



M.Com. (Semester – I) Examination, November 2017

COC104 : 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) Mention 4 functions of a stock exchange.
  - b) Mention 4 benefits of depository services.
  - c) What is IPO grading ?
  - d) What is insider trading ?
  - e) Mention 4 functions of SEBI.
2. 'Primary and secondary markets are complementary, but their organizational structures are different'. Explain. 10
3. How does book building process differ from private placement ? Explain. 10
4. Explain the clearing and settlement process followed by NSCCL with the help of a diagram. 10
5. What are the various investment alternatives that an investor should choose to design a well diversified portfolio ? Explain. 10
6. What are the risk containment measures adopted by stock exchanges to reduce market and operational risk ? 10
7. What are the minimum listing requirements for companies to list their shares on NSE ? 10
8. What are the recent developments in the Indian Securities markets ? 10
9. How does SEBI regulate the primary market ? Explain. 10
-