



<b>Name:</b>	
<b>Enrolment No:</b>	

**UPES**  
**End Semester Examination, December 2023**

<b>Course: Financial Markets and Investments</b> <b>Program: B.COM. LLB (HONS)</b> <b>Course Code: FINC1019</b>	<b>Semester: I</b> <b>Time : 03 hrs.</b> <b>Max. Marks: 100</b>
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**SECTION A**  
**5Qx2M=10Marks**

S. No.	Multiple Choice Questions	Marks	CO
Q 1	What is the main objective of a whistleblower policy in corporate governance? a) Protecting unethical practices b) Encouraging employees to report misconduct and unethical behavior c) Punishing employees who raise concerns d) Ignoring employee concerns	2	CO1
Q2	When investors buy and sell securities among themselves, they are operating in the: a) Primary market b) Secondary market c) Tertiary market d) Commodities market	2	CO2
Q3	A high liquidity ratio indicates: a) The bank may face potential solvency issues b) The bank has excess funds available for lending c) The bank has a lower capacity to meet short-term obligations d) The bank is effectively managing its long-term investments	2	CO1
Q4	What does IPO stand for? a) Internal Public Offering b) Initial Private Offering c) Initial Public Offering d) Investment Purchase Obligation	2	CO2
Q5	Which of the following is a characteristic of a primary market? A) Trading of existing financial securities B) Trading of newly issued financial securities	2	CO2

	C) Trading of real estate properties D) Trading of commodities		
<b>SECTION B</b> <b>4Qx5M= 20 Marks</b>			
	Attempt all the question		
Q1	Explain how do high levels of NPAs influence a bank's ability to lend and maintain stability?	<b>5</b>	<b>CO3</b>
Q2	Discuss how has technology, such as secure platforms and encryption, affected whistleblowing practices?	<b>5</b>	<b>CO2</b>
Q3	How does Clause 49 impact the functioning of listed companies. Explain.	<b>5</b>	<b>CO3</b>
Q4	What are the major components of an effective corporate compliance program?	<b>5</b>	<b>CO2</b>
<b>SECTION-C</b> <b>2Qx10M=30 Marks</b>			
	Attempt all the question		
Q1	Evaluate the dynamic interactions between money markets and capital markets, elucidating their collective impact on economic growth and investment dynamics?	<b>10</b>	<b>CO3</b>
Q2	Analyze the intricacies of an Initial Public Offering (IPO) as a strategic financial maneuver for companies aiming to procure capital in the primary market?	<b>10</b>	<b>CO3</b>
<b>SECTION-D</b> <b>2Qx15M= 30 Marks</b>			
	Attempt all the question		
Q1	ABC Ltd requires to raise capital for its upcoming power project. The objective of the organization is to raise capital Private Placement, Right Issues and Book Building. Discuss the intentions, benefits and limitations behind raising capital the capital through these measures?	<b>25</b>	<b>CO4</b>
Q2	Discuss considering a hypothetical country facing economic downturn characterized by high unemployment and sluggish growth. The government is contemplating the implementation of fiscal policy measures to address these challenges. Design a strategic fiscal policy plan outlining specific measures, such as changes in taxation, government spending, or targeted subsidies, explaining how each element contributes to the overall goal of stimulating economic growth and reducing unemployment. Additionally, assess potential drawbacks or unintended	<b>25</b>	<b>CO3</b>

	consequences associated with the proposed fiscal policy and suggest mitigating strategies?		
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