



M.Com. (Semester – I) Examination, November 2015
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 question in brief. (5×2=10)
 - a) What is Reverse Book Building ?
 - b) Define the term 'Under Writing'.
 - c) Explain Circuit Breaker at NSE.
 - d) What is mark-to market margin ?
 - e) What is an offer document ?
2. What is Investment ? Explain the important features of Investment. 10
3. What is a Stock Exchange ? Explain the role of Stock Exchange in the development of securities market. 10
4. What is American Depository Receipt and Global Depository receipt ? Give the advantages of American Depository Receipt and Global depository Receipt. 10



5. What are the different types of orders and conditions permitted by NEAT System ? 10
 6. What do you mean by margins ? Explain the different types of margins in surveillance system on NSE. 10
 7. Who are the regulators in the Indian Securities Market ? Explain how they help in efficient and fair functioning of stock exchanges. 10
 8. Explain the provisions of SEBI with reference to SEBI (Intermediaries) regulation. 10
 9. What do you understand by listing of securities ? Discuss the advantages and disadvantages of listing. 10
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