

PSG COLLEGE OF ARTS & SCIENCE
(AUTONOMOUS)

BCom(CS) DEGREE EXAMINATION MAY 2024
(Sixth Semester)

Branch – CORPORATE SECRETARYSHIP

SECURITIES LAWS AND FINANCIAL MARKETS

Time: Three Hours

Maximum: 50 Marks

SECTION-A (5 Marks)

Answer ALL questions

ALL questions carry EQUAL marks

(5 x 1 = 5)

1. Treasury bills have a maturity of
(i) 91 or 364 days
(ii) 90 or 365 days
(iii) 30 or 170 days
(iv) 14 or 180 days
2. SEBI is
(i) An apex body
(ii) A security market
(iii) An intermediary in stock exchange
(iv) None of the above
3. Right issue are offered to
(i) The existing share holder
(ii) The promoters of the company
(iii) The public at large
(iv) All the above
4. _____ are appointed by broker to act on his behalf of in his absent
(i) Jobbers
(ii) Commission Broker
(iii) Sub Broker
(iv) Authorized clerk
5. Investors convert his electronic holding into share certificate is
(i) Dematerialization
(ii) Rematerialization
(iii) Actualization
(iv) Registration

SECTION - B (15 Marks)

Answer ALL Questions

ALL Questions Carry EQUAL Marks

(5 x 3 = 15)

6. a) Define capital market and explain the types of capital market.
(OR)
b) State the features of certificate of Deposits.
7. a) List out the procedures relating to grant of recognition to a stock exchange.
(OR)
b) Discuss the objectives of SEBI.
8. a) Enumerate the duties of the Registrar of issue.
(OR)
b) Discuss the procedures for Registration of brokers in SEBI.
9. a) Write short notes on Book Closure.
(OR)
b) Contrast about rolling settlement.
10. a) Interpret the objectives of Depository.
(OR)
b) Explain about Dematerialization and Rematerialization.

Cont...

SECTION -C (30 Marks)

Answer ALL questions

ALL questions carry EQUAL Marks

(5 x 6 = 30)

11. a) Define Preference Share and explain the types of preference share.
(OR)
b) Define Commercial Paper and explain the advantages of commercial paper.
12. a) Define listing of shares. Discuss the advantages of listing of shares.
(OR)
b) State the role and functions of SEBI.
13. a) Who is underwriter? Explain the responsibilities of underwriter.
(OR)
b) State the different kinds of brokers in stock exchange.
14. a) Explain trading mechanism on a stock exchange.
(OR)
b) What is Margin trading? Outline the features of margin trading.
15. a) Elaborate the general right and obligation of Depository Participants.
(OR)
b) Explain the methodology followed by CRISIL in rating credit instruments.

Z-Z-Z

END