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| **PT1/FMQP/1222/A 25-APR-2022** | | | | | | | |
| **PERIODIC TEST - I (2022-23)** | | | | | | | |
| **Subject: Financial Markets Management**  **Grade: XII** | | | | Max. Marks: 35Time: 80 Mins | | | |
| **Name:** | | | | | **Section:** | **Roll No:** | |
| ***General Instructions:***   * *Attempt all questions.* | | | | | | | |
|  | **SECTION A** | | | | | | |
|  | The securities market has two interdependent and inseparable segments. They are \_\_\_\_\_\_\_\_. | | | | | | 1 |
|  | **a** | Wholesale Debt market and capital market. | **b** | | Futures and Options and Derivatives market. | | |
|  | **c** | Primary and secondary market | **d** | | Long term and short-term securities market. | | |
| **2.** | Which of the following entity does not regulate the participants of the Securities Market? | | | | | | 1 |
|  | **a** | Securities and Exchange Board of India | **b** | | Reserve Bank of India | | |
|  | **c** | Ministry of External Affairs | **d** | | Ministry of Corporate Affairs (MCA) | | |
| **3.** | Which category of membership entitles a member to execute trades and to clear and settle the trades executed on his own account as well as on account of his clients? | | | | | | 1 |
|  | **a** | Trading Member | **b** | | Trading cum Clearing Member | | |
|  | **c** | Self-Clearing Member | **d** | | Professional Clearing Member | | |
| **4.** | From April 2003 onwards, \_\_\_\_\_\_\_ days settlement cycle is being followed. | | | | | | 1 |
|  | **a** | T+3 | **b** | | T+2 | | |
|  | **c** | T+1 | **d** | | T+4 | | |
| **5.** | Which of the following is not the consequence of suspension of a trading member at NSE? | | | | | | 1 |
|  | **a.** | The suspended trading members can vote at any meeting of the general body of trading members of the relevant segment. | **b.** | | The suspended trading members continue to be accountable to their creditors. | | |
|  | **c.** | The suspended trading members are bound to fulfill contracts outstanding at the time of its suspension. | **d.** | | Suspended trading members not to deal with other trading members. | | |

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| **SECTION B** | | |
| **6.** | The relevant authority may require a trading member to suspend its business in part or in whole under some conditions. Discuss any 2 briefly. | 2 |
| **7.** | On applying for surrender of trading membership, the SEBI sends an account of dues pending to the stock exchange, if not settled by the trading member in due time. How does the exchange follow up on that? | 2 |
| **8.** | Explain Net worth and Other Deposit Requirements for getting a trading membership. | 2 |
| **9.** | State two benefits of getting trading members of NSE. | 2 |
| **10.** | Creation of Market Regulator was one of the major remarkable change that the stock markets underwent since 1992. Discuss the statement. | 2 |
| **SECTION C** | | |
| **11.** | While considering the application of an entity for the grant of registration as a stockbroker/ trading member, SEBI checks out the applicant on certain criterias. List all of those. | 3 |
| **12.** | Explain any 2 key indicators of securities Market. | 3 |
| **13.** | Discuss briefly any 6 basis of Suspension of Membership due to misconduct. | 3 |
| **14.** | State any 3 conditions when a trading member can be declared a defaulter by a stock exchange. | 3 |
| **15.** | In case of an unlisted corporate trading member, there are three conditions under which the corporate trading member will be eligible to constitute dominant promoter group. State them. | 3 |
| **SECTION D** | | |
| **16.** | Explain the admission procedure for new membership at NSE | 5 |

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