



SRN – 34

**M.Com. (Semester – I) Examination, April/May 2018**  
**COC 104 : CAPITAL MARKETS (OA – 18)**

Duration : 3 Hours

Total 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 : (5×2=10)
  - a) What do you mean by Red Herring Prospectus ?
  - b) Distinguish between investment and speculation.
  - c) What do you mean by application supported by blocked amount ?
  - d) Give three objectives of SEBI.
  - e) Distinguish primary market and secondary market.
2. What is investment process ? Explain different stages involved in investment process. 10
3. What are the various reforms undertaken in recent times in the Indian securities market ? 10
4. What is listing of shares ? What are the minimum requirements for listing of shares on the NSE ? 10
5. Explain the various features of NEAT trading system on NSE. 10
6. Explain the provisions of SEBI with reference to prohibition of insides trading system. 10
7. 'A sound risk management system is integral to an efficient settlement system.' Explain. 10
8. Discuss the various intermediaries in the new issue market. 10
9. What is the role of secondary markets in Indian capital markets ? 10