



# SOMAIYA

## VIDYAVIHAR UNIVERSITY

Dr. Shantilal K. Somaia School of Commerce and Business Studies

### QUESTION PAPERS

<b>BRANCH: Bachelor of Commerce</b> <b>(Financial Market)</b>	<b>SEM: I</b>
	<b>OCT/NOV - 2025</b>

Sr. No.	Subject	Available
1.	146U004C101 – Introduction to Capital Markets	
2.	146U04C102 – Corporate Account I	
3.	146U15I101 – Fundamentals of Economics	
4.	146U04K101 – Statistical Techniques & Logical Reasoning	
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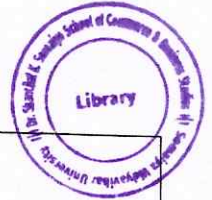
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**SOMAIYA**  
VIDYAVIHAR UNIVERSITY



<b>October/November 2025</b>		
<b>Examination: End Semester Examination (UG/PG Programmes)</b>		
<b>Programme code: 04</b>	<b>Class: FY</b>	<b>Semester: I</b>
<b>Programme: Financial Markets</b>		
<b>Name of the School: Dr. Dr. Shantilal K. Somaiya School of Commerce and Business Studies</b>		<b>Name of the Department: Accounting &amp; Finance</b>
<b>Course Code: 146UO4C101</b>	<b>Name of the Course: Introduction to Capital Markets</b>	
<b>Duration : 1 Hr.</b>	<b>Maximum Marks : 60</b>	
<b>Instructions: 1) Draw neat diagrams 2) Assume suitable data if necessary</b>		

Question No.		Max. Marks	CO
Q1	<p>Read the following Case- Study and answer the questions given below:</p> <p>Nexon BioTech Pvt. Ltd., a fast-growing biotech company specializing in vaccine research and diagnostic solutions, plans to raise ₹750 crores through an Initial Public Offering (IPO) to fund its new R&amp;D facility and expand its distribution network across India.</p> <p>The lead manager appointed for the IPO is Silverline Capital Advisors, which has begun the due-diligence and documentation process. During the book-building phase, the IPO attracts strong interest from Qualified Institutional Buyers (QIBs) due to the company's strong financials. Retail investor participation is also high, but the issue faces a hurdle when the stock exchange reports multiple PAN mismatches in several retail applications, delaying part of the verification process.</p> <p>To provide price stability and confidence to the market before listing, the company decides to allocate a portion of the shares to anchor investors, including major domestic mutual funds.</p> <p>Questions:</p> <p>a. Explain the importance of due diligence in Nexon BioTech's IPO and how it helps prevent regulatory issues.</p> <p>b. Describe the role of lead managers and stock exchanges in the successful execution of this IPO.</p> <p>c. Differentiate between HNIs, QIBs, and anchor investors participating in this issue.</p>	05 05 05	CO1,2,3,4
Q 2	<p>a. You are an investor residing in India. Identify and explain the factors you will consider before making investment decision.</p> <p>b. Describe the types and features of derivatives market in India</p>	07 08	CO1, 2
<b>OR</b>			

	<p>c. As a financial market student, examine the roles and responsibilities of registrar and transfer agents.</p> <p>d. In the context of a new public issue, analyze how underwriters perform key functions to ensure full subscription and reduce risk for the issuing company.</p>	08	
		07	
Q 3	<p>a. Elaborate on the concept, stages and process followed by venture capital funds using example.</p> <p style="text-align: center;"><b>OR</b></p> <p>b. As a research analyst, describe the features and trends of Retail investors in India</p> <p>c. Discuss the meaning and main features of REITs as alternative investment avenues for investors in the capital market.</p>	15	CO3
		07	
		08	
Q 4	<p>a. List and explain the functions of Enforcement Directorate as a regulatory and legal body.</p> <p>b. Illustrate with examples how money laundering impacts the economy and financial system and justify why countries impose severe punishment for this offence.</p> <p style="text-align: center;"><b>OR</b></p> <p>c. Discuss the various laws that regulate money laundering in India</p> <p>d. Examine the objectives and functions of Financial Action Task Force in regulating money laundering activities in India</p>	07	CO4
		08	
		07	
		08	



Q 2.

From the following Trial Balance of Mr. Amit Prepare Final a/c.

