



III Semester M.Com. Examination, December 2015
(CBCS Scheme)
COMMERCE
FB 3.2 : Financial Markets

Time : 3 Hours

Max. Marks : 70

Instruction : Answer all Sections.

SECTION – A

1. Answer **any seven** sub questions. **Each** sub question carries **two** marks. (7×2=14)
- What is meant by 'insider trading' ?
 - Mention two functions of issue managers.
 - What do you mean by 'red herring' prospectus ?
 - What is the difference between GDR and ADR ?
 - Outline the important features of 'offer document'.
 - Mention two listing requirements of Luxemburg stock exchange.
 - Expand NASDAQ.
 - What is zaraba ?
 - Mention two objectives of establishing SEBI.
 - What do you mean by 'book building' ?

SECTION – B

- Answer **any four** questions. **Each** question carries **five** marks. (4×5=20)
- Write an explanatory note on 'private placement'.
 - What are the listing requirements of NASDAQ ?
 - Describe clearing and settlement procedures of NSE.
 - Briefly explain the role of underwriters in capital market.
 - Outline the SEBI guidelines on insider trading.
 - Describe the working of primary market.



SECTION – C

Answer **any three** questions. **Each** question carries **twelve** marks.

(3×12=36)

8. Explain the listing procedures and functions of OTCEI.
 9. Explain the working of New York and Tokyo stock exchanges.
 10. Write a detail note on Indian Financial system. What are your suggestions for improvement ?
 11. Explain the role of SEBI in regulating and controlling stock exchanges in India.
 12. Write short notes on :
 - a) Sensex
 - b) Screen based trading
 - c) German stock exchange.
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