

B.Com.

IV Sem

CAPITAL MARKET

1. SENSEX is the index of

- (a) Bombay stock exchange (b) National stock exchange (c) Cochin stock exchange (d) none of these.

2. Base year of nifty is

- (a) 1992 (b) 1978 (c) 1987 (d) 1995.

3. Bulls and bears are

- (a) Ordinary investors (b) Government agencies (c) Speculators (d) Money lenders.

4. A depository is

- (a) An electronic transfer through dematerialization.
(b) A fixed deposit in a bank.
(c) A transfer of physical securities.
(d) Surveillance on price manipulation.

5. Listing is mandatory for

- (a) Trading in stock market (b) Marketing a new issue (c) Trading in international markets (d) Declaring dividend.

6. A stock market index is

- (a) Shows trends in the market (b) Provides weights to shares (c) Shows the volume of trade in market (d) Shows transactions of shares.

7. A lame duck

- (a) Is a bull who does not keep his promise?
(b) Is a bear who cannot keep his commitments (c) Is a cautious speculator (d) is a premium hunter.

8. Which of the following is a global stock market index?

- (a) OTCEI index (b) Nifty (c) Senses (d) FTSE100.

9. Which of the following is not a global stock market index?
(a) DJIA (b) S&P 500 index (c) MCSI index (d) S& P CNX.
10. S&P CNX was introduced in
(a) 1996 (b) 1998 (c) 1986 (d) none of these.
11. The base year of BSE senses is
(a) 1978-79 (b) 1979-80 (c) 1977-78 (d) none of these.
12. The base year of CNX nifty junior is
(a) 1997 (b) 1996 (c) 1999 (d) 1995.
13. The number of scrip's included in nifty junior is
(A) 40 (b) 50 (c) 30 (d) 100.
14. CDSL is established in
(A) 2000 (b) 1999 (c) 1998 (d) 1997.
15. Depositories Act is enacted in
(a) 1993 (B) 1998 (c) 1997 (d) 1996.
16. The present rolling settlements cycle T+2 is introduced in
(a) 2003 (b) 2001 (c) 2000 (d) 2008.
17. Group A consists of
(a) Cleared securities (B) non- Cleared securities (c) Government securities (d) none of these.
18. Permanent removal of securities of a company from the stock exchange.
(A) De listing (b) Re- listing (c) listing (d) none of these.
19. The nifty consists of
(a) 30 stocks (b) 25 stocks (c) 50 stocks (d) 100 stocks.
20. A control system on excessive fluctuation in stock market prices is called.
(a) Circuit breaker (b) Stock index (c) Depository (d) none of these.
21. The numbers of recognized stock exchanges in India is

(a) 20 (b) 21 (c) 22 (d) 23.

22. ----- is the market where the existing securities of companies are traded.

(a) Primary market (b) Secondary market (c) Money market (d) none of these.

23. ----- is a process of admitting securities for trading on a recognized stock exchange.

(a) Issuing (b) Investing (c) Listing (d) none of these.

24. Devise adopted to make profit out of the difference in prices of a security in two different market is called -----.

(a) Arbitrage (b) Margin trading (c) Call option (d) none of these.

25. The number of share which is less than the standard unit is called -----.

(a) Arbitrage (b) Margin trading (c) Odd lots (d) none of these.

26. ----- is a professional independent broker who deals in securities on his own behalf.

(a) Arbitrage (b) Jobber (c) Odd lots (d) none of these.

27. A person appointed by a stock broker to assist him in the business of securities trading is called -----.

(a) Sub broker (b) Tara Wahiwawa (c) Authorized clerk (d) none of these.

28. Speculation who neither buy nor sell securities in the market but still trade on them are called -----.

(a) Wolves (b) Stags (c) Bears (d) none of these.

29. The process of hedging the entire supply of a particular security with a view to dictating term Ps called -----.

(a) Wash sale (B) Arbitrage (c) Cornering (d) none of these.

30. Under depository system the allotment and credit of shares to the beneficiary amount should be completed within how many days from the date of an issue?

(a) 15 days (b) 21 days (c) 7 days (d) 14 days.

31. Member of stock exchanges is called -----.

(a) Stock broker (b) Investor (c) Issuer (d) none of these.

32. ----- buy and sell securities on behalf of the investing public.

