

Q. P. Code: 30962

Time: $2\frac{1}{2}$ Hours

Marks: 75

Q.1.a. Fill in the blanks: (Any 08)

08

1. SEBI stands for _____.
2. _____ is that part of the Capital Market that deals with the issue of new securities.
3. _____ is a market where buyers and sellers engage in trade of financial securities.
4. There are _____ stock exchanges at present in India.
5. _____ is the document evidencing a debt or acknowledging it and any document which fulfills either of these conditions.
6. IOSCO stands for _____.
7. PFRDA stands for _____.
8. The persons registered with SEBI as Debenture Trustee under SEBI (Debenture Trustee) Regulations, 1993 are only eligible to be appointed as _____ of collective investment schemes.
9. _____ is the instrument issued by companies only and can also be obtained in primary or secondary market.
10. FCEB stands for _____.

Q.1.b. State whether the following is true or false: (Any 07)

07

1. The Capital Market has two interdependent and inseparable segments, the primary market and the secondary market
2. The Collective Investment Management Company should not undertake any activity other than that of managing the scheme
3. Equities are also known as common stock.
4. ADR are denominated and traded in US Dollar
5. The first mercantile credit agency was set up in New York in 1859.
6. The Stock Exchanges at Chennai, Jaipur, Hyderabad and Pune were incorporated as companies limited by guarantee.
7. NSE was established in 1994.
8. Sensex was the oldest market index for equities in India.
9. SEBI became independent body in 1993.

Q.2.a. State the different instruments of Capital Market. Explain.

08

b. State the functions of Capital Market.

07

OR

c. What are the different features/ nature of credit ratings?

15

Q.3.a. State different types of securities and deliveries in stock exchange.

08

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b. Write in brief trading mechanism of capital market.

07

OR

c. What are the functions of Stock exchange?

15

Q.4.a. What are the conditions of eligibility for collective investment scheme?

15

OR

b. Explain the appointment of intermediaries involved in Euro issues in depository receipts.

15

Q.5.a. Explain the manner and form, voting rights and proceeds of issue of depository receipts under Companies (Issue Of Global Depository Receipts) Rules, 2014.

08

b. What is depository receipts? Why do company issue depository receipts.

07

OR

Q.5. Write short notes on: (Any 03)

15

a. Explain market making

b. Advantages of credit ratings to the company.

c. ADR and GDR

d. DMA

e. Two way fungibility.
