

C 20002

(Pages : 3)

Name.....

Reg. No.....

SIXTH SEMESTER (CUCBCSS—UG) DEGREE EXAMINATION, MARCH 2022

B.Com.

BCM 6B 14—FINANCIAL MARKETS AND SERVICES (FINANCE SPECIALISATION)

(2014 to 2016 Admissions)

Time : Three Hours

Maximum : 80 Marks

*Answers may be written either in English or in Malayalam.***Part I***Answer all questions.**Each question carries 1 mark.*

(A) Multiple Choice Question :

- 1 In case of _____ factoring the client will carry the credit risk.
 - a) Recourse factoring.
 - b) Advance factoring.
 - c) Maturity factoring.
 - d) Invoice factoring.
- 2 _____ is an unsecured promissory notes issued by a well rated company for a maturity of 3 months to one year.
 - a) Treasury bill.
 - b) Commercial paper.
 - c) Certificate of deposit.
 - d) Call money fund.
- 3 The working of merchant banks are regulated by _____.
 - a) SEBI.
 - b) RBI.
 - c) IDBI.
 - d) NABARD.
- 4 _____ is a capital market instrument.
 - a) Commercial Papers.
 - b) Treasury bill.
 - c) Debenture.
 - d) None of these.
- 5 The best suited fund to the business people is :
 - a) Income fund.
 - b) Balanced fund.
 - c) Growth fund.
 - d) Taxation fund.

Turn over

(B) Fill in the blanks :

- 6 Loan against the security of immovable property is called _____ loan.
- 7 BSC was established in the year _____.
- 8 In _____ market companies offer shares to the public for subscription.
- 9 _____ is a financial institution engaging in issue management.
- 10 _____ is an arrangement between two parties for the use of an asset for an agreed period of time for a fixed rent.

(10 × 1 = 10 marks)

Part II

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

- 11 What is gilt edged market ?
- 12 What is financial market ?
- 13 What is price rigging ?
- 14 Define call money market.
- 15 What do you mean by capital market ?
- 16 What is secondary market ?
- 17 What is right issue ?
- 18 What is contract note ?
- 19 Define Cornering.
- 20 What are development banks ?

(8 × 2 = 16 marks)

Part III

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

- 21 Discuss the features of Indian money market.
- 22 What are the functions of the financial system ?
- 23 Distinguish between money market and capital market.

- 24 Explain the functions of factoring.
- 25 Describe any *four* types of leasing ?
- 26 What are the advantages of listing of securities ?
- 27 What is mutual fund ? Explain the importance of mutual funds.
- 28 What is venture capital ? Explain its features.

(6 × 4 = 24 marks)

Part IV

*Answer any **two** questions.*

Each question carries 15 marks.

- 29 Discuss the role of IDBI in the development of Indian Capital Market.
- 30 Discuss various services offered by a merchant bank.
- 31 Explain the SEBI guidelines for primary market.

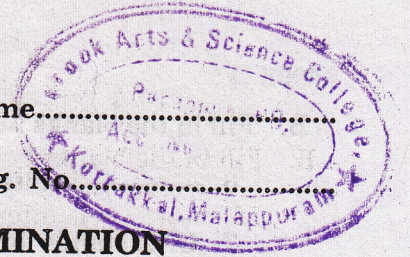
(2 × 15 = 30 marks)

C 80053

(Pages : 3)

Name.....

Reg. No.....



**SIXTH SEMESTER B.Com./B.B.A. DEGREE EXAMINATION
MARCH 2020**

(CUCBCSS—UG)

B.Com.

BCM 6B 14—FINANCIAL MARKETS AND SERVICES (FINANCE SPECIALIZATION)

(2014 Admissions)

Time : Three Hours

Maximum : 80 Marks

Part A

Answer all questions.

Each question carries 1 mark.

A. Choose the correct answer :

- 1 Loan against the security of immovable property is called _____ Loan.
(a) Hire purchase. (c) Guarantee.
(b) Mortgage. (d) None of these.
2. Promissory note issued by the Government is called.....
(a) Treasury bill. (c) Commercial paper.
(b) CDs. (d) Call money.
3. _____ is professional independent broker who deals in securities in his own name.
(a) Remisiers. (c) Jobbers.
(b) Commission Brokers. (d) None of the above.
- 4 The factor under the factoring, acts as _____.
(a) A trustee. (c) A holder for value.
(b) An administrator. (d) An Agent.
- 5 _____ bonds are sold at a large discount to their nominal value.
(a) Zero coupon. (c) Floating rate.
(b) Deep discount. (d) Option.

Turn over

B. Fill in the blanks :

- 6 _____ is international leasing.
- 7 CNX stands for _____.
- 8 _____ refers to a loan arranged by a bank called Lead manager for a borrower.
- 9 The fund raised by a financial service company by pooling the savings of the public is called _____.
- 10 In the initial stage of a project, venture capitalists provide _____ finance.

(10 × 1 = 10 marks)

Part B (Short Answer Questions)

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

- 11 What is meant by underwriting ?
- 12 What do you mean by foreign bills ?
- 13 What is insider trading ?
- 14 What do you mean by Demutualization ?
- 15 What are financial assets ?
- 16 What is meant by blue chip shares ?
- 17 What is primary market ?
- 18 What do you mean by buy back of shares ?
- 19 What is rematerialization ?
- 20 Who are Tarawaniwalas ?

(8 × 2 = 16 marks)

Part C (Short Essay Questions)

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

- 21 What are the requisites of a developed money market ?
- 22 Explain the functions of DFHI.

- 23 Differentiate primary and secondary market.
- 24 Explain any *four* types of lease.
- 25 What are the features of venture capital ?
- 26 Explain the features of NSE.
- 27 Explain the role of brokers in a stock exchange.
- 28 What are the defects of Indian stock market ?

(6 × 4 = 24 marks)

Part D (Essay Questions)

Answer any two questions.

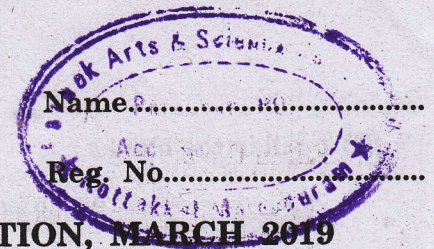
Each question carries 15 marks.

- 29 What do you mean by financial markets ? How the financial market is classified ?
- 30 "Mutual funds provide benefits to both the investor and the economy". Do you agree ? Explain.
- 31 Define Stock Exchange. What do you mean by listing of securities? Explain the advantages and disadvantages of listing.

(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.

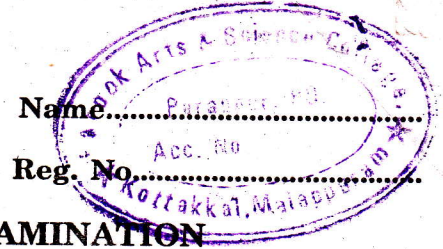
Each question carries 15 marks.

- 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)