

D 10026

(Pages : 3)

Name.....

Reg. No.....

FIFTH SEMESTER U.G. DEGREE EXAMINATION, NOVEMBER 2021

(CUCBCSS—UG)

B.Com.

BCM 5B 10—FINANCE SPECIALIZATION I—FINANCIAL MARKETS AND SERVICES

(2017 Admissions)

Time : Three Hours

Maximum : 80 Marks

Part A*This part consists of **two** bunches of questions carrying equal mark 1.**Each bunch consists of **five** objective type questions.**Answer **all** questions.*

(A) Fill in the blanks :

- 1 The first credit rating agency in India is _____.
- 2 Factoring commission is expressed as percentage of _____.
- 3 A market where new securities are bought and sold for the first time is called _____.
- 4 _____ ensures a well regulated capital market in India.
- 5 _____ provides a platform for investors to buy and sell securities from each other in an organized and regulated manner

(B) Choose the correct answer from the bracket :

- 6 NSE is started in the year _____.
 - (a) 1995.
 - (b) 1990.
 - (c) 1998.
 - (d) 1992.
- 7 The first public offer of financial instruments by a firm is usually called _____.
 - (a) IPO.
 - (b) SPO.
 - (c) PFO.
 - (d) CPO.

Turn over

- 8 An expected rate on a security that originates at some point in the future is called _____.
- (a) Exchange rate. (b) Forward rate.
(c) Spot rate. (d) Interest rate.
- 9 The legal contract that specifies the rights and obligations of the bond issuer and the bond holder is called _____.
- (a) Bond Paper. (b) Bond register.
(c) Bond Indenture. (d) Bond documents.
- 10 The process of converting the share certificate in physical form in to electronic form is called _____.
- (a) Share warranting. (b) Dematerialization.
(c) Delisting. (d) Physical conversion.

(10 × 1 = 10 marks)

Part B

Answer any **eight** questions in one **or** two sentences each.

Each question carries 2 marks.

11. What is a demand bill ?
12. What are commercial papers ?
13. Explain international factoring.
14. Define mutual fund.
15. What is Sensex ?
16. What is insider trading ?
17. What is cross-border lease ?
18. State the features of venture capital.
19. What do you mean by financial services ?
20. What is a capital market ?

(8 × 2 = 16 marks)

Part C

*Answer any **six** questions.
Each question carries 4 marks.*

21. State the objectives of NSE.
22. Distinguish between primary market and secondary market.
23. Explain the features of developed money market.
24. What is credit rating ? What are the functions ?
25. Explain different types of leasing.
26. What are the features of financial services ?
27. What is BOLT ? What are the advantages ?
28. What are the advantages of underwriting ?

(6 × 4 = 24 marks)

Part D

*Answer any **two** questions.
Each question carries 15 marks.*

29. Explain the functions of capital market ? What are the financial instruments used in capital market ?
30. Explain the objectives and functions of SEBI.
31. Who is a merchant banker ? Explain the functions of merchant banking ?

(2 × 15 = 30 marks)

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(Pages : 3)

Name.....

Reg. No.....

**FIFTH SEMESTER B.Com./B.B.A. DEGREE EXAMINATION
NOVEMBER 2020**

(CUCBCSS—UG)

B.Com.

BCM 5B 10—FINANCE SPECIALIZATION I—FINANCIAL MARKETS AND SERVICES

(2017 Admissions)

Time : Three Hours

Maximum : 80 Marks

Section A (Objective Questions)

Answer all questions.

Each question carries 1 mark.

(A) Fill in the blanks :

- 1 In _____ Market, delivery of financial claims occurs at a predetermined time in future.
- 2 Shares whose yield and market price move upward or downward according to the Cyclical condition are called _____.
- 3 _____ is a fund which has a dual composition of shares and bonds.
- 4 _____ is a market for raising fresh capital.
- 5 The lower end price of a price band is known as _____.

(B) Choose the correct answer from the bracket :

6 Market for short term funds :

- | | |
|---------------------------|------------------------------|
| (a) Money market. | (b) Capital market. |
| (c) Market for mortgages. | (d) Foreign exchange market. |

7 A dollar denominated instrument tradable of stock exchange in Europe :

- | | |
|-----------|----------|
| (a) FRB. | (b) EDR. |
| (c) FCCB. | (d) GDR. |

Turn over

- 8 An unlisted company makes fresh issue of shares for the first time :
- (a) Right issue. (b) Bonus issue.
(c) IPO. (d) Preference issue.
- 9 Organized market for buying and selling of second hand listed securities :
- (a) Stock Exchange. (b) Capital Market.
(c) Primary Market. (d) Bill Market.
- 10 Guarantees the sale of securities :
- (a) Underwriting. (b) Marketing.
(c) Guaranteeing. (d) Broking.

