


<b>Name:</b>	 <b>UPES</b> UNIVERSITY WITH A PURPOSE
<b>Enrolment No:</b>	

**UNIVERSITY OF PETROLEUM AND ENERGY STUDIES**  
**Online End Semester Examination, December 2020**

**Course: Indian Financial System**  
**Program: BBA FAS**  
**Course Code: FINC 2001**

**Semester: III**  
**Time 03 hrs.**  
**Max. Marks: 100**

**SECTION A**

- 1. Each Question will carry 5 Marks**
- 2. Instruction: Complete the statement / Select the correct answer(s)**

S. No.	Question	CO
Q 1	The assets of the mutual fund are held by a. AMC b. Trustees c. Custodian d. Registrar	CO3
Q2	SEBI regulates a. Mutual Funds b. Depositories c. Registrar & Transfer Agents d. All the above	CO4
Q3	Investment objective defines the broad investment charter a. True b. False	CO3
Q4	The functions and responsibilities of the sponsor, AMC, trustees and custodian of the mutual fund are listed in a. Offer document only b. Key information memorandum c. Both offer document and key information memorandum d. None of the above	CO3
Q5	Balanced fund is a mutual fund that a. Assures income b. Invests in debt and equity c. Assure growth d. Gives fixed returns	CO2
Q6	Identify the exception to the principle of lending? a. safety b. security c. fee income d. diversity	CO3

**SECTION B**

- 1. Each question will carry 10 marks**
- 2. Instruction: Write short / brief notes**

	Attempt any Five	
Q 7	“In spite of suitable legislative measures, the Indian financial system remains weak”. Comment.	CO1
Q 8	Examine the role of a financial system in the economic development of a country.	CO1
Q 9	“NABARD is the apex institution concerned with the policy, planning and operations in the field of agriculture and other rural economic activities”. Discuss this statement highlighting the role of NABARD in development of agriculture sector	CO2
Q 10	“Mutual fund is a fund established in the form of a trust to raise moneys through the sale of units to the public or a section of the public under one or more schemes”. Discuss the concept of Mutual fund and also elaborate the structure of mutual fund.	CO3
Q 11	Explain the lending principles of the bank based on the activities of the bank.	CO2
Q12	“The Reserve Bank of India as the Central Bank of the country plays different roles like the regulator, supervisor and facilitator of the Indian Banking System”. Discuss the role of RBI as regulator and as a controller of flow of money in the economy.	CO2

**Section C**

- 1. Each Question carries 20 Marks.**
- 2. Instruction: Write long answer.**

Q13	Show the classification of Indian financial markets in the form of a chart and explain the features of each market.  <p style="text-align: center;">OR</p> Discuss the case of Lehman Bros Bankruptcy and highlight the reason for the bankruptcy.	<b>CO2</b>
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