15

02

**TRAIL BALANCE AS ON 31ST DEC. 2025**

DEBIT	₹	CREDIT	₹
OPENING STOCK: -		Bills Payable	14,000
Raw Materials	24,000	Capital	1,70,000
WIP	14,000	Provision for Bad Debts	6,000
Finished Goods	40,000	Creditors	50,000
Debtors	1,00,000	Sales	6,20,000
Drawings	42,000		
Purchase of Raw Materials	1,94,000		
Carriage inward	22,000		
Direct Wages	1,14,000		
Factory Rent	14,000		
Other Direct Expenses	24,000		
Indirect Wages	16,000		
Machinery	1,20,000		
Cash	24,000		
Office Expenses	62,000		
Selling Expenses	26,000		
Interest	14,000		
Discount	8,000		
Bad Debts	2,000		
	<b>8,60,000</b>		<b>8,60,000</b>

**Adjustments: -**

1. Closing Stock: - Raw Materials ₹ 16,000, Finished Goods ₹20,000, WIP ₹ 8,000.
2. Outstanding Direct wages ₹6,000.
3. Depreciate Machinery @ 10% p.a.
4. Other direct expenses were prepaid to the extent of ₹ 2,000.
5. Provide RDD @ 5% on Debtors.

**OR**

Q.2.

Unicorn Limited Issued 30,000 Equity Shares of Rs. 10 each. Applications were received for 50,000 shares. Share were allotted as follows:

15

03

- a) 5,000 share were fully rejected and their application money was refunded.
- b) 5,000 shares were fully allotted
- c) Remaining shares were allotted on pro-rata basis.

Company's scheme for allotment of shares is as follows:

Rs. 2/- on Application

Rs. 3/- on Allotment

Rs. 3/- on 1<sup>st</sup> Call and

Rs. 2/- on 2<sup>nd</sup> and final call

Mr. Aryan who has applied for 2,000 shares fail to pay 1<sup>st</sup> call and 2<sup>nd</sup> call money. After number reminders, company forfeited his shares and re-issued to Mr. Sunder at Rs. 8/- per share.

Pass Journal entries in the books of Unicorn Ltd. Working will form part of your answer.



<p>Q.3.</p>	<p>Leela and co provides you following details of their purchases and issue of stock of Material for the months of January, 2025</p> <table border="1" data-bbox="240 353 1305 680"> <thead> <tr> <th>Date</th> <th>Particulars</th> </tr> </thead> <tbody> <tr> <td>01.01.2025</td> <td>Opening Stock 500 units @ Rs. 30/- per unit</td> </tr> <tr> <td>05.01.2025</td> <td>Purchased 250 units @ Rs. 20/- per unit</td> </tr> <tr> <td>10.01.2025</td> <td>Issued 150 units</td> </tr> <tr> <td>15.01.2025</td> <td>Issued 200 units</td> </tr> <tr> <td>20.01.2025</td> <td>Purchased 300 units @ Rs. 40/- per unit</td> </tr> <tr> <td>25.01.2025</td> <td>50 units damaged and discarded.</td> </tr> <tr> <td>30.01.2025</td> <td>Issued 500 units</td> </tr> </tbody> </table> <p>Prepare separate statement showing value of closing stock under FIFO and Weighted Average Method.</p> <p style="text-align: center;"><b>OR</b></p> <p>Q.3.</p> <p><b>A.</b> Entity A, a supermarket chain, is renovating one of its major stores. The store will have more available space for in store promotion outlets after the renovation and will include a restaurant. Management is preparing the budgets for the year after the store reopens, which include the cost of remodelling and the expectation of a 15% increase in sales resulting from the store renovations, which will attract new customers. State whether the remodelling cost will be capitalised or not.</p> <p>b) Entity A has an existing freehold factory property, which it intends to knock down and redevelop. During the redevelopment period the company will move its production facilities to another (temporary) site. The following incremental costs will be incurred: 1. Setup costs of Rs.5,00,000 to install machinery in the new location. 2. Rent of Rs.15,00,000 3. Removal costs of Rs.3,00,000 to transport the machinery from the old location to the temporary location. Can these costs be capitalised into the cost of the new building?</p> <p><b>B.</b> The following information of Krishna Ltd. is provided:</p> <p>(i) Goods of Rs.60,000 were sold on 20-3-2025 but at the request of the buyer these were delivered on 10-4-2025.</p> <p>(ii) On 15-1-2025 goods of Rs.1,50,000 were sent on consignment basis of which 20% of the goods unsold are lying with the consignee as on 31-3-2025.</p> <p>(iii) Rs.1,20,000 worth of goods were sold on approval basis on 1-12-2024. The period of approval was 3 months after which they were considered sold. Buyer sent approval for 75% goods up to 31-1-2025 and no approval or disapproval received for the remaining goods till 31-3-2025.</p> <p>(iv) Apart from the above, the company has made cash sales of Rs.7,80,000 (gross). Trade discount of 5% was allowed on the cash sales.</p> <p>You are required to advise the accountant of Meghna Ltd., with valid reasons, the amount to be recognized as revenue in above cases in the context of AS 9.</p>	Date	Particulars	01.01.2025	Opening Stock 500 units @ Rs. 30/- per unit	05.01.2025	Purchased 250 units @ Rs. 20/- per unit	10.01.2025	Issued 150 units	15.01.2025	Issued 200 units	20.01.2025	Purchased 300 units @ Rs. 40/- per unit	25.01.2025	50 units damaged and discarded.	30.01.2025	Issued 500 units	<p>15</p> <p>7</p> <p>8</p>	<p>01</p> <p>01</p> <p>01</p>
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30.01.2025	Issued 500 units																		
<p>Q.4.</p>	<p>On 1<sup>st</sup> April 2024 Mr. Prashant held 1000, 6% Debentures of Rs.100 each at a cost</p>	<p>15</p>	<p>04</p>																

