

2019
CAPITAL MARKETS

Marks: 70

Time: 3 hours

General instructions:

- i) *Approximately 15 minutes is allotted to read the question paper and revise the answers.*
- ii) *The question paper consists of 24 questions. All questions are compulsory.*
- iii) *Marks are indicated against each question.*
- iv) *Internal choice has been provided in some questions.*

N.B: *Check that all pages of the question paper is complete as indicated on the top left side.*

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| 1. Define secondary market. | 1 |
| 2. Define securities. | 1 |
| 3. Who is a stock broker? | 1 |
| 4. How is the net worth of the member calculated in NSE? | 1 |
| 5. What is online back-up? | 1 |
| 6. Define the term co-location. | 1 |
| 7. Define dealing in securities. | 1 |
| 8. What is a ratio? | 1 |
| 9. Write any two main objectives of SEBI. | 2 |
| 10. Write any two eligibilities for a person to become trading members of exchange. | 2 |
| 11. State the two key terminologies used in clearing and settlement process in pay in day. | 2 |
| 12. What are the two types of capital gain? | 2 |
| 13. Define current ratio. What does it measure? | 1+1=2 |
| 14. Explain the key indicators of securities market. | 4 |
| 15. Write any four grounds on which there can be suspension on the basis of un-business like conduct. | 4 |

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| 16. | State four features of activity log. | 4 |
| 17. | Explain the process of settlement of funds in settlement cycle. | 4 |
| 18. | Explain any four deliveries reports downloaded for clearing members. | 4 |
| 19. | State any four information which are deemed to be price sensitive information. | 4 |
| 20. | State any four types of turnover ratios. | 4 |
| 21. | a. Explain the six consequences in case of expulsion to a trading member.
Or
b. Write any six code of advertisement prescribed by the exchange to the trading members. | 6 |
| 22. | a. Explain the different market phases of a trading day.
Or
b. Explain any six windows displayed on traders work station screen. | 6 |
| 23. | a. Explain any six order books in the NEAT system.
Or
b. State any six online help facility of NEAT system. | 6 |
| 24. | a. Discuss the steps in transaction cycle with diagram.
Or
b. Write any six levy of margin for institutional deals. | 5+1=6
(6) |
