



**M.Com. (Semester – I) Examination, April 2018**  
**COC 104 : CAPITAL MARKETS (OA – 18)**

Duration : 3 Hours

Max. Marks : 60

- Instructions :**
- 1) This paper consists of **nine** questions carrying **equal** marks.
  - 2) Question No. **1** consists of **5 compulsory** questions of **2 marks each**.
  - 3) Answer **any 5** questions from Question **2, 3, 4, 5, 6, 7, 8** and **9**.
  - 4) **Each** question carries **10** marks. Figures to the **right** indicate marks.

1. Answer the following short questions in brief : (5×2=10)
    - a) What is the difference between investment planning and financial planning ?
    - b) Which are the different types of investors in the securities markets ?
    - c) What is BSE Indonext ?
    - d) Explain the concept of Market making.
    - e) What is rolling settlement ?
  2. Explain the functions of the various market intermediaries in a public issue. 10
  3. If you are a risk averse investor and you are given a sum of Rs. 5,00,000 to invest, which of the alternatives would you choose for investment ? 10
  4. What are margins ? Explain the different types of margins imposed by NSE as a risk containment measure. 10
  5. What are the different types of orders and conditions permitted by the NEAT system ? 10
  6. What are ADRS and GDRs ? Explain their features and advantages. 10
  7. Explain the listing norms for companies intending to list on NSE. 10
  8. Explain the provisions of SEBI with reference to prohibition of Insider Trading. 10
  9. What is VIX ? Elaborate on the other developments in the Securities Markets. 10
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