

**DURATION : 2.5 hrs**

**MARKS: 75**

**All questions are compulsory**

**Figures to the right indicate full marks.**

- |            |                                     |   |           |
|------------|-------------------------------------|---|-----------|
| <b>Q.1</b> | <b>A</b>                            | What are the various groups of shares in the Bombay stock Exchange?   | <b>8</b>  |
|            | <b>B</b>                            | What is a preference share? Explain its types                         | <b>7</b>  |
| <b>OR</b>  |                                     |   |           |
| <b>Q.1</b> | <b>C</b>                            | What is an equity share? Explain its types                            | <b>8</b>  |
|            | <b>D</b>                            | Explain the various intermediaries involved in the Secondary market?  | <b>7</b>  |
| <b>Q.2</b> | <b>A</b>                            | What is merchant bank? Explain the growth of merchant banks in India. | <b>8</b>  |
|            | <b>B</b>                            | What is book Building? Explain its process in brief.                  | <b>7</b>  |
| <b>OR</b>  |                                     |   |           |
| <b>Q.2</b> | <b>C</b>                            | What is listing ? What are its advantages?                            | <b>8</b>  |
|            | <b>D</b>                            | Explain ADRS & GDRS   | <b>7</b>  |
| <b>Q.3</b> | <b>A</b>                            | Explains short selling, lending & borrowing                           | <b>8</b>  |
|            | <b>B</b>                            | What are the rights & obligations of an investor ?                    | <b>7</b>  |
| <b>OR</b>  |                                     |   |           |
| <b>Q.3</b> | <b>C</b>                            | What are the details to be provided in the client registration form.  | <b>8</b>  |
|            | <b>D</b>                            | Who is a broker? What are the responsibilities of a broker?           | <b>7</b>  |
| <b>Q.4</b> | <b>A</b>                            | Write a note on NSE.  | <b>8</b>  |
|            | <b>B</b>                            | Explain what is a SRO.  | <b>7</b>  |
| <b>OR</b>  |                                     |   |           |
| <b>Q.4</b> | <b>C</b>                            | Explain the tips of trading for beginners.                            | <b>8</b>  |
|            | <b>D</b>                            | Explain the objectives of SEBI.                                       | <b>7</b>  |
| <b>Q.5</b> | <b>Write short notes on (any 3)</b> |   | <b>15</b> |
|            | <b>1.</b>                           | Contract note   |           |
|            | <b>2.</b>                           | Pay-in and Pay-out day  |           |
|            | <b>3.</b>                           | Price –Band   |           |
|            | <b>4.</b>                           | Secondary market  |           |
|            | <b>5.</b>                           | Auction   |           |