- (a) Arbitrage (B) Commission brokers (c) none of these.
33. The ----- is a person who buy securities with a view to sell them in future at a profit.
(a) Speculator (b) Issuer (c) Stock brokers (d) none of these.
34. A person who sells the shares with the expectation of buying them in future at a reduced price.
(a) Bull (b) Bear (c) Stag (d)none of these.
35. In the Indian stock exchange a bull is known as
(a) Badla (b)Tejiwala (c) Mandiwala (d) none of these.
36. Risk involved in gambling is -----.
(a)High (b) Low (c) Very high (d) none of these.
37. The process of artificially increasing or decreasing the price is known as -----.
(a) Price bond (b) Price rigging (c) Cover system (c) none of these.
38. Ann order for the purchase of securities of a fixed price is known as -----.
(a)Limit order (b) Open order (c) Stop loss order (d) none of these.
39. The electronic clearing and Depository system setup by the -----.
(a) SGL (b) SHCIL (c) HCL (d) none of these.
40. National stock exchange operations are divided into ----- and capital market segment.
(a)Whole sale debt market (b) Money market (c) Secondary market (d) none of these.
41. ----- is a market where unlisted securities are dealing.
(a)) Grey market (b) Kerb market (c) Capital markets (d) none of these.
42. An ----- is a barometer for market behavior.
(a)Investment (b) Index (c) Arbitrage (d) none of these.
43. An ----- is a number which measures the change in a set of values over a period of time.
(a) Index (b)sample (c) Weight age (d)none of these.
44. Securities of ----- companies are trade in secondary market.
(a) Listed (b) Relisted (c) Unlisted (d) None of these.

45. Which of the following is considered as means off balance sheet financing?
(a) Derivation (b) Equities (c) Debts (d) None of these.
46. An option exercised at the time of maturity it is termed as -----.
(a) American option (b) European option (c) Call options (d) none of these.
47. An option exercised at the time of maturity it is termed as -----.
(a) American option (b) European option (c) Call options (d) none of these.
48. ----- options are contract where exercise price is equal to spot price.
(a) At the money (b) In the money (c) Out the money (d) none of these.
49. ----- are called non-cleared securities.
(a) Group B share (b) Group A share (c) Group G shares (d) none of these.
50. ----- includes government securities.
(a) Group B share (b) Group A share (c) Group G shares (d) none of these.
51. ----- includes fixed income securities
(a) Group B share (b) Group A share (c) Group G shares (d) none of these.
52. ----- is the first depository in India
(a) Central depository services India Ltd. (b) National securities depository Ltd. (c) State of India depository services Ltd. (d) none of these.
53. ----- is the second depository in India
(a) Central depository services India Ltd. (b) National securities depository Ltd. (c) State of India depository services Ltd. (d) none of these.
54. ----- means eliminating the paper certifies and maintaining records in the form of electric entries only.
(a) Dematerialization (b) Depository (c) Stock market index (d) none of these.
55. A speculator expert's rise in price of a share is called -----.
(a) Bull (b) Bear (c) Stag (d) Lame duck.
56. A new index called ----- is developed by NSE .
(a) S&P CNX nifty (b) BSE 200 & DOLLEX 200 (c) BSEI PO Index.

57. ----- is the process of converting physical paper share into demat share.
(a) Dematerialization (b) Depository (c) Dematerialization (d) none of these.
58. QIP stands for
(a) Qualified institutional placement (b) Qualified industrial placement (c) Qualified investment placement (d) none of these.
59. Futures and option are
(a) Derivatives (b) Speculators (c) Money lenders (d) Ordinary investors.
60. An offer document prepared for the purpose of QIP is called -----.
(a) Placement document (b) Speculation (c) Dematerialization (d) none of these.
61. SENSEX is the index of
(a) Bombay Stock exchange (b) National stock exchange (c) Cochin stock exchange (d) Bangalore Stock exchange.
62. Bulls ----- are speculators.
(a) Bear (b) Cow (c) Lion (d) none of these.
63. Computers are linked by satellite through ----- in NSE
(a) VAST (b) SGL (c) SHCIL (d) none of these.
64. Members of OTCEI are ----- only.
(a) Corporate (b) Derivatives (c) Speculators (d) none of these.
65. ----- is a market for dealing in unlisted securities.
(a) Grey market (b) Kerb market (c) Capital market (d) none of these.
66. The first stock exchange in India was started in -----.
(a) 1875 (b) 1885 (c) 1895 (d) 1865.
67. A depository is an institution which transfers the ownership of securities in ----- mode
(a) Electronic (b) artificial (c) Analytical (d) none of these.
68. Depository participant in the link between the ----- and the owner.
(a) Depository (b) Government (c) Corporate (d) none of these.