(10 × 1 = 10 marks)

Section B (Short Answer Questions)

Answer at least five questions.

Each question carries 4 marks.

All questions can be attended.

Overall ceiling 20.

- 11 What are the characteristics of Mutual Funds ?
- 12 What do you mean by listing of shares ?
- 13 What are different types of derivatives ?
- 14 What are the advantages of underwriting ?
- 15 What is price band ?
- 16 What are the features of debentures ?
- 17 What is no par stock ?
- 18 What do you mean by Money Market ?
- 19 Who is a depository ?
- 20 What do you mean insider trading ?

(5 × 4 = 20 marks)

Section C (Short Essay Questions)

Answer at least four questions.

Each question carries 8 marks.

All questions can be attended.

Overall ceiling 32.

- 21 Explain the role of ICICI in the capital market.
- 22 What are the advantages of mutual funds to investors ?
- 23 What are the functions of primary market ?
- 24 What are the different types of bills ?
- 25 Explain the different mutual fund options.
- 26 What are the functions of stock exchange ?
- 27 What are the reasons for slow growth of Indian Capital Market ?
- 28 What are the differences between Investor and Speculator ?

(4 × 8 = 32 marks)

Section D (Essay Questions)

Answer any one question.

Each question carries 18 marks.

- 29 What do you mean by Financial Markets ? Explain the structure of Financial Markets in India.
- 30 Explain the trading procedure of a stock exchange.
- 31 What is primary market ? Explain the role of intermediaries in primary market.

(1 × 18 = 18 marks)

D 70099

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FIFTH SEMESTER B.Com. DEGREE EXAMINATION, NOVEMBER 2019

(CUCBCSS—UG)

B.Com.

**BCM 5B 10—FINANCE SPECIALIZATION—I
FINANCIAL MARKETS AND SERVICES**

(2017 Admissions)

Time : Three Hours

Maximum : 80 Marks

Part A

This part consists of two bunches of questions carrying equal mark 1.

Each bunch consists of five objective type questions.

Answer all questions.

(A) Fill in the blanks :

- 1 _____ market is the financial markets for fixed claim.
- 2 A market where delivery of financial claims occurs immediately is known as _____ Market.
- 3 _____ is a fund scheme in which the corpus of the fund and its duration are prefixed.
- 4 _____ give information about the price movements of securities in the stock markets.
- 5 The higher end price of a price band is known as _____.

(B) Choose the correct answer from the bracket :

6 Bonds issued without any rate of interest :

- | | |
|------------------------|-----------|
| (a) SPN. | (b) GDR. |
| (c) Zero coupon bonds. | (d) FCCB. |

7 Issue shares to existing shareholders out of accumulated profits :

- | | |
|------------------|-----------------------|
| (a) Right issue. | (b) Bonus issue. |
| (c) IPO. | (d) Preference issue. |

8 An unlisted company makes fresh issue of shares for the first time :

- | | |
|------------------|-----------------------|
| (a) Right issue. | (b) Bonus issue. |
| (c) IPO. | (d) Preference issue. |

Turn over

9 Short term promissory notes issued by the RBI :

- (a) Promissory note. (b) Bills.
(c) Treasury bills. (d) Commercial bills.

10 Guarantees the sale of securities :

- (a) Underwriting. (b) Marketing.
(c) Guaranteeing. (d) Broking.

(10 × 1 = 10 marks)

Part B

Answer any eight questions in one or two sentences each.

Each question carries 2 marks.

- 11 What are the rights of investors in Mutual Funds ?
- 12 What do you mean by Bucket shops ?
- 13 Write the different kinds of speculators in a stock market ?
- 14 What is book building ?
- 15 What do you mean ESOS ?
- 16 What do you mean by Gilt Edged Securities ?
- 17 What are the differences between Futures Contract and Forward Contract ?
- 18 What do you mean by Sweat equity ?
- 19 What is GSO ?
- 20 What do you mean by Dematerialization of securities ?

(8 × 2 = 16 marks)

Part C

Answer any six questions.

Each question carries 4 marks.

- 21 What are the different types of Underwriting ?
- 22 Write the differences between New issue market and Secondary market ?
- 23 What are the features of Certificate of Deposits ?

- 24 What are differences between Capital Market and Money Market ?
- 25 What are the weakness of Indian Financial System ?
- 26 What are the functions of SEBI ?
- 27 What are the different types of derivatives ?
- 28 Write a note on Non-Banking Financial Institutions.

(6 × 4 = 24 marks)

Part D

Answer any two questions.

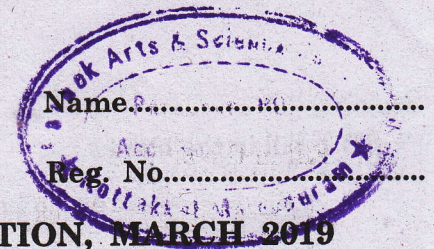
Each question carries 15 marks.

