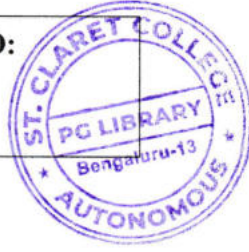


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**St. Claret College**  
Autonomous, Bengaluru

ROLL NO:

DATE:



**PG END SEMESTER EXAMINATION-JANUARY/FEBRUARY 2026**

**M.Com: THIRD SEMESTER**

**MCO DSF 3325: FINANCIAL MARKETS & SERVICES**

**TIME: 3 hours.**

**MAX. MARKS: 70**

**This paper contains TWO printed pages and FOUR parts**

**Instructions:**

1. Verify and ensure that the question paper is completely printed.
2. Any discrepancies or questions about the exam paper must be reported to the COE within 1 hour after the examination.
3. Students must check the course title and course code before answering the questions.

**PART-A**

**Answer any EIGHT questions out of TEN. Each answer carries TWO marks. [8x2 = 16]**

1. Define Primary Market.
2. What is a Red-Herring Prospectus?
3. State any two benefits of Book Building.
4. What is meant by Rolling Settlement?
5. What is Net Asset Value?
6. What are Fee-Based Financial Services?
7. What is meant by Venture Capital?
8. Define Credit Rating.
9. What is ESG Investing?
10. Define Stock Market Index.

**PART-B**

**Answer any FOUR questions out of SIX. Each answer carries FIVE marks. [4x5=20]**

11. Critically Examine the process of public issue of shares.
12. Describe the listing requirements and listing procedure of securities on a stock exchange.
13. Investigate the importance of financial services for economic development.
14. Explain the types of Mutual Funds.
15. Evaluate the credit rating process in India.
16. Explain the recent trends in financial services.

**PART-C**

**Answer any TWO questions out of THREE. Each answer carries TEN marks. [2X10=20]**

- 17. What are the roles and responsibilities of SEBI in safeguarding the interests of investors? Elaborate.
- 18. Critical evaluate the uses of AI in Financial Services.
- 19. Write notes on;
  - a. ESG Investing
  - b. Algo trading
  - c. Embedded Finance and BNPL

**PART-D**

**Compulsory skill-based question/ case study**

**[1X14=14]**

- 20. A technology-based startup plans to raise funds for expansion. It is considering Private Placement instead of a Public Issue. The promoters are also evaluating Venture Capital funding.

**Questions**

- a. Compare Private Placement and Public Issue. (5 marks)
- b. Explain how Venture Capital supports startup growth. (4 marks)
- c. Discuss the role of AI and Data Analytics in market surveillance and venture capital decision-making. (5 marks)

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