

# School of Business

Department of Business  
Mid Term Examination

Exam Date: 03 OCT. 2023  
Time : 90 Minutes  
Marks : 50

## Sem IX - MBFI6011 - Financial Markets and Services

*Your answer should be specific to the question asked  
Draw neat labeled diagrams wherever necessary*

- 1) Outline the benefits of Mutual Funds to investors? K2 (2)
- 2) What are Financial services objectives? K1 (3)
- 3) Describe the agency functions of commercial banks. K2 (4)
- 4) Explain role play of a manager and customer in banking environment. K2 (6)
- 5) Interpret the Basic Principles of Mutual Funds. K3 (6)
- 6) The Securities and Exchange Board of India (SEBI) is the regulatory authority in India that oversees and regulates the securities market. It was established on April 12, 1992, in accordance with the SEBI Act, 1992. SEBI's primary objective is to protect the interests of investors and ensure the development and regulation of the securities market. Identify the mechanism with which SEBI works to achieve its objectives. Also, identify how does SEBI contribute to maintaining a fair and transparent securities market? K3 (9)
- 7) Examine the significance of financial services in an economy. Provide a comprehensive answer with relevant examples. K4 (8)
- 8) Analyse the role of Merchant Bankers in Maintaining Health and Credibility of the Capital Market K4 (12)

**OR**

The stock market is a complex financial ecosystem where individuals and institutions buy and sell shares of publicly listed companies. It plays a pivotal role in the global economy by facilitating capital formation, allowing companies to raise funds for expansion, and providing investors with opportunities to participate in the growth of these companies. Based on the information discuss how does a company get listed on a stock exchange? also explain How are stock prices determined? K4 (12)