69. ----- system reduces time for transfer for transfer of securities.
(a) Depository (b) government (c) Investment (d) none of these.
70. Depository system leads to -----.
(a) Scrip less system (b) Online system (c) Offline system (d) none of these.
71. An instrument which derives its value from an asset backing it is called -----.
(a) Derivatives (b) Depositor y (c) Documentation (d) none of these.
72. ----- contracts are not at all standardized
(a) Forward (b) option (c) Swap (d) none of these.
73. The trader who promises to buy in ----- contract is said to be in
(a) Forward (b) option (c) Swap (d) none of these.
74. In ----- contract the seller is referred to as a 'writer'.
(a) Forward (b) option (c) Swap (d) none of these.
75. Financial ----- are mainly used for hedging risk.
(a) Derivatives (b) Speculators (c) Investors (d) none of these.
76. A combination of forwards by 2 counter-parties with opposite but matching need is called -----.
(a) Swap (b) Forward (b) Future (d) none of these.
77. ----- contracts are standardized
(a) Future (b) Forward(c) Swap (d) none of these.
78. Agreed price of ----- contract is known as strike price.
(a) Future (b) option(c) Swap (d) none of these.
79. The pre- determined price at which an underlying asset has to be bought or sold is an option contract is called -----.
(a) Exercise price (b) Agreed price (c) Strike price (d) none of these.
80. ----- gives the option holder a right to buy an underlying asset at an exercise price in future.
(a) Call (b) Call and put (c) none of these.

81. ----- is a contract for temporary exchange of obligation that each party has under its respective contract.

(a) Swap (b) Forward (b) option (d) none of these.

82. Over the counter ----- of India.

(a) Exchange (b) Expand (c) Extent (c) none of these.

83. CDSL stands for -----.

(a) Central depository services Ltd. (b) Central derivatives (c) Derivates services Ltd (c) Central deposit system Ltd (d) none of these.

84. National securities depository Ltd incorporated on -----.

(a) December 12, 1995 (b) December 21, 1995 (c) December 21 1985 (d) none of these.

85. ----- means the worth of share holding

(a) Market capitalization (b) market creation (c) market specification (d) none of these.

86. ----- measured in dollar term.

(a) S&P CNX nifty (b)BSE SENSEX (c) BSE 200 and DOLLEX 200(d)_0 none of these.

87. ----- was introduced in Jan 1986.

(a) BSE SENSEX (b)S &P CNX nifty (c) BSE 200 and DOLLEX (d) none of these.

88. ----- refers to permanent removal of securitiesof a listed company from a stock exchange.

(a) Compulsory de listing (b) Voluntary delisting (c) Listing (d) Relisting.

89. In ----- a listed company decides on its own to permanently remove its securities from a stock exchange.

(a) Compulsory delisting (b) Voluntary delisting (c) Relisting (d) Listing.

90. Most of the speculative purchases are made on the basis of -----.

(a) Margin trading (b) Arbitrage (c) Wash sale (d) none of these.

91. ----- is the fictitious transaction.

(a) Margin trading (b) Arbitrage (c) Wash sale (d) none of these

92. ----- means artificially pushing up the market price of a particular security.

(A) Rigging (b) Cornering (c) Margin trading (d) none of these.

