23CSU624N

PSG COLLEGE OF ARTS & SCIENCE
(AUTONOMOUS)

BCom(CS) DEGREE EXAMINATION MAY 2026
(Sixth Semester)

Branch – **CORPORATE SECRETARYSHIP**

SECURITIES LAWS AND FINANCIAL MARKETS

Time: Three Hours | Maximum: 75 Marks

SECTION-A (10 Marks)

Answer **ALL** questions

ALL questions carry **EQUAL** marks (10 × 1 = 10)

Module No.	Question No.	Question	K Level	CO
1	1	Who participate in both capital and money markets? (i)Stock brokers (ii)Depostitories (iii)credit rating agency (iv)commercial banks	K1	CO1
	2	Show the derivative in the following (i)future and options (ii)treasury bills (iii)commercial paper (iv)certificate of deposit	K2	CO1
2	3	Which year Securities Contract Regulation Act was passed (i)1956 (ii)1967 (iii)1976 (iv)1965	K1	CO2
	4	Relate the body which recognises stock exchanges under SCRA (i)SEBI (ii)State government (iii)RBI (iv)central government	K2	CO2
3	5	Which of the following does primary market deal with? (i)trading of existing securities (ii)Derivatives only (iii)Government bonds (iv) New issue of securities	K1	CO3
	6	Show the intermediary responsible for underwriting in the primary market (i)Depositories (ii)Stock brokers (iii)credit rating agencies (iv)Merchant bankers	K2	CO3
4	7	Which body handles clearing and settlement at NSE? (i) BSE (ii)NSCCL (iii)RBI (iv)SEBI	K1	CO4
	8	Infer the meaning of compulsory rolling settlement at BSE (i)Trades settled weekly (ii)Trades settled monthly (iii) Trades settled daily (iv)Trades settled annually	K2	CO4
5	9	Which of the following is a credit rating agency? (i)SEBI (ii)RBI (iii)CARE (iv)BSE	K1	CO5
	10	Infer the meaning of dematerialization (i)issuing new shares (ii) buying old shares in stock market (iii)converting shares to stock (iv)conversion of physical shares to electronic form	K2	CO5

Cont...

SECTION - B (35 Marks)

Answer **ALL** questions

ALL questions carry **EQUAL** Marks (5 × 7 = 35)

Module No.	Question No.	Question	K Level	CO
1	11.a.	Outline the significance of capital market.	K2	CO1
		(OR)		
	11.b.	Explain the role of discount and finance house of India.		
2	12.a.	State the objectives of Securities Contract Regulation Act.	K2	CO2
		(OR)		
	12.b.	Summarize the powers and functions of SEBI.		
3	13.a.	Identify the role of merchant bankers and underwriters in public issue.	K3	CO3
		(OR)		
	13.b.	Construct the role of secondary market and its significance.		
4	14.a.	Evaluate the trading mechanism in stock exchange.	K4	CO4
		(OR)		
	14.b.	Explain about margin trading and its importance.		
5	15.a.	Interpret the objectives of Depositories Act 1996.	K4	CO5
		(OR)		
	15.b.	Assess the benefits of credit rating to investors, outsiders and rated companies.		

SECTION -C (30 Marks)

Answer **ANY THREE** questions

ALL questions carry **EQUAL** Marks (3 × 10 = 30)

Module No.	Question No.	Question	K Level	CO
1	16	Summarise the provisions relating to commercial paper, certificate of deposit and treasury bills.	K2	CO1
2	17	Outline the provisions relating to recognition of stock exchanges in India.	K2	CO2
3	18	Identify the SEBI regulations relating to insider trading and investor protection.	K3	CO3
4	19	Appraise the role of NSCCL and its clearing mechanism.	K4	CO4
5	20	Evaluate the process of credit rating in India and the various credit rating agencies.	K4	CO5

Z-Z-Z END