

SYBIM  
-SYBBI (SEM III)  
Fundamental of Capital Market

18-10-22

Marks: 75



Time: 2 ½ Hrs.

- N.B.: 1. All questions are compulsory subject to internal choice.  
2. Figures to right indicate full marks

Q.1.A. Multiple Choice question: (any 8)

1. National stock exchange of India is incorporated in the year \_\_\_\_\_.
- a. 1990  
b. 1991  
c. 1992  
d. 1994
2. Which is not an instrument of Capital Market?
- a. Reserve Bank of India (RBI)                      b. Shares.  
c. Debentures    d. Bond
3. When was SEBI formed?
- a. 12 April 1993    b. 12 April 1992  
c. 12 May 1993    d. 12 May 1992
4. Depository receipt is a type of \_\_\_\_\_ financial security.
- a. Negotiable    b. Non Negotiable  
c. Bearer    c. Register
5. FCCB involves \_\_\_\_\_ Company.
- a. Only one    b. Atleast one  
c. More than one    c. Atleast Two
6. How many stock exchanges are in India?
- a. 22  
b. 23  
c. 24  
d. 21
7. Which is the biggest stock exchange in India?
- a. Bombay Stock Exchange                          b. Kolkata Stock Exchange  
c. National Stock Exchange                          d. Regional Stock Exchange
8. If the company sells securities to institutional investors or brokers instead of selling them to the general public then it is called?
- a. Right Issue    b. Offer for sale  
c. Private Placement                                      d. General issue
9. Which of these is not a part of capital receipt?
- a. Recovery of loan    b. Disinvestment  
c. Borrowing    d. Tax
10. How many sweat equity shares can be issued by the company?
- a. 10%  
b. 15%  
c. 20%  
d. 25%

(8)

B. State whether the following statement are true or false: (any 7)

1. National stock exchange of India is the largest financial market.  
2. Bonds are not instrument of capital market.  
3. The main duty of SEBI is to regulate the Indian capital market.  
4. ADR and GDR is the same depository receipt.  
5. FCEB involves atleast one companies.  
6. Calcutta stock exchange in Kokatta is a smaller stock exchange.

(7)

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7. Sweat equity is always non taxable.
8. The price of a security reflects the value of the assets underlying it.
9. Segregation is made up of three dimensions.
10. The owner of ordinary shares is not guaranteed a dividend.

- Q.2 a. Explain Types of Capital Market. (8)  
b. Distinguish between Primary market and Secondary Market. (7)

OR

- c. Explain Capital Market Instruments. (8)  
d. Elaborate Rating and Grading of Instruments. (7)

- Q.3. a. What are the Significance of Stock Exchange? (8)  
b. What do you mean by Trading Mechanism of Stock Exchange? (7)

OR

- c. What do you mean by trading of Partly paid shares and debentures. (8)  
d. What do you mean by Trading Volume? (7)

- Q.4. a. Explain Investment and segregation of fund. (8)  
b. Write a Content of Trust Deed. (7)

OR

- c. Explain procedures for launching of scheme. (8)  
d. Explain winding up of scheme. (7)

- Q.5. a. Explain in detail: Foreign Currency Exchange Bond. (8)  
b. Distinguish between FCCB- FCEB (7)

OR

- Q.5. Write a short note on any 3 (15)  
a. SEBI  
b. Global Finance  
c. Convertible Bond  
d. Ordinary Shares  
e. Two-way Fungibility Scheme

