

M.Com. (Semester – I) Examination, April 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 questions in brief : (5x2=10)
 - a) List out pre-issue and post-issue tasks.
 - b) What is Contract Note ?
 - c) Who is an Anchor Investor ?
 - d) List out the causes of compulsory and voluntary delisting.
 - e) What do you mean by Demutualisation of Stock Exchange ?
2. What are Auctions on the Stock Exchange ? Explain its working mechanism. 10
3. Explain the listing norms for companies intend to get listed on BSE. 10
4. Explain the surveillance activities of National Stock Exchange. 10
5. Explain the mechanism of order management on NSE. 10
6. What are the functions of Stock Exchanges ? Explain the criteria to avail Membership of the Exchange. 10
7. Highlight on the provisions of SEBI (Intermediaries) Regulations 2008. 10
8. Assume yourself to be an aggressive investor, given a sum of Rs. 1,50,000 to invest, which of the alternatives you would choose for investment ? 10
9. Explain the process of issuing ADRs. 10