93. Rigging activity is carried on by the ----- speculators.
(a) Bull (b) Swap (c) Bear (d) Lame duck.
94. ----- is highly specialized and skilled speculative activity.
(a) Margin trading (b) Arbitrage (c) Wash sale (d) none of these.
95. National securities clearing corporation Ltd. established in -----.
(a) 1994 (b) 1995 (c) 1996 (d) 1998.
96. National securities clearing corporation Ltd established in -----.
(a) 1995(b) 1996 (c) 1997 (d) 1998.
97. National securities depository Ltd established in -----.
(a) 1995(b) 1996 (c) 1997 (d) 1998.
98. OTCEI was incorporated in -----.
(a) 1990(b) 1991 (c) 1992 (d) 1993.
99. The number of de-organized stock exchanges in India.
(a)4 (b) 5 (c) 6 (d) 3.
100. National stock exchange of India situated at -----.
(a)Bangalore (b) Hyderabad (c) Bombay (d) none of these.
101. All activities related to finance and organized into a system called -----.
(a) Capital market (b)Money market (c) Financial system (d) open market.
102. ----- is termed as the lifeblood of a firm.
(a) Employee (b) Finance (c) Management (d) Technology
103. ----- refers to the activity of transforming savings into investment.
(a) Resource development (b) capital formation (c) Credit syndication (d) Economic.
104. ----- can be defined as activities, benefits and satisfactions connected with the sale of money that offer to users and customers, financial related value.
(a) money market (b) Stock exchange (c) Financial services (d) Financial management.

105. The ratio of financial assets is ----- of economic growth.
- (a) An indicator (b) Market value (c) Basis (d) Prestige value.
106. Capital market is a market for ----- capital.
- (a) Long term capital (b) Short term capital (c) Working capital (d) Fixed capital.
107. SEBI stands -----.
- (a) Securities exchange board of India (b) Stock exchange board of India (c) Securities and exchange board of India (d) Stock earn board of India.
108. Equity shares are the ----- shares of a limited company.
- (a) Voting (b) Ordinary (c) Limited (d) Unlimited.
109. Equity shares and preference shares are ownership securities, also known as -----.
- (a) Debt capital (b) Capital stock (c) Fixed capital (d) capital issue.
110. Bonds, debentures etc. are creditor ship securities, also known as -----.
- (a) Debt capital (b) Capital stock (c) Working capital (d) capital issue.
111. Equity shares with detachable warrants will enable the warrant holder to apply for specified number of ----- at determined price.
- (a) Preference shares (b) Equity shares (c) Bonds (d) Debentures.
112. ----- are equity shares issued by the company to employees or directors at a discount or for consideration other than cash.
- (a) Derivatives (b) Securitized instruments (c) Sweat equity shares (d) detachable warrants.
113. The companies Act(sec85) describes preference shares as those which; carry a ----- right to payment of dividend during the life time of the company.
- (a) Dividend (b) Interest (c) Preferential (d) Priority.
114. Convertible preference shares can be converted to equity shares at the option of the holder, so these shares are also known as -----.
- (a) Conversion of preference shares (b) Quasi equity shares (c) fully convertible preference shares (d) Participating preference shares.
115. Debentures is a ----- instrument issued by the company with a promise to pay interest and repay the principal on maturity.

(a) Credit (b) Debt (c) Cash (d) Negotiable.

116. Government bonds are fixed income debt instruments issued by the ----- to finance their capital requirements or developments projects.

117. ----- issued by the central government or state governments are referred to as government securities.

(a) Instruments (b) Securities (c) Bonds (d) shares.

118. Government securities are also called ----- because of the safety and security of investments made in them and regularity of return.

(a) Gift-edged securities (b) Long term securities (c) short term securities (d) Investments.

119. Government securities are issued through ----- of RBI.

(a) Public debt office (b)SEBI (c)DFHI(d)Stock exchange.

120. ----- is a dollar denominated instrument tradable on stock exchange in Europe or the US or both.

(a) Bonds (b)GDR (c)IDR(d)Yankee bonds.

121.RBI controls and regulates Indian money market through -----.

(a) SEBI (b)RBI office (c) DFHI(d) SBI.

122. ----- is a unsecured promissory note issued with a fixed maturity, by a company, and approved by RBI, maturity from 7 days to one year, issued at a discount on the face value.

(a) CD (b)Treasury bill (c) MMMF (d) CPs.

123. A repurchase agreement, the repurchase price will be greater than the original sale price, the difference effectively representing interest, known as -----.

(a) Interest rate (b) Repo rate (c) Repo charge (d) Repo commission.

124.SGL stands for -----.

(a) Subsidiary general ledger (b) Sub ledger (c) Subsidiary general loan (d)Subsidiary g-loan.

125.SEBI was given a statutory status in the year of ----- by an act of parliament.

