



Kot Bhalwal, Jammu



Model Institute of Engineering
& Technology (Autonomous)
Course Handout

COURSE HANDOUT

Introduction to Financial Markets (BFSMJ- 402)

BBA BFSI -4th SEMESTER

ACADEMIC YEAR (2024-25)

Dr. Paramdeep Kour

Assistant Professor

U.G School of Management



U.G. School of Management

Model Institute of Engineering & Technology (Autonomous)

Kot Bhalwal, Jammu - 181122

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Dr. Arun K. Gupta Teaching-Learning Centre

Version 1.1



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Course Code	Course Name	Course Type	Cd	L	T	P	Marks		
							Sessional	Final Exam	Total
BFSMJ- 402	Introduction to Financial Market	Major	4	4	0	0	40	60	100

COURSE OUTCOMES

At the end of the course the student will be able to:	
CO1	Describe the structure of financial system.
CO2	Explore the various participants and instruments of money market.
CO3	Analyze the role of stock exchanges in India and SEBI's strategies for investor protection
CO4	Assess the processes and regulations involved in corporate IPOs and listing requirements
CO5	Evaluate the functions and evolution of secondary markets in India.

Detailed Syllabus

Section A

Unit I: Introduction: An Introduction to Financial System, its Components – Financial Markets, and Institutions. Financial Intermediation, Financial System and Economic Development, An Overview of Indian Financial System. Financial Sector Reforms since liberalization 1990-91.

(10 Hrs)

Unit II: Money Market: Meaning, Functions, Players and intermediaries, Instruments - treasury bills, commercial paper, commercial bills, certificate of deposit, Call money market, corporate funding through money market

(09 Hrs)

Unit III: Capital Markets: Introduction, role and functions. Components of Capital market. Instruments of Capital Markets, Primary and Secondary Markets, Role of Stock Exchanges in India. SEBI and Investor Protection

(09 Hrs)

Section B

Unit IV: Primary market: Constituents, Instruments, Financial intermediaries, Issue process, Fixed pricing, Book building and its process, Sourcing from international capital markets, corporate requirements of listing and other issue procedures and regulations as prescribed under Companies Act and SEBI Regulations, Different types of Prospectuses used in corporate IPO, Marketing initiatives for IPO, Preparation of prospectus.

(10 Hrs)

Unit V: Secondary markets: Meaning, Development of secondary markets in India, Constituents stock exchanges and its functions, Brokers, Functions of trading and settlement procedure-Stock Exchanges in India-BSE, NSE, OTCEI, Internet trading, Commodity, currency and other emerging exchanges, Depository System, Indian depositories and Depository participants.

(10 Hrs)

Textbooks

S. No	Name of the Books	Name of the Author	Publisher Name	Edition (Pub.Yr.)
1	Financial Markets and Institutions	Gurusamy,S. ,	Tata Mc-Graw Hill	3rd (2011)
2.	Financial Markets and Institutions	Frederic S. Mishkin and Stanley Eakins	Pearson Education	8th (2017)

Reference Books

S. No	Name of the Books	Name of the Author	Publisher Name	Edition (Pub.Yr.)
1	Indian Financial System	Khan M. Y	Tata McGraw Hill	11th (2019)





COURSE PLAN		
Unit-I Introduction		
S. No	Topics	Recommended Books / Links
1	Introduction: An Introduction to Financial System	Book1, Ch. 1
2	Financial System its Components – Financial Markets, and Institutions. Financial Intermediation	Book 1, Ch. 1
3	Financial System and Economic Development	Book 1, Ch. 1
4	An Overview of Indian Financial System	Book 1, Ch. 1
5	Financial Sector Reforms since liberalization 1990-91.	Book 1, Ch. 8
Unit-II Money Market		
6	Money Market: Meaning, Functions	Book 1, Ch 4
7	Players and intermediaries	Book 1, , Ch 4
8	Instruments - treasury bills	Book 1, Ch 4
9	Commercial paper, commercial bills	Book 1, Ch 4
10	Certificate of deposit	Book 1, Ch 4
11	Call money market	Book 1, Ch 4
12	Corporate funding through money market	Book 1, Ch 4
Unit-III Capital Markets		
13	Capital Markets: Introduction, role and functions.	Book 1, Ch 6
14	Components of Capital market	Book 1, Ch 6



15	Instruments of Capital Markets	Book 1, Ch 6
16	Primary and Secondary Markets	Book 1, Ch 6
17	Role of Stock Exchanges in India	Book 1, Ch 8
18	SEBI and Investor Protection	Book 1, Ch 8
Unit-IV Primary market		
19	Primary market: Constituents, Instruments	Book 1, Ch 6
20	Financial intermediaries, Instruments,	Book 1, Ch 6
21	Issue process, Fixed pricing	Book 1: Chapter 15
22	Book building and its process	Book 1, Ch 6
23	Sourcing from international capital markets	Book 1, Ch 6
24	Corporate requirements of listing and other issue procedures and regulations as prescribed under Companies Act	Book 1, Ch 6
25	Different types of Prospectuses used in corporate IPO	Book 1, Ch 8
26	SEBI Regulations	Book 1, Ch 6
27	Marketing initiatives for IPO	Book 1, Ch 8
28	Preparation of prospectus	Book 1, Ch 8
Unit-V Secondary markets		
29	Secondary markets: Meaning, Development of secondary markets in India	Book 1, Ch 8
30	Constituents stock exchanges and its functions	Book 1, Ch 8
31	Brokers	Book 1, Ch 8
32	Stock Exchanges in India-BSE, NSE, OTCEI	Book 1, Ch 8
33	Internet trading	Book 1, Ch 8
34	Commodity, currency and other emerging exchanges	Book 1, Ch 20
35	Depository System	Book 1, Ch 18
36	Indian depositories, Depository participants	Book 1, Ch 18



ADDITIONAL WEB RESOURCES

1	MOOC: Financial Institutions and Markets https://onlinecourses.nptel.ac.in/noc20_mg10/preview
2	Coursera: Introduction to Financial Markets https://www.my-mooc.com/en/mooc/introduction-to-financial-markets

GRADING AND ASSESSMENT

- **Sessional Test:** 20 marks
- **Assignment:** 10 marks
- **Attendance:** 10 marks
- **Final Examination:** 60 marks

COURSE POLICIES

- **Attendance:** Minimum 75% attendance is mandatory to appear in the final examination of the course.
- **Academic Integrity:** MIET's academic integrity policies apply. Plagiarism will not be tolerated.
- **Late Submissions:** Assignments and projects must be submitted by the specified timelines.

FACULTY INFORMATION

- **Office Hours**
Monday- Friday (2:30 PM – 03:30 PM)
- **Contact Information**
paramdeep.bcom@mietjammu.in