Duration: 2.5 hours	Marks: 75
N.B.: 1. All questions are compulsory.	
2. Figures to the right indicate marks.	
O1 A P'11 '- (L. 1.1	0 1 41
Q1. A. Fill in the blanks: (Any 8)	8 Marks
1shows the relationship between stock price & company earnings.	
a. P/B ratio	
b. P/S ratio	
c. P/E ratio	
d. EPS	
2. The screen based trading system introduced by the BSE is called as	•
a. BOLT	
b. NEAT	
c. Bloomberg	
d. Reuters	
3. The law governing companies in India is	
a. Indian Companies Act 1956	
b. Company Law Board	
c. Securities and Contract Regulation Act, 1956	
d. Industrial Disputes Act, 1932	
d. Industrial Disputes Act, 1932	
4 is when company issues shares to a select group of people preferable	ly 50 or less.
a. Initial Public Offering	•
b. Private Placement	
c. Rights Issue	
d. Sweat Equity	
u. Sweat Equity	
5. The BSE Sensex is value weighted index comprising of stocks	
a. 30	
b. 50	
c. 75	
d. 100	
6 relies on charts on past data and volume.	
a. Fundamental Analysis	
b. Technical Analysis	
c. Value Analysis	
d. None of the above	
7 refers to amount of profits retained by the company for business	nurnose
a. Dividend Payout Ratio	harbone.
b. Retention Ratio	
c. Yield	
d. Volume	

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8. According to approach, the cost of equity shares is based upon tunchanged earnings earned by the company.	he stream of	
a. Earnings to Price		
b. PE c. Dividend Cover		
d. Price to book value		
d. Frice to book value		
9holds securities in dematerialized from for the investors.		
a. clearing banks		
<ul><li>b. depositories</li><li>c. custodians</li></ul>		
c. custodians d. clearing members		
d. Clearing members		
10 help in advising the company and identifying share issue price for	an IPO	
a. Merchant Banker		
b. Primary Dealer		
c. Broker		
d. Stock Exchange		
B. State whether True or False: (Any 7):	7 Marks	
1. SEBI has power to provide license to dealers & brokers of capital market.		
2. SEBI came into existence on 1 <sup>st</sup> April 1935.		
3. A clearing member can also be a trading member		
4. NSE began operations in 1994.		
5. Share prices would gradually increase during recovery conditions and fall duri	ng recession.	
6. NSCCL settles trades executed at the NSE.		
7. Support levels are prices where selling is thought to be strong enough to p	revent prices	
from rising higher.		
8. According to circuit breaker system of the SEBI, if market volatility crosses a	certain limit,	
trading will be stopped for a defined time period.		
9. Fundamental analysis performs in depth study on company financials and ratio	analysis.	
10. RBI is the regulator of the equity markets.		
Q2. A. What is Disinvestment? What are its benefits?	8 Marks	
B. Explain Registrar and Transfer Agents and their regulatory role.	7 Marks	
b. Explain Registral and Transfer Agents and their regulatory lote.	/ IVICII KIS	
OR		
C. Define share price volatility. Explain its types.	8 Marks	
D. Explain the powers and functions of SEBI in the equity markets.	7 Marks	
	4	
Q3. A. What is Fundamental Analysis? What are its strengths and weaknesses?	8 Marks	
B. Explain Technical Analysis and the various chart patterns.	7 Marks	
OR		
C. What are the feetors offeeting share with 20	Q Mortes	
C. What are the factors affecting share prices?	8 Marks	
D. Explain the IPO Process in detail.	7 Marks	

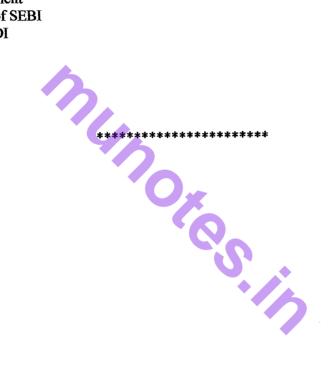
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Q4. A. Explain the Brownian Motion and its limitations.	8 Marks
B. Explain the three forms of the Efficient Market Hypothesis.	7 Marks
OR	
C. Explain the stochastic models in equity markets.	8 Marks
D. Explain the concept of Beta in the equity markets.	7 Marks
Q5. A. State the procedure of buying & selling of shares	8 Marks
B. Explain the objectives and the types of market in the NEAT system	7 Marks

## OR

- Q5. Write short notes on: (Any three) 15 Marks
- a. Brokers
- b. BSE BOLT
- c. Private Placement
- d. Constitution of SEBI
- e. Benefits of FDI



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