



M.Com (Semester – I) Examination, November 2014
COC104 : 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 are the objectives of investment ?
 - b) What is VIX ?
 - c) What do you mean by Price Band in a book building process of IPOs ?
 - d) Explain the Limit Order with an illustration.
 - e) What is Insider Trading ?
2. What is Listing ? Briefly discuss the pre-requisites of Listing on NSE. 10
3. Highlight on the recent developments in Indian Securities Market as of 2014. 10
4. What are ADRs ? How does it benefit the issuers and the investors ? 10
5. Explain the process of trading and settlement on National Stock Exchange. 10
6. Explain the steps initiated by BSE for risk containment. 10
7. Explain the functions of market intermediaries in a public issue. 10
8. Explain the provisions of SEBI with reference to Prohibition of Fraudulent and Unfair Trade Practices. 10
9. Assume yourself to be a risk averse investor, given a sum of Rs. 1,00,000 to invest, which of the alternatives you would choose for investment ? 10