
- What is depository market?
- What is bank rate?
- Define credit rating.
- What do you mean by factoring services?

SECTION – B

Answer any four questions out of six. Each question carries five marks. (4x5=20)

- Elucidate the structure of Indian Financial System.
- Explain the importance of financial services.
- What are the challenges faced by financial services industry in India?
- Explain the credit evaluation methods.
- What are the features of call money market?
- Discuss the role and functions of Depositories.

SECTION – C

Answer any two questions out of four. Each question carries twelve marks. (2x12=24)

- Differentiate between money market and capital market. Discuss the various components of money market.
- Discuss the role of merchant bankers in the new issue market.
- Briefly explain the different types Mutual Funds in India.
- Explain the listing requirement and procedure in stock exchange.

SECTION – D

(Compulsory Skill-based Question on Subject / Paper)

(1x12=12)

12. Harish works as a manager in a software company. He opened a Demat account with a broking house in order to trade in securities with the money he received as his first performance bonus. Since then he has been very active in stock trading under the guidance of a stock broker. However, when he was hospitalised for a few days this year, his wife received several calls from his stock broker for permission to transact on Harish's behalf. Though she told him to wait till her husband had recovered, the stock broker went ahead and executed the transactions. When Harish came home from hospital, he discovered that the unauthorised transactions had led to a loss for him. Harish complained to the broking house, but they claimed he had authorised the transactions. Keeping in view, the guidelines issued by the National Stock Exchange, that he had read in the national newspaper, Harish demanded proof and threatened to file a complaint. Since the broking house had no evidence that the deals had been authorised, they made good the loss that Harish had incurred due to the transaction. In the context of the above case –
- What is Demat account? What are the different types of Demat account?
 - Who are the participants associated with Demat? Who acting as the depository participant for Harish?
 - Briefly explain about the document that is legally enforceable and helps to settle the claims between the investor and the broker.
