

[Time:2.30 Hrs]

[ Marks:75]

Please check whether you have got the right question paper.

- N.B:
1. All questions are compulsory.
  2. Figures to the right indicate full marks.
  3. Working notes should form part of the main answer
  4. Use of simple calculators is allowed.

Q. 1. A. Select the most appropriate alternative (**Attempt any Eight**) 08

1. \_\_\_\_\_ are the challenged faced by financial services entities in India.
  - a) Shifting consumer preference      b) Complex segmentation Market
  - c) Both a & b
2. Trading of listed shares in a part of \_\_\_\_\_ Market operation.
  - a) Primary      b) Secondary      c) tertiary.
3. \_\_\_\_\_ caters to the financial needs of agriculture and allied industries.
  - a) Small Finance Bank      b) NABARD      c) UTI
4. The overall reasonability of regulating the entire banking sector lies with \_\_\_\_\_.
  - a) RBI      b) SEBI      c) IRDA.
5. IRDA was established in the year \_\_\_\_\_.
  - a) 2000      b) 1999      c) 1987.
6. Services are mainly provided to foreign investors \_\_\_\_\_.
  - a) Custodial services      b) Financial services      c) Factoring Services.
7. credit protection is available in \_\_\_\_\_.
  - a) Without Recourse factoring      b) With recourse      c) None of the above.
8. Certificate of registration from \_\_\_\_\_ is mandatory for underwriters.
  - a) State bank of India      b) ICICI      c) SEBI.
9. \_\_\_\_\_ is the old stock exchange in India.
  - a) Bombay stock Exchange      b) National stock Exchange
  - c) Calcutta stock Exchange
10. The term \_\_\_\_\_ is defined as a central location for keeping securities on deposit.
  - a) Depository      b) Instrument      c) Broker

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- Q. 1. B. 1. “AAA” rating indicates highest degree of strength with regards to 07  
honouring debt obligation.  
2. CARE which was founded in the year 1994.  
3. CRISIL is one of India oldest credit rating firm.  
4. UPI is unified payment Interlink.  
5. The concept of lease finance was pioneered in 1973 in Chennai.  
6. There are three categories of merchant bank.  
7. Stock broker act as agent to the investor  
8. Banker to an issue is required to register with SEBI  
9. Appointment of banker to an issue is the first step in the issues of share.  
10. EXIM banks are a vital institution that promotes foreign trade.
- Q. 2. A. What are different types of banks in India? 15  
**OR**
- Q. 2. B. What are Types of Financial Services? 15
- Q. 3. A. Explain SEBI and its function? 15  
**OR**
- Q. 3. B. What are activities of Merchant Banker 08  
Q. 3. C. What are the different types of derivatives 07
- Q. 4. A. What are types of Prospectuses. 15  
**OR**
- Q. 4. B. Explain the process of IPO. 15
- Q. 5. A. What are characteristics of financial services. 08  
Q. 5. B. Explain evolution of banking system in India 07  
**OR**
- Q. 5. B. Write short notes (any three) 15  
a. Swaps  
b. E-wallet  
c. EMI  
d. CARE  
e. ICRA