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Total No. of Pages : 02

Total No. of Questions : 09

**M.Com. (Professional) (2016 to 2017) (Sem.-4)****SECURITIES MARKET OPERATIONS**

Subject Code : MCOPFA-405

M.Code : 72497

Time : 3 Hrs.

Max. Marks : 80

**INSTRUCTION TO CANDIDATES :**

1. SECTIONS-A, B, C & D contains TWO questions each carrying FIFTEEN marks each and students has to attempt any ONE question from each SECTION.
2. SECTION-E is COMPULSORY consisting of TEN questions carrying TWENTY marks in all.

**SECTION-A**

1. What are the functions of Indian Securities Markets? What role is played by various intermediaries in the growth and development of the financial markets?
2. What is merchant banking all about? Examine the role of Merchant Banker in issue management.

**SECTION-B**

3. Explain the various types of trading platforms in BSE and NSE.
4. What steps have been taken by NSE and BSE for the development of efficient trading systems in the stock exchanges?

**SECTION-C**

5. What are the salient features of the SEBI guidelines relating to the functioning of new issue market?
6. Describe the steps taken by SEBI for the protection of the interests of the investors.

**SECTION-D**

7. What are the functions of OTCEI? Explain the procedure of listing and trading on OTCEI.
8. What role is being played by FIs in the Indian stock markets? Explain the RBI regulations for regulating FIs.



**SECTION-E**

**9. Write short notes on the following :**

- a) Listing of securities
- b) Participatory Notes
- c) NIFTY
- d) Wholesale market segment
- e) Commodity Market
- f) SEBI
- g) Merchant Banker
- h) Lead Manager
- i) Circuit filter
- j) Short Delivery

**NOTE : Disclosure of Identity by writing Mobile No. or Making of passing request on any page of Answer Sheet will lead to UMC against the Student.**