

## Assessment Procedure

### **Fundamentals of Capital Market- BCMC02**

The assessment procedure of this course was done by a descriptive exam . The total mark for the exam was 50. The minimum pass percentage was 50 %. Those who secured minimum pass marks in both were declared qualified. A sample question paper is given below:



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**FUNDAMENTALS OF THE CAPITAL MARKET-FINAL TEST****MAXIMUM MARKS: 50 TIMES: 60 MINUTES**

Each question carries one mark.

The pass mark for this test is 25.


CANDIDATE NAME	
INSTITUTION / LOCATION	
YEAR /COURSE	

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TRAINER	
STUDENT ATTENDANCE	
EXAMINER	
TEST SCORE	
PASS / FAIL	
SIGNATURE OF EXAMINER	



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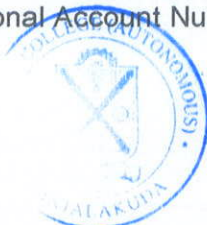
1. An Underwriter is \*
  - a) An institution which undertakes to run loss making companies
  - b) An institution which agrees to take up the unsubscribed portion of securities in a public issue
  - c) An institution which has been set up by SEBI to ensure the success of IPOs
2. In India, the NSE and the BSE settle all the Futures Contracts on..... of the month \*
  - a) The First Thursday
  - b) The Third Thursday
  - c) The Last Thursday
3. Money lenders are a financial intermediary belonging to \*
  - a) Organised system
  - b) Unorganised system
  - c) Lending system
4. The IPO prospectus is prepared by a \_\_\_\_\_ on behalf of the company \*
  - a) Banker
  - b) Lead manager/merchant banker
  - c) Broker
5. The NIFTY50 consists of \*
  - a) 30 stocks
  - b) 50 stocks
  - c) 100 stocks
6. Arbitrageurs use the financial markets to \*
  - a) Speculate
  - b) Hedge
  - c) Take advantage of price differences in different markets
7. If you feel that the shares Sun Pharma will go up, but you do not have enough cash immediately, then you should \*
  - a) Wait till you take a loan
  - b) Buy a Sun Pharma futures
  - c) Wait till the prices come down
8. In the Cash Market, Settlement will take place on T + \_\_\_\_\_ \*
  - a) 2
  - b) 3
  - c) 4
9. OTC stands for \*
  - a) Over Traded Capital
  - b) Over The Counter
  - c) Own Traded Capital
10. The New Issue Market is also called \*
  - a) The Secondary Market
  - b) The Primary Market
  - c) The Capital Market



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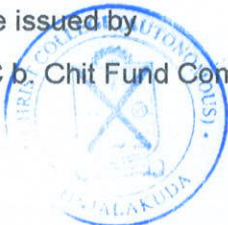


11. The secondary market provides \*
- a) Price discovery
  - b) Marketability of shares
  - c) Both a & b
12. Who settles the trades executed at NSE \*
- a) NSDL
  - b) NSE
  - c) SEBI
  - d) NSE Clearing Ltd
13. Who is the present RBI Governor? \*
- a) Raghuram Rajan
  - b) Shakti Kanta Das
  - c) D. Subbarao
  - d) Urjit patel
14. Money Lenders are a financial intermediary belonging to \*
- a) Organised system
  - b) Unorganised system
  - c) Lending system
15. Expansion of SIP..... \*
- a) Systematic Investment Program
  - b) Systematic Investment Plan
  - c) Systematic Investment Participant
  - d) None of the above
16. SEBI has introduced a facility called (ASBA) in the primary market \*
- a) True
  - b) False
17. AUM stands for: ..... \*
- a) Assets under making
  - b) Assets under Management
  - c) Assets under mutual fund
18. Mutual funds are regulated in India by which among the following? \*
- a) RBI
  - b) SEBI
  - c) Stock Exchanges
  - d) RBI & SEBI both
19. PAN stands for \*
- a) Permanent Account Number
  - b) Private Account Number
  - c) Personal Account Number



