



RPN – 05

**M.Com. (Semester – I) Examination, November 2016**  
**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. Figure to **right** indicate marks.

1. Answer the following question in brief : (5x2=10)
- a) What do you mean by Red Herring Prospectus ?
  - b) What are the three main objectives of SEBI ?
  - c) What is a contract note ?
  - d) Who is an Anchor Investor ?
  - e) What is free float concept ?
2. What are the various reforms undertaken in recent times in the Indian securities market ? 10
3. Explain the provisions of SEBI with reference to prohibition of insider trading. 10
4. Explain the various features of NEAT Trading System on NSE. 10
5. Describe the process of book building and how is it better as compared to other traditional methods of raising an IPO. 10
6. What are the various forms of investment alternatives available in India for investment ? 10
7. Explain the meaning, features and advantages of Global Depository receipts. 10
8. Explain the working mechanism of auctions on the stock exchange. 10
9. What are the various risk containment measures taken at NSE ? 10
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