of Rs.96,000. Interest is payable on 30<sup>th</sup> June and 31<sup>st</sup> December every year. He entered in to following transactions in respect of 6% Debentures during the year ending on 31<sup>st</sup> March,2025.

**Purchases: -**

On 1<sup>st</sup> May 2024, Face value of Rs.20,000 at Rs.102 cum-Interest.

On 1<sup>st</sup> September 2024, Face value of Rs.60,000 at Rs.105 Ex- Interest.

**Sales: -**

On 1<sup>st</sup> August 2024, Face value of Rs.30,000 at Rs.104 Cum-Interest.

On 1<sup>st</sup> February 2025, Face value of Rs.30,000 at Rs.102 Ex-Interest.

Show 6% Debenture Account in the books of Mr. Prashant for the year ended 31<sup>st</sup> March,2025. Market price on 31<sup>st</sup> March,2025 was Rs.90 per debenture.

(Investment are to be valued at weighted average cost.)

**OR**

Q.4.

On 1/4/2024 Mr. Shiva had 20,000 equity shares (of Rs.10 each) in Prapti Ltd. at the cost of Rs.3,20,000.

On 1/7/2024 he acquired 8,000 more shares in the same company for Rs.1,60,000.

On 31/7/2024 he further acquired 12,000 more shares at Rs.22 per share.

On 10/8/2024 Prapti Ltd. announced bonus shares to the then equity shareholders in the ratio of 1 bonus share for every 4 shares held as on 5/8/2024. Shiva received the bonus shares on 22/8/2024.

The directors of Prapti Ltd. issued right shares to the equity shareholders on the following terms.

Right shares to be issued to the existing shareholders as on 31/8/2024.

Right offered was at the rate of Rs.15 per share in the ratio 1 share for every 5 shares held. Full amount was payable on or before 15/10/2024.

Shareholders would be entitled to renounce their entitlement either wholly or in part to the outsiders.

Shiva exercised his right of option under the issue for 6,000 shares and sold the balance to Mr.Amit @ Rs.2 per share. On 20/10/2024 Prapti Ltd. declared the dividend @ Rs.4 per share for the year ending 31/3/2024.

On 10/1/2025 Shiva sold 7,000 shares @ Rs.40 per share.

Market price on 31<sup>st</sup> March,2025 was Rs.15 per share.

Prepare investments a/c. in the books of Mr. Shiva for the year ended 31/3/2025.

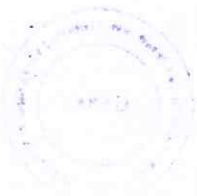
15

04



<b>October 2025</b>		
<b>Examination: End Semester Examination (UG Programmes)</b>		
<b>Programme code: 04</b>	<b>Class: FY</b>	<b>Semester: I</b>
<b>Programme: B.Com (Financial Markets)</b>		
<b>Name of the Constituent College: Dr. Shantilal K. Somaiya School of Commerce and Business Studies</b>		<b>Name of the Department – Financial Markets</b>
<b>Course Code: 146U15I101</b>	<b>Name of the Course: Fundamentals of Economics</b>	
<b>Duration : 2 Hr.</b>	<b>Maximum Marks : 60</b>	
<b>Instructions: 1)Draw neat diagrams 2)Assume suitable data if necessary</b>		