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20. The two Depositories in India are ..... and ..... \*
- National Securities Depository Limited (NSDL)
  - Central Depository Service (India) Limited (CDSL).
  - National Securities Depository Corporation Limited, NSDCL
  - Both A & B
21. The full form of NSDL is: \*
- National stock depository Ltd
  - National securities depository Ltd
  - Neutral securities development Ltd
  - None of the Above
22. The holders of which instrument are members of the company and have voting rights?
- Commercial Paper
  - Treasury Bill
  - Debenture
  - Equity
23. The better and more convenient way to invest in Gold is to buy:
- Gold Biscuits
  - Gold Bars
  - Gold ETF
24. The two types of Mutual fund are \_\_\_\_\_ & \_\_\_\_\_
- Open ended & Close ended
  - Open ended & Shut ended
  - ETF & RIET
25. Treasury bills are issued by
- Government
  - Companies
  - Individuals
26. The PFRDA regulates
- The Indian Parliament
  - Provident Funds
  - Pension Funds
27. Equity market is a market for:
- Fixed claims
  - Residual claims
  - No claims
28. Before 1990 share trading was:
- Floor traded
  - Electronically traded
  - Traded through individuals
29. The oldest stock exchange in Asia is
- The NSE
  - The Karachi Stock Exchange
  - The Bombay Stock Exchange
30. CDs are issued by
- NBFC
  - Chit Fund Companies
  - Bank




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31. If you feel the stock price of Infosys will go down, you will  
a. Sell the futures b. Buy the futures c. Sell the futures or buy a put option
32. Bank deposits are  
a. Risk free b. High in interest c. Risk free and Low in return
33. A balanced mutual fund is  
a. Mix of debt b. Mix of equity and debt c. equity only
34. OFS stands for \_\_\_\_\_
35. The Money Markets are regulated by  
a. RBI b. Unregulated c. SEBI
36. The oldest stock exchange in Asia is \*  
a) The NSE  
b) The Karachi Stock Exchange  
c) The Bombay Stock Exchange
37. The founder of Infosys was \*  
a) Mr. N.R. Narayana Murthy  
b) Dr. Raghuram Rajan  
c) Mr. Vishal Sikka
38. If you expect the share price of Infosys to go down, you will \*  
a) Sell the futures  
b) Buy the futures  
c) Sell the futures or buy a put option
39. G-SECS are \*  
a) Risky  
b) High in interest  
c) Risk Free and Low in Return
40. The Derivatives which are traded on the Stock Exchange in India are \*  
a) Futures & Forwards  
b) Forwards & Swaps  
c) Futures & Options
41. FPO stands for \*  
a) Future Public Offer  
b) Follow On Public Offer




  
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- c) Offer For Sale
42. The Full form of NSE \*
- a) National Stock Exchange
  - b) Notional Stock Exchange
  - c) Nasdaq Stock Exchange
43. ACC is a \_\_\_\_\_ \*
- a) Software Company
  - b) Pharmaceutical Company
  - c) Cement Company
44. To know whether you should invest in the debentures of a company, we should \*
- a) Study the credit rating
  - b) Watch CNBC
  - c) Study technical analysis
45. PSU stands for \*
- a) Public Sector Undertakings
  - b) Public Sector Underwriting
  - c) Public Sector Undergoing
46. To invest into stocks listed on the secondary market the investor should open \*
- a) Stock Broking Account
  - b) Commodity Account
  - c) Trading Account and Demat Account
47. In a balance sheet, assets = liabilities + \_\_\_\_\_ \*
- a) Capital
  - b) Goods
  - c) Inventory
48. The main purpose of Derivatives is to \*
- a) Enable participants to hedge
  - b) Improve transparency
  - c) Provide liquidity
49. REITs full form \*
- a) Real Estate Investment Trust
  - b) Real Esteem Investment Trust
  - c) Real Economy Investment Trust



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50. The operating profit margins of a company can be found from the \_\_\_\_\_ account \*

- a) P&L
- b) Balance sheet
- c) Ledger

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