

14/10/19.



Q-1) a) State whether following statements are True or False: (Any 8) (8)

1. Put Options agreement is made to sell underlying asset.
2. Maintenance Margin is compulsory to maintain in Future trading account.
3. Depository Receipts are issued by depository bank on behalf of Indian company.
4. Secondary market is regulated by RBI.
5. Non-Cumulative preference shares have no claim for the arrears of dividend.
6. Board resolution is not required to issue GDR OR FCCBs.
7. Depository is a firm where in the securities of an investor are held in electronic form.
8. In FCEB principal and interest is paid in country's local currency.
9. Preference share holders get second preference after equity holders.
10. Over the counter exchanges are regulated by SEBI.

b) Match the following: (Any 7) (7)

A	B
1) SEBI	a) Payment on the same day
2) Ex- date	b) Delivery after delivery period
3) Special Delivery	c) Borrowed funds
4) Hand Delivery	d) Regulator of Capital market
5) RBI	e) Straight Through Processing
6) Margin Trading	f) Delivery on the date decided by stock exchange
7) Record date	g) Amount of deposit to be given for trade
8) STP	h) Regulator of banking industry
9) Margin Money	i) Date decided for eligibility of dividend payment
10) Spot Delivery	j) Non liability for dividend payment after this date

Q-2) a) Differentiate between Futures and Forward Market. (8)

Q-2) b) Write types of Regulators in Financial Market. (7)

OR

Q-2) c) Explain features of Primary Market. (8)

Q-2) d) Why Stock Exchange is important for Equity Market? (7)

Q-3) a) What are the Types of Debentures? (8)

Q-3) b) Write Characteristics of Derivatives Market. (7)

OR

Q-3) c) How Straight Through Processing is Beneficial for market? (8)

Q-3) d) Elaborate characteristics of Market Makers. (7)

Q-4) a) What are the factors affecting credit ratings and credit scores of the company? (8)

Q-4) b) Describe importance of Depository System in financial market. (7)

OR

Q-4) c) Elaborate Short Selling. (8)

Q-4) d) Explain intermediaries involved in issuance of GDR. (7)

Q-5) a) How FCCB is beneficial for the investors? (8)

Q-5) b) What is the procedure for termination of Trusteeship agreement? (7)

OR

Q-5) c) Write Short Notes: (Any 3) (15)

1) Features of Equity Shares

2) ADR

3) Direct Market Access

4) Margin Trading

5) Trend Line