(a) 1992 (b) 1988 (c) 1993 (d)1991.

126.----- is the trading of securities of a company by individuals who are in someway connected with the company and has to non-public price sensitive information about the company.

(a) Speculative trading (b) Hedging (c) Insider trading (d) Internal trading.

127. ----- is the present chairman of SEBI.

(a) Pranab mugharjee (b) Mukesh ambani (c) U. K. Sinha (d) Ravi tamban.

128. NBFCs stands for -----.

(a) Non banking fund (b) Non banking financial companies (c) Non banking finance council (d) none of these.

129. ----- is an independent body to assist the regulators in framing and administering regulating in the capital market. E.g. Finance industry development council.

(a) SNO (b) SRO (c) RBI (d) SEBI.

130. Origination, underwriting and distribution are the 3 main services of ----- market.

(a) Capital market (b) Secondary market (c) SEBI (d) Primary market..

131. IPO stands for -----.

(a) Initial public offer (b) FPO (c) Public offer (d) none of these.

132. ----- means an option of allotting equity shares in excess of the equity shares offered in the public issue as a post-listing price stabilising mechanism.

(a) GSP (b) SRO (c) green shoe option (d) none of these.

133. Bonus issue is issue of shares to ----- out of the free reserves of the company.

(a) Existing shareholders (b) New shareholders (c) none of these (d) all of them.

134. ESOP stands for -----.

(a) Employer stock option (b) Employees stock option plan (c) Employees stock option scheme (d) none of these.

135. Underwriters charge a commission for their service which is known as -----.

(a) Commission (b) Penalty (c) Underwriting charge (d) Underwriting commission.

136. Stock broker means a member of a -----.

(a) SEBI (b) RBI (c) SBI (d) Stock exchange.

137. Net Tangible assets means all net assets excluding ----- assets.

(a) Tangible assets (b) Intangible assets (c) none of these (d) All of these.

138. Market makers are intermediaries appointed by ----- to sell or buy its securities at any time as per agreed contract.

(a)RBI (b)SEBI(c)Company (d)none of these.

139.QIB stands -----.

(a)Qualified institutional buyer (b) Qualified institutional bonds (c) Qualified institutional shares
(d) All of these.

140. Shares can be distributed through outright sale by companies to select group of persons, this is known as

(a) Public issue (b) Private placement (c) Institutions (d) Underwriting.

141.Market for borrowing and lending short term funds

(a) Money market (b) Capital market (c) Derivative market (d) Forex market.

142. Who controls money market?

(a) RBI (b) SBI (c)DFHI (d) SIDBI.

143. which of the following markets help RBI in implementing its money policies ?

(a) Money market (b) Capital market (c) Forex market(d)Debt market.

144. Which of the following debt instrument is issued by the large credit worthy companies as a means for financing their working capital needs?

(a) CP (b)CD (c)IBPC (d)Commercial bills.

145. Money market deals with :

(a) Short term funds (b) Long term funds (c) Ownership funds (d) Credit rating.

146. What is the minimum issue size of commercial papers?

(a) 10 lakh (b) 5 Lakh (c) 5crore (d) 2 lakh

147. Certificate of deposits were introduced in the Indian market in -----.

(a) 1989 (b) 1990 (c) 1991 (d) 1988.

148. The maturity period of CDs issued by banks varies from

(a) 7 days to 1 year (b) 7 days to 3 years (c) 1 day to 1 year (d) 1 and 3 year.

149. An instrument to fund the short term needs of banks through inter-bank participation.

(a) CDs (b) inter bank repo (c) CPs (d)IBPCs.

150. SGL stands for

(a) Subsidiary general ledger (b) Secondary general ledger (c) Securities group ledger (d) none of these.

151. An important money market instrument by the government to bridge the deficit between the revenue and expenditure in the budget.

(a)T-bills (b) Bonds (c) CDs (d)CPs.

152. A loan for very short period .

(a) Call loans (b) cash loans (c) T-bills (d) none of these.

153. A market for borrowing / lending of funds for a period loans one day to 14 days.

(a) term money market (b) Call money market (c) Commercial bills market (d) none of these.

154. GSO stands for

(a) Golden shoe option (b) Green shoe option (c) Green stock option (d) none of these.