- 29 What do you mean by Financial System ? Explain the structure of Indian Financial system.
- 30 Explain the different types of money market instruments.
- 31 Explain the methods and procedure of public issue.

(2 × 15 = 30 marks)

C 60003

(Pages : 3)



SIXTH SEMESTER B.Com. DEGREE EXAMINATION, MARCH 2019

(CUCBCSS)

B.Com.

BCM 6B 14—FINANCIAL MARKET AND SERVICES

(Finance Specialisation)

Time : Three Hours

Maximum : 80 Marks

Part A

Answer all questions.

Each question carries 1 mark.

A. Choose the correct answer :

- 1 _____ refers to the cash which banks have to maintain with the RBI as a certain percentage of their demand and time liabilities.
(a) SLR. (c) CRR.
(b) Bank rate. (d) None of the above.
- 2 _____ regulates the Indian capital market.
(a) SEBI. (c) SCRA.
(b) CICA. (d) All the above.
- 3 CDs are _____ instruments issued by banks and financial institutions to raise large amount of money.
(a) Long term. (c) Medium term.
(b) Short term. (d) None of these.
- 4 The factor under the factoring acts as _____.
(a) A trustee. (c) A holder for value.
(b) An administrator. (d) An Agent.
- 5 _____ is a process of creating an artificial condition in the market to enhance the price of certain securities.
(a) Cornering. (c) Option.
(b) Wash sales, (d) Rigging.

Turn over

B. Fill in the blanks :

- 6 _____ are also known as 'half commissioned men'.
- 7 _____ allows the customer to spend only up to the balance standing in his account.
- 8 _____ is the document which lay down the obligations and conditions of stock exchange and the company to protect the interest of the investing public.
- 9 MMMFs stands for _____.
- 10 _____ is a person not being a member of a stock exchange who acts on behalf of a stock broker as an agent.

(10 × 1 = 10 marks)

Part B (Short Answer Questions)

*Answer any eight questions.**Each question carries 2 marks.*

- 11 What is meant by Moral suasion ?
- 12 What do you mean by call money market ?
- 13 Who is a Budliwala ?
- 14 What do you mean by Repo ?
- 15 Who are stock brokers ?
- 16 What is meant by Bonus Shares ?
- 17 What is recourse factoring ?
- 18 What is meant by Primary Market ?
- 19 What is meant by Depository Participants ?
- 20 What is rematerialization ?

(8 × 2 = 16 marks)

Part C (Short Essay Questions)

*Answer any six questions.**Each question carries 4 marks.*

- 21 What are the weaknesses of the Indian Financial System ?
- 22 What are the features of money market ?

- 23 Differentiate Capital Market and Money Market.
- 24 What are the functions of Insurance ?
- 25 What are the advantages of listing of securities ?
- 26 Explain the benefits of underwriting ?
- 27 What are the objectives of depositories ?
- 28 What are the different types of preference shares ?

(6 × 4 = 24 marks)

Part D (Essay Questions)

Answer any two questions.

Each question carries 15 marks.

- 29 "A well defined money market plays a key role for the development of financial system of a country". Comment.
- 30 What is stock exchange ? What are the features and functions of stock exchanges ?
- 31 What do you mean by new issue market ? Explain its functions and methods of floating new issues.

(2 × 15 = 30 marks)

D 40003

(Pages : 3)

Name.....

Reg. No.....

SIXTH SEMESTER B.Com. DEGREE EXAMINATION, MARCH/APRIL 2018

(CUCBCSS—UG)

BCM 6B 14—FINANCIAL MARKETS AND SERVICES

Time : Three Hours

Maximum : 80 Marks

Part A

Answer all questions.

Each question carries 1 mark.

(A) Choose the correct answer :

- 1 _____ refers to the cash which banks have to maintain with the RBI as a certain percentage of their demand and time liabilities.
(a) SLR. (c) CRR.
(b) Bank rate. (d) None of the above.
- 2 Promissory note issued by the Government is called _____.
(a) Treasury bill. (c) Commercial paper.
(b) CDs. (d) Call money.
- 3 CDs are _____ instruments issued by banks and financial institutions to raise large amount of money.
(a) Long term. (c) Medium term.
(b) short term. (d) None of these.
- 4 _____ bonds are sold at a large discount to their nominal value.
(a) Zero coupon. (c) Floating rate.
(b) Deep discount. (d) Option.
- 5 The Investor Education and Protection Fund has been set up by :
(a) NSE. (c) BSE.
(b) SEBI. (d) Central Government.

(B) Fill in the blanks:

- 6 Selling of securities without owning them is called _____.
- 7 _____ allows the customer to spend only up to the balance standing in his account.

