



K.R. MANGALAM UNIVERSITY

THE COMPLETE WORLD OF EDUCATION

Rollno.....

End Semester Examination, December 2024

BCom (H) with NSE-III Semester

Introduction to Financial Management & Financial Markets (MCMB203)

Time: 2.5 hrs.

Max Marks: 50

Note: *All Questions are compulsory. Marks are indicated against each question.*

PART-A

Q.1

(a) State whether the below mentioned statement is TRUE or FALSE

In the savings-investment process, Financial Intermediaries come in between the ultimate borrowers and ultimate lenders. [CO-1] [L-1] 2

(b) Explain briefly the role played by a Registrar and Transfer Agent (RTA) in an IPO Process [CO-2] [L-2] 2

(c) Fill in the blank

SEBI permitted maximum amount of brokerage that a broker can charge on securities Market transactions is.....(in % terms) [CO-3] [L-3] 2

(d) Depositories are an essential constituent of securities market. Write about their Importance in brief. [CO-4] [L-4] 2

(e) State whether the below mentioned statement is TRUE or FALSE

NCL is the Clearing Corporation of BSE [CO-3] [L-3] 2

(f) Name the four different types of derivatives contracts. [CO-4] [L-4] 2

(g) Give a brief definition of the term GDP. [CO-1] [L-1] 2

2x5

PART-B

Q.2

According to the time available, what are the three different types of Goals an Investor can have? Provide the suitable investment avenues for each of these goals Along with necessary explanation. [CO-1] [L-1] 10

OR

Define the term Capital Market. Explain in detail the two components of Capital Market [CO-1] [L-1] 10

- Q.3 Securities and Exchange Board of India (SEBI) is the regulator for Securities Market in India.
Write a short note on the History, evolution, roles and responsibilities of SEBI. [CO-2] [L-2]**10**

OR

Discuss in detail the roles and responsibilities of Pension Fund Regulatory and Development Authority (PFRDA) [CO-2] [L-2]**10**

- Q.4 Explain in detail all the steps involved in a trade's life cycle with a special emphasis
On settlement process. [CO-3] [L-3]**10**

OR

a) Define the terms Payin and Payout of funds and securities.

b) A Client named Laxmi sells 370 shares of company XYZ @Rs.197/share in Ahmedabad on Monday through her broker. What is her settlement obligation in the transaction? If her broker charges 0.75% brokerage on the transactions, what is the amount of brokerage that he will take and the actual credit that she will receive in her bank account on settlement day? [CO- 3] [L-3]**10**

- Q5 Describe in detail the Global Economic Factors that an investor must consider before
Investing in securities market [CO-5] [L-5]**10**

OR

Give a brief explanation on the three financial ratios- Return on Equity (ROE), Earnings per Share (EPS) And Price Earnings Ratio (P/E), that must be considered by investors while doing fundamental Analysis of companies for stock selection [CO- 5] [L-5]**10**