155. Issue of equity shares to QIBs on private placement basis is called

(a) Qualified institutions placement (b) Preferential placement (c) Initial public offer (d) none of these.

156. Issue of shares to the existing shareholders out of the free reserves of the company is called

(a) Bonus issue (b) Right issue (c) ESOP (d) SWEAT equity.

157. A pricing mechanism for new issues based on assessment of market demand.

(a) Book building (b)Green shoe option (c) Fixed price issue (d)none of these.

158. QIP stands for

(a) Qualified institutional placement

(b) Qualified investment placement

(c) Qualified investor placement

(d) Qualified institutional players.

159. Public issue means IPO and -----

(a) ESOP (b)Rights issue (c) Bonus issue (d)FPO

160. FPO and IPO can be either a fresh issue or -----

(a) Offer for sale (b) Offer of sale (c) Private placement (d) none of these.

161. According to companies Act 1956, an issue becomes public if it is an allotment to more than ----- persons.

(a) 49 (b)51 (c)50 (d) none of these.

162. An offer of securities to the public for the first time by an utilized issuer is called

(a) FPO (b)IPO (c)DPO (d)none of these.

163. A fresh issue or offer for sale of securities made by a listed company to the public is called

(a)FPO (b)IPO (c)DPO (d)none of these.

164. The minimum issue size for which filling of draft prospectus with SEBI is mandatory.

(a)RS.50 lakhs (b) RS 50 crores (c)RS lakhs (d) 100 crores.

165. An offer document in case of a public issue is

(a) Prospectus (b) Red herring prospectus (c) Letter of offer (d) none of these.

166. A prospectus which does not have details of either price or number of shares offer or the amount of issue.

(a) Red herring prospectus (b) Statement in lieu of prospectus (c)Shelf prospectus (d)none of these.

167. An investor who applies or bids for securities for a value not more than Rs.2 lakh.

(a) Retail individual investor (b) Qualified institutional buyer (c) Non- institutional investor (d) none of these.

168. Which of the following is not a QIB?

(a) Mutual funds (b) Foreign institutional investors (c) Retail individual investor (d) Scheduled commercial banks.

169. The time limit for allotting securities from the date of closure of the issue

(a) 15 days (b) 30 days (c) 45 days (d)none of these.

170. In case of a book built issue, the allocation to retail investor should not be

(a) Less than 35% (b) More than 35% (c) Less than 10% (d) none of these.

171. A security used by RBI to adjust liquidity in the financial system.
- (a) REPO (b) CDs (c) CPS (d) TBs.
172. An unsecured loan extended by one corporate to another.
- (a) IBPCs (b) Commercial bills (c) CDs (d) ICDs
173. Bonds issue at a discount and redeemed prior to its maturity is called
- (a) Mortgage bonds (b) Zero coupon bonds (c) Convertible bonds (d) none of these.
174. A bond that can be redeemed prior to its maturity is called
- (a) Callable bonds (b) Option bonds (c) Step-up bonds (d) Non-callable bonds.
175. Bonds where interest rate is a fixed percentage over the whole sale price index is called
- (a) Capital index bonds (b) Fixed rate bonds (c) Step-down bonds (d) none of these.
176. ----- can be referred to as merchant bankers to GOI(Government Of India).
- (a) Primary dealers (b) RBI (c) Satellite dealers (d) none of these.
177. The equity shares issued by a company to its employees or directors.
- (a) SWEAT Equity (b) Non –voting shares (c) Equity shares (d) Preference shares.
178. MMMF stands for
- (a) Money market mutual funds (b) Monetary market mutual funds (c) Money medium mutual funds (d) none of these.
179. Sale of securities together with an agreement by the seller to buy back the securities at a later date.
- (a) REPOs (b) CBLO (c) ICDs (d) CDs.
180. Insider trading means
- (a) Purchase of securities by owners of the company
- (b) Taking advantage of internal price sensitive information for trading
- (c) Trade for purchase of shares only by employees
- (d) Investors sell their financial paper to relatives of the firms.
181. The fraudulent and unfair trade practices relating to securities market regulation in 2003 was passed to prohibit.

- (a) Insider trading practices
- (b) Brokers from illegal trading
- (c) Foreign institutional investors in the market
- (d) Manipulation of prices and misleading statements.

182. SEBI was established in

- (a) 1992 (b) 1988 (c) 1990 (d) 1989.