Turn over

- 8 _____ is the link between the depository and the owner of securities.
- 9 In financial lease, _____ bears the risk of obsolescence.
- 10 The small investor's gateway to enter into big companies is _____.

(10 × 1 = 10 marks)

Part B (Short Answer Questions)

*Answer any eight questions.
Each question carries 2 marks.*

- 11 What do you mean by foreign bills ?
- 12 What do you mean by call money market ?
- 13 What is meant by depositories ?
- 14 What do you mean by Repos ?
- 15 What is forfaiting ?
- 16 What is rematerialization ?
- 17 What is recourse factoring ?
- 18 What is lease ?
- 19 What is meant by STCI ?
- 20 Who is an insurer ?

(8 × 2 = 16 marks)

Part C (Short Essay Questions)

*Answer any six questions.
Each question carries 4 marks.*

- 21 What are the functions of underwriters ?
- 22 What are the features of money market ?
- 23 Explain any four types of lease.
- 24 What are the objectives of merchant banking ?
- 25 What are the advantages of listing of securities ?

- 26 What are the features of venture capital ?
- 27 What are the objectives of depositories ?
- 28 What are the merits of on-line trading ?

(6 × 4 = 24 marks)

Part D (Essay Questions)

Answer any two questions.

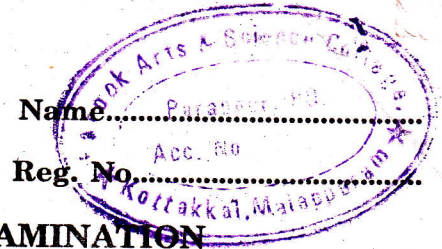
Each question carries 15 marks.

- 29 What do you mean by financial services ? How financial services are classified ?
- 30 What do you mean by listing of securities ? What is listing agreement ? Explain the advantages and disadvantages of listing.
- 31 What do you mean by new issue market ? Explain its functions and methods of floating new issues.

(2 × 15 = 30 marks)

C 21033

(Pages : 2)



**SIXTH SEMESTER B.Com. DEGREE EXAMINATION
MARCH 2017**

(CUCBCSS-UG)

BCM 6B 14—FINANCIAL MARKETS AND SERVICES

Time : Three Hours

Maximum : 80 Marks

Part A

*Answer all questions.
Each question carries 1 mark.*

A. Choose the correct answer :

1. An order for the purchase of securities at a fixed price is known as :
(a) Limit order. (b) Open order.
(c) Discretionary order. (d) Stop loss order.
2. Which of the following leads to decrease in share capital ?
(a) IPO. (b) Buy back of shares.
(c) Listing. (d) Underwriting.
3. Under factoring, the factor acts in the capacity of :
(a) An agent of his client. (b) A trustee.
(c) A holder for value. (d) An administrator.
4. The market which helps commercial banks to maintain their SLR requirements is :
(a) Call loan market. (b) Discount market.
(c) Acceptance market. (d) Commercial bill market.
5. Zero interest bonds are sold at :
(a) Premium. (b) Par.
(c) Discount. (d) None of these.

B. Fill in the blanks :

6. Normally the debentures above _____ years cannot be issued.
7. Underwriting of shares by a financial intermediary is a kind of _____ activity.
8. _____ lease is for a limited period.
9. The SHCIL was set up in the year _____.
10. In India, forfaiting is done by _____ bank.

(10 × 1 = 10 marks)

Turn over

Part B (Short Answer Questions)

*Answer any eight questions.
Each question carries 2 marks.*

11. What is meant by demutualisation of stock exchanges ?
12. What is lease financing ?
13. What is call money market ?
14. What is a secured premium note ?
15. What is meant by NBFCs ?
16. Explain LAF.
17. What is warrant ?
18. What do you mean by securitisation ?
19. What is origination ?
20. What is meant by SENSEX ?

(8 × 2 = 16 marks)

Part C (Short Essay Questions)

*Answer any six questions.
Each question carries 4 marks.*

21. List out the criteria for listing of securities.
22. State the recent trends in Indian money market.
23. What is meant by buy back of shares ? State the legal provisions regarding buy back of shares.
24. What is a stock indices ? Explain different methods of constructing stock indices.
25. Explain the functions of new issue market.
26. Describe the merits and demerits of forfeiting.
27. Explain the initiatives taken by RBI to promote bill market in India.
28. Discuss the role of developmental institutions in the growth of financial markets.

(6 × 4 = 24 marks)

Part D (Essay Questions)

*Answer any two questions.
Each question carries 15 marks.*

29. Define financial service. List out different forms of financial services offered by the institutions.
30. "The Indian Stock Market is suffering from many limitations". What are they ?
31. "SEBI protect the interest of investors" Do you agree ? Elucidate.

(2 × 15 = 30 marks)