

AC – 20/04/2024

Item No. – 7.7 Sem. II (6b)

As Per NEP 2020

II

University of Mumbai



Syllabus for Basket of Open Elective	
Board of Studies in Accounting and Finance	
UG First Year Programme	
Semester	II
Title of Paper	Credits 2
I) Open Elective in Accounting & Finance Paper IV	
II) NA	
III) NA	
From the Academic Year	2024 – 25

Sr. No.	Heading	Particulars
1	Description of the course: Including but not limited to:	In today's interconnected world, understanding the securities market is crucial for making informed investment decisions and achieving financial goals. The course begins by elucidating the regulatory framework that governs the securities market in India, providing learners with insights into the regulatory bodies and their roles in ensuring market transparency and investor protection. This foundational knowledge is essential for individuals seeking to venture into the securities market and engage in investment activities. This knowledge empowers learners to understand the dynamics of the securities market and make informed investment choices. By the end of this course, learners will have a comprehensive understanding of the securities market and the practical knowledge needed to start investing. Whether one is an investor or looking to enhance its investment skills, this course provides the foundation for success in the world of finance.
2	Vertical:	Major/Minor/√ Open Elective /Skill Enhancement / Ability Enhancement/Indian Knowledge System
3	Type:	Theory & Practical Illustrations
4	Credit:	2 credits
5	Hours Allotted:	30 Hours
6	Marks Allotted:	50 Marks

7	Course Objectives: 1. To familiarize learners with the regulatory framework governing the securities market in India. 2. To clarify the concepts of trading days, trading & settlement cycles, margin money, power of attorney, contract notes, nomination, and ASBA. 3. To explain the prerequisites for investing, such as opening bank, trading, and demat accounts, and understanding their features.
8	Course Outcomes 1. Learners will differentiate between securities and the securities market and explain the roles of primary and secondary markets. 2. Learners will demonstrate an understanding of trading days, power of attorney, contract notes, nomination, and ASBA and calculate trading & settlement cycles and margin money. 3. Learners will apply their knowledge to navigate the processes of investing in the primary and secondary markets effectively.

9	Modules:
	Module 1: Introduction to Securities Market
	1. Regulatory Framework for Securities Market in India. 2. Difference between Securities and Securities Market. 3. Difference between Primary and Secondary Market. 4. Concepts of Market Infrastructure Institutions and Market Intermediaries. 5. Basics of Investing and Risk associated with investment in securities market.
	Module 2: Investing in stocks
	1. Pre – requisites for investing in securities market: Opening of bank account, trading account and demat account: Features and characteristics. 2. Concept of Trading days and Calculation of Trading & Settlement Cycle. 3. Concept and Calculation of Margin Money. 4. Concept of Power of Attorney, Contract Note and Nomination. 5. Application Supported by Blocked Amount (ASBA). 6. Process of investment in Primary Market. 7. Process of investment in Secondary Market.
10	Textbooks: 1. Investors Education Reading Material – Introduction to Securities Markets by Securities Exchange Board of India. 2. Investors Education Reading Material – Primary Market by Securities Exchange Board of India.

	3. Investors Education Reading Material – Secondary Market by Securities Exchange Board of India. 4. Investors Education Reading Material – Shares and Debenture holders by Securities Exchange Board of India.
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11	Reference Books: 1. Fabozzi, Frank, (2004), Fixed Income Analysis Workbook, 2nd edition , John Wiley & Sons. 2. Shah, Ajay, Thomas, Sushan and Gorham, Michael, (2008), Indian Financial Markets, Elsevier, USA. 3. Dun and Bradstreet, (2008), Fixed Income Securities, Tata McGraw Hill. 4. Equity Markets in India- Shveta Singh & P K Jain. 5. Equity and Debt Markets- Hardeep Kaur.	
12	Internal Continuous Assessment: 40% i.e. 20 marks	Semester End Examination: 60% i.e 30 marks

13	Continuous Evaluation through: <table border="1"> <thead> <tr> <th></th><th>Assessment/ Evaluation</th><th>Marks</th></tr> </thead> <tbody> <tr> <td>1.</td><td>Class Test during the lectures. (Physical/ Online mode). (Short notes/ MCQ's/ Match the Pairs/ Answer in one sentence/ puzzles)</td><td>10</td></tr> <tr> <td>2.</td><td>Participation in Workshop/ Conference/Seminar/ Case Study/Field Visit/ Certificate Course. (Physical/Online mode)</td><td>10</td></tr> <tr> <td></td><td>TOTAL</td><td>20</td></tr> </tbody> </table>			Assessment/ Evaluation	Marks	1.	Class Test during the lectures. (Physical/ Online mode). (Short notes/ MCQ's/ Match the Pairs/ Answer in one sentence/ puzzles)	10	2.	Participation in Workshop/ Conference/Seminar/ Case Study/Field Visit/ Certificate Course. (Physical/Online mode)	10		TOTAL	20			
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14	Format of Question Paper: for the final examination <u>Attempt any 2 out of 3 questions.</u> <table border="1"> <thead> <tr> <th>Question No</th><th>Questions</th><th>Marks</th></tr> </thead> <tbody> <tr> <td>Q1</td><td>Practical/ Theory</td><td>15</td></tr> <tr> <td>Q2</td><td>Practical/ Theory</td><td>15</td></tr> <tr> <td>Q3</td><td>Practical/ Theory</td><td>15</td></tr> <tr> <td></td><td>TOTAL</td><td>30</td></tr> </tbody> </table> Note 1. Equal Weightage is to be given to all the modules. 2. 15 marks question may be subdivided into 8 marks + 7 marks, 10 marks + 5 marks		Question No	Questions	Marks	Q1	Practical/ Theory	15	Q2	Practical/ Theory	15	Q3	Practical/ Theory	15		TOTAL	30
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Q3	Practical/ Theory	15															
	TOTAL	30															

	and 5 marks + 5 marks + 5 marks. Internal options may be given however it is not mandatory. 3. Use of simple calculator is allowed in the examination. 4. Wherever possible more importance is to be given to the practical problems.	
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Sign of the BOS
Dr. Arvindkumar
Shankarlal Luhar
Board of Studies:
B.Com (Accounting & Finance)

Sign of the
Offg. Associate Dean
Dr. Ravikant Balkrishna
Sangurde
Faculty of Commerce

Sign of the
Offg. Associate Dean
Prin. Kishori Bhagat
Faculty of
Management

Sign of the
Offg. Dean
Prof. Kavita Laghate
Faculty of
Commerce & Management