183. SEBI Act was passed in -----.

- (a) 1988 (b) 1990 (c) 1991 (d) 1992.

184. The objectives of SEBI include

- (a) To protect interests of inventors
- (b) To regulate securities market
- (c) To promote the development of the market
- (d) All of the above.

185. The regulatory body for the securities market in India

- (a) RBI (b) SEBI (c) IRDA (d) Stock exchanges.

186. Who appoints the chairman of SEBI?

- (a) Central government (b) Stock exchanges (c) Brokers (d) Investors.

ANSWERS

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|------------------------------------|---|----------------------------|------------------------|
| 1. Bombay stock exchange | 2. 1995 | 3. Speculators | 4. An electronic |
| transfer through dematerialization | | 5. Trading in stock market | 6. Shows trends |
| in market | 7. Is a bear who cannot keep his commitment | | 8. FTSE 100 |
| 9. S&P CNX nifty | 10. 1996 | 11. 1978-79 | 12. 1996 |
| | 13. 50 | | |
| 14. 1999 | 15. 1996 | 16. 2003 | 17. Cleared securities |
| 18. Delisting | 19. 50 stokes | 20. Circuit breaker | 21. 21 |
| 22. Secondary market | | 23. listing | 24. Arbitrage |
| 25. oddlots | 26. jobber | 27. Authorised clerk | 28. Stags |
| 29. Cornering | 30. 21 days | 31. stock broker | 32. commission |
| 33. Speculator | 34. Bear | | 35. Tejiwala |

36.very high 37.Price rigging 38.Limit order 39.SHCIL 40.wholesale
 41.Grey market 42.Index 43.Index 44.Listed
 45.Derivatives 46.American option 47.European option 48.At the money
 49. Group b shares 50.Group g shares 51.Group f shares 52.National securities
 depository Ltd. 53.Central depository services India Ltd. 54.
 Dematerialization 55.Bull 56. S&P CNX nifty 57.
 Dematerialization 58. Qualified institutional placement 59.Derivation
 60.Placement document 61.Bombay stock exchange 62.Bear
 63. VSAT 64.Corporates 65.Grey market 66.1875
 67.Electronic mode 68.Depository 69. Depository 70.Scrip less
 system 71.Derivatives 72.forward 73.forward
 74.option 75.Derivation 76.SWAP 77.Future
 78.future 79.Exercise price 80.put option 81.
 Swaps 82.Exchange 83.Central depository services Ltd.
 84.December 12, 1995 85.market capitalization 86.C&P CNX nifty 87. BSE SENSEX
 88.Compulsory delisting 89.Voluntrydelisting 90.Margin trading
 91.Wash sale 92.Rigging 93.Bull 94.Arbitrageurs
 95.1994 96.1995 97.1996 98.1990 99.4 100.Bombay. 101.Financial
 system 102.Finance 103.Capital formation 104.Financial
 services 105.an indicator 106.longterm
 capital 107.Securities and Exchange Board of India 108.ordinary
 109.Capital Stock 110.debt capital 111.equity shares 112.sweet equity
 shares 113.preferential 114.quasi equity shares 115.debt
 116.government 117.securities

 140.private placement 141.Money Market 142.DFHI 143.Capital Market 144.CP
 145.Short term funds 146.Rs. 5 lakh 147.1989 148.7 days to 1 year 149.IBPCs
 150.Subsidiary General Ledger 151.T-Bills 152.Call loans 153.Call money market
 154.Green Shoe Option 155.Qualified Institutions placement 156. Bonus Issue
 157.Book Building 158.Qualified Institutional Placement 159.FPO 160.Offer for
 sale 161.5 162.IPO 163.FPO 165.Prospectus 166.Statement in lieu of
 prospectus 167.Retail Individual Investor 168. Retail Individual Investor 169.30 days
 170.more than 35% 171.TBs 173.Zero Coupon bond 174.Callable bonds
 175.Capital Indexed bonds 176.Primary Dealers 177.SWEAT Equity 178.Money
 Market Mutual Funds 179.REPOs 180.Taking advantage of internal price sensitive
 information for trading. 181.manipulation of prices and misleading statements.
 182.1988 183.1992 184.All of the above 185.SEBI 186.Cenral Govt.