



SDV – 03

M.Com. (Semester – I) Examination, November 2012
CO103 : CAPITAL MARKETS

Duration : 2 Hours

Max. Marks : 50

Instructions : 1) *All questions are compulsory.*
2) *Figures to the right indicate marks.*

1. Answer the following : (5x2=10)
- a) Online IPO
 - b) Bad delivery
 - c) Sensex
 - d) ADR's
 - e) Objectives of SEBI.
2. A) Discuss the parties involved in the issue of shares in the stock market. (10)
- OR
- B) What is listing ? Discuss the advantages and limitations of listing. (10)
3. A) Write a note on the surveillance activities of BSE. (10)
- OR
- B) What is the purpose of Stock Market Index ? Explain the factors to be taken into consideration in construction of stock market index. (10)
4. A) What is market making ? Explain the role of market maker in OTC market. (10)
- OR
- B) Write a note on ECN and Order entry firms on NASDAQ. (10)
5. A) What is demutualization ? Discuss the need and process of demutualization. (10)
- OR
- B) Explain briefly SEBI's Insider Trading Regulations. (10)
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