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.

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**

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 **6**

b. Write any six code of advertisement prescribed by the exchange to the trading members.

22. **a.** Explain the different market phases of a trading day.

Or **6**

b. Explain any six windows displayed on traders work station screen.

23. **a.** Explain any six order books in the NEAT system.

Or **6**

b. State any six online help facility of NEAT system.

24. **a.** Discuss the steps in transaction cycle with diagram. **5+1=6**

Or

b. Write any six levy of margin for institutional deals. (6)

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