

BCom (CS) DEGREE EXAMINATION / DECEMBER 2019
(Sixth Semester) v

Branch - **CORPORATE SECRETARYSHIP**

SECURITIES LAWS & FINANCIAL MARKETS

Time : Three Hours

Maximum : 7-5 Marks

SECTION-A (20 Marks)

Answer **ALL** questions

ALL questions carry **EQUAL** marks (10x2 = 20)

- 1 . What is sweat equity shares?
- 2 Define Certificate of deposits.
- 3 What is Securities?
- 4 Point out any four powers of SEBI.
Who is Registrar?
What do you mean Secondary Market?
Define Settlement system.
What is NSCCL? ‘
Define Depositories Act. ;y'. v; ;vV" >y • . .-0?,-. Jy
- 10 Point out any three advantages of credit rating.

■ ■ SECTION -B(25 Marks) y

Answer **ALL** Questions

ALL Questions Carry **EQUAL** Marks (5 x 5 = 25)

- 11 a Explain the types of debentures.
y; 'y ■ .OR. ■ yv■
b What are the functions of discount and finance house of India? y
- 12 a Discuss the membership of Stock Exchange.
'y ■ , : V . \ ' OR " ' / v / '
b Explain the advantages of listing of securities.
- 13 a Discuss the registration procedure for brokers and advisors. , .y .
OR : ^ ; v : -y y '
b Explain the significance of Secondary market.
- 14 a Discuss the clearing procedure of Stock exchange.
OR
b Explain the market and market making.
- 15 a What are the objectives of Depositories Act?
OR - ■ ■ ■ y y .
b State the benefits of Credit rating. *

SECTION - C (30 Marks)

Answer any **THREE** Questions

ALL Questions Carry **EQUAL** Marks (3 x 10 = 30)

- 16 Describe the types of Treasury bills.
- 17 Explain the powers of the Central Government in Stock Exchange .
- 18 What are the steps taken by SEBI for protecting the interest of investors?
- 19 Discuss about compulsory rolling settlement.
- 20 State the legal framework of depository system.