Question No.	All questions are compulsory	Max. Marks	CO
Q1			
A	Define Market Structure to sales manager of your team.	5	2
B	Outline Monopolistic competition in Economics.	5	3
C	Explain BOP to your classmates in college.	5	4
Q 2			
A	Introduce “Kautilya as a management Guru” to your friends as they are unaware of Indian Economy.	7	1
B	Explain Components of Arthashastra book in an International Seminar. OR	8	1
C	Explain Consumer Theory and give its assumptions to your marketing trainee in office.	7	2
D	Prepare a slide on “Marginal Utility with its assumptions” in your class presentation.	8	2
Q 3			
A	Analyze monopoly market with its advantages and limitations for a government department as you are appointed in their research team in an upcoming project.	7	3
B	Do a comparative study with suitable examples on Duopoly and Oligopoly markets for a foreign delegate of your company as they are unaware of Indian markets. OR	8	3
C	Explain fixed cost, variable cost and total cost in economics to your factory manager.	7	3
D	Discuss Perfect Competition and give its advantages in a group discussion in a college event .	8	3
Q4			
A	Prepare a distinction between GDP and NNP for a research study being conducted in your office.	7	4
B	Prepare a power point presentation on “Green GDP” also present its importance for in-depth understanding of classmates. OR	8	4
C	Analyze scope of macro economics in an interview for the panel.	7	4
D	Classify circular flow with diagram of macro-economics to your friend Raj as he is from IT stream and is unaware of the concept.	8	4





**December 2025**

**Examination: End Semester Examination (UG Programmes)**

**Programme code: 04**

**Programme: BFM**

**Class: FY**

**Semester: I**

**Name of the Constituent College: Dr. Shantilal K  
Somaiya School of Commerce and Business Studies**

**Name of the Department: Accounting  
and Finance**

**Course Code: 146U04K101**

**Name of the Course: STATISTICAL TECHNIQUES &  
LOGICAL REASONING**

**Duration: 2 Hr.**

**Maximum Marks: 60**

**Instructions: 1) All questions are compulsory 2) Figures to the right indicate full marks 3) Use of simple calculator is allowed.**

Q1	ATTEMPT ALL QUESTIONS	15	CO																				
1)	Find the compound interest and total amount on ₹10,000 for 2 years at 10% per annum  1. Compounded Annually 2. Compounded Quarterly	5	CO1																				
2)	A coin is tossed thrice. Find probability of getting,  1. Atmost 2 tails 2. Atleast one tail	5	CO3																				
3)	Find Coefficient of Variation  <table border="1" style="width: 100%; border-collapse: collapse;"> <tr> <td>Salary (Thousands)</td> <td>20-40</td> <td>40-60</td> <td>60-80</td> <td>80-100</td> <td>100-120</td> <td>120-140</td> </tr> <tr> <td>Frequency</td> <td>31</td> <td>24</td> <td>26</td> <td>17</td> <td>12</td> <td>4</td> </tr> </table>	Salary (Thousands)	20-40	40-60	60-80	80-100	100-120	120-140	Frequency	31	24	26	17	12	4	5	CO2						
Salary (Thousands)	20-40	40-60	60-80	80-100	100-120	120-140																	
Frequency	31	24	26	17	12	4																	
<b>Q2A</b>	A sum of ₹25,000 is lent out partly at 6% per annum and partly at 10% per annum, both at simple interest. The total annual interest earned is ₹2,100. Find the amount lent at each rate of interest if the total time is 1 year.	7	CO1																				
<b>Q2B</b>	Use Least square method to estimate the value for the year 2010  <table border="1" style="width: 100%; border-collapse: collapse;"> <tr> <td>Year</td> <td>2000</td> <td>2001</td> <td>2002</td> <td>2003</td> <td>2004</td> <td>2005</td> <td>2006</td> <td>2007</td> <td>2008</td> </tr> <tr> <td>Sales(lakhs)</td> <td>8</td> <td>11</td> <td>10</td> <td>14</td> <td>17</td> <td>20</td> <td>21</td> <td>23</td> <td>25</td> </tr> </table>	Year	2000	2001	2002	2003	2004	2005	2006	2007	2008	Sales(lakhs)	8	11	10	14	17	20	21	23	25	8	CO2
Year	2000	2001	2002	2003	2004	2005	2006	2007	2008														
Sales(lakhs)	8	11	10	14	17	20	21	23	25														

**OR**

<b>Q2C</b>	<table border="1" style="width: 100%; border-collapse: collapse; margin-bottom: 5px;"> <tbody> <tr> <td style="width: 15%;">Class Intervals</td> <td style="width: 12.5%;">300-400</td> <td style="width: 12.5%;">400-500</td> <td style="width: 12.5%;">500-600</td> <td style="width: 12.5%;">600-700</td> <td style="width: 12.5%;">700-800</td> <td style="width: 12.5%;">800-900</td> </tr> <tr> <td>Frequency</td> <td>10</td> <td>20</td> <td>40</td> <td>x</td> <td>8</td> <td>6</td> </tr> </tbody> </table> <p>If the Mean of the above data is 560 then find the missing value</p>	Class Intervals	300-400	400-500	500-600	600-700	700-800	800-900	Frequency	10	20	40	x	8	6	7	CO2
Class Intervals	300-400	400-500	500-600	600-700	700-800	800-900											
Frequency	10	20	40	x	8	6											
<b>Q2D</b>	Find the rate of interest compounded annually if an annuity immediate at ₹20,000 per year amounts to ₹2,60,000 in 3 years.	8	CO2														
<b>OR</b>																	
<b>Q3A</b>	<p>Determine the total number of possible arrangements of the letters of the word ALGORITHM such that</p> <ol style="list-style-type: none"> <li>1. Starts with G ends with H</li> <li>2. Vowels are always together</li> <li>3. No two vowels are together</li> </ol>	7	CO3														
<b>Q3B</b>	<p>Blood pressure readings is normally distributed with mean 120 mmHg and Standard deviation 15. Find the probability that a reading is</p> <ol style="list-style-type: none"> <li>1. Above 135</li> <li>2. Below 110</li> </ol>	8	CO3														
<b>OR</b>																	
<b>Q3C</b>	<p>Find the Expected value and Variance for the following p.d.f</p> <table border="1" style="width: 100%; border-collapse: collapse; margin-top: 5px;"> <tbody> <tr> <td style="width: 10%;">X</td> <td style="width: 12.5%;">2</td> <td style="width: 12.5%;">3</td> <td style="width: 12.5%;">5</td> <td style="width: 12.5%;">7</td> <td style="width: 12.5%;">9</td> <td style="width: 12.5%;">11</td> </tr> <tr> <td>P(X)</td> <td>0.2</td> <td>0.15</td> <td>0.1</td> <td>0.15</td> <td>0.3</td> <td>0.1</td> </tr> </tbody> </table>	X	2	3	5	7	9	11	P(X)	0.2	0.15	0.1	0.15	0.3	0.1	7	CO3
X	2	3	5	7	9	11											
P(X)	0.2	0.15	0.1	0.15	0.3	0.1											
<b>Q3D</b>	<p>A die is rolled 6 times, if getting an even number is considered as success, then find the probability of getting</p> <ol style="list-style-type: none"> <li>1. 4 successes</li> <li>2. At most 1 success</li> <li>3. No success</li> <li>4. At least 2 successes</li> </ol>	8	CO3														
<b>Q4A</b>	<p>Find the next term of the following number series, justify your answer</p> <ol style="list-style-type: none"> <li>1. 3, 4, 6, 9, 13, 18, ____</li> </ol>																



	<p>2. 1, 1, 2, 6, 24, 120, ____</p> <p>3. 6, 10, 15, 21, 28, ____</p> <p>4. 2, 3, 5, 9, 17, 33, ____</p>	8	CO4
<b>Q4B</b>	<p>Pointing to a photograph, Rina says: "He is the husband of my mother's brother's only sister-in-law's son."</p> <p>Rina has only one maternal uncle, and her mother has only one brother.</p> <p>Question: How is the man in the photograph related to Rina? Justify your answer</p>	7	CO4
<b>OR</b>			
<b>Q4C</b>	<p>There are 6 Red, 9 Blue and 5 Green Balls in a bag. Two balls are selected at random.</p> <p>Find the probability that the selected balls are</p> <ol style="list-style-type: none"><li>1. Both red</li><li>2. One blue and One green</li><li>3. Both red or blue</li><li>4. Not green</li></ol>	8	CO4
<b>Q4D</b>	<p>Find the next term with justification.</p> <ol style="list-style-type: none"><li>1. 2, 5, 10, 17, 26, ____</li><li>2. 0, 1, 1, 2, 3, 5, 8, ____</li><li>3. 5, 9, 10, 18, 15, 27, ____</li></ol>	7	CO4

