NOV 2023

Total No. of Questions : 10]

SEAT No. :

P8874

[Total No. of Pages : 4

[6102]-226

Second Year LL.B. (Three Year Course)

LO 0706 : INVESTMENT AND SECURITIES LAW

(2017 Pattern) (Semester -III)

Time : 3 Hours] *[Max. Marks : 80*

Instructions to the candidates:

1) *Attempt any three questions from part A. Each question in part A carries 15 marks.*
2) *Attempt any two questions from part B. Each question in part B carries 10 marks.*
3) *Attempt any three questions from Part C. Each question in Part C carries 5 marks.*
4) *Figures to the right indicate full marks.*

PART-A [3×15=45]

Q1) State and explain in brief about various new capital market instruments in Indian Securities Market.

Q2) Listing of securities with stock exchange is a matter of great importance for companies and investors. Discuss.

Q3) Explain general obligation and responsibilities of merchant banker.

Q4) What is the regulatory mechanism of Foreign Direct Investment and Foreign Institutional Investors in India?

Q5) Elaborate the concept of Depository system in India.

P.T.O.

CLWP012101 114.143.110.115 24/01/2024 13:40:28 static-115

PART - B

[2×10=20]

Q6) Discuss Constitution of Securities Appellate Tribunal, and its powers and functions.

Q7) What are the various advantages and general obligations of Mutual Funds?

Q8) Enumerate the concept of securities and explain the kinds of securities.

Q9) Discuss the procedure relating to inspection and investigation of the credit rating agencies.

PART - C

Q10) Answer any Three **[3×5=15]**

a) Models of Depository.

b) Primary Market.

c) Provisions relating to Escrow Account.

d) Debt Market in India.

e) Indian Depository Receipts.

♦ ♦ ♦

CLWP012101 114.143.110.115 24/01/2024 13:40:28 static-115

NOV 2022

Total No. of Questions : 10]

SEAT No. :

PA-4461

[Total No. of Pages : 4

[5933]-706

S.Y. LL.B. (Semester - III)

(Second Year of Three Years Law Course)

LO 0706 : (B) INVESTMENT AND SECURITIES LAW

(2017 Pattern)

Time : 3 Hours] *[Max. Marks : 80*

Instructions to the candidates:

1) ***Answer any three questions from part A. Each question in part A is for 15Marks.***
2) ***Answer any two questions from part B. Each question in part B is for 10Marks.***
3) ***Answer question No. 10 from Part - C as directed.The equation No. 10 is for 15 marks.***

PART - A [3×15=45]

Q1) Explain Provisions of Depositories Act and rights and obligations of depositories, Participants and Issuers.

Q2) What is prospectus? Discuss Broadly disclosures to be made in prospectus.

Q3) Explain the inspection and Disciplinary Proceedings which can be initiated against SEBI registered intermediaries.

Q4) What are the initial disclosures required to be made by a person under SEBI insider Trading Regulation, 1992?

Q5) The Debt Market in India comprises mainly two segments the Government Market and the Corporate Security Market. Discuss.

P.T.O.

CLWP012101 114.143.110.114 13/03/2023 13:29:10 static-114

PART - B

[2×10=20]

Q6) Enumerate the process of listing of various securities with the help of different legislations.

Q7) Discuss various Powers and functions of SEBI.

Q8) Discuss various advantages and general obligations of Mutual Funds.

Q9) Explain investors' rights and responsibilities as an individual shareholder and as group.

PART - C

[3×5=15]

Q10) Answer any Three Short Notes (Each note carries 05 marks)

a) Sweat Equity Shares

b) IPO and FPO

c) Demutualization

d) Establishment and constitution of SEBI.

e) Money Market Activities

OOOO

CLWP012101 114.143.110.114 13/03/2023 13:29:10 static-114
CLWP012101 114.143.110.114 13/03/2023 13:29:10 static-114
CLWP012101 114.143.110.114 13/03/2023 13:29:10 static-114

Apr.-2022

Total No. of Questions : 10]

SEAT No. :

P4532

[Total No. of Pages : 2

[5846]-306
S.Y. LL.B.
(Second Year of Three Year Law Course)
LO - 0706 : INVESTMENT AND SECURITIES LAW
(2017 Pattern) (Semester - III)

Time : 3 Hours] ***[Max. Marks : 80***

PART - A

Answer any **Three** (Each questions carries 15 marks)

Q1) What is securities? Explain various kinds of securities and debt instruments along with their distinguishing characteristics features.

Q2) Explain the powers and functions of SEBI.

Q3) What is listing of securities? Explain the relevant provisions of the Securities Contracts (Regulation) Act, 1956 regarding listing of securities and penalties and procedure relating to listing of securities.

Q4) Explain primary market along with IPO and FPO.

Q5) What is dematerialisation and rematerialisation of securities? What are the advantages and disadvantages of dematerialisation and rematerialisation of securities?

PART - B

Answer any **Two** (Each question carries 10 marks)

Q6) What is recognised stock exchange? Explain the relevant provisions for it under the Securities Exchange Board of India Act, 1992.

Q7) Explain the changing functions of banks from direct lending to modern system of investment banking.

Q8) Discuss the Indian perspective of insider trading with the help of laws relating to investment and securities.

Q9) Who are depositories, participants, issuers and beneficial owners? Explain the rights and obligations of them.

PART - C

Q10) Answer any **Three Short Notes** (Each note carries 5 marks)

a) FDI

b) Merchant banker

c) Prospectus and kinds of prospectus

d) Spot delivery contract and Future contracts

e) Securities appellate tribunal

□□□

- APR 2019

Total No. of Questions : 9]

SEAT No. :

P3338

[Total No. of Pages : 2

[5543]-2006
LL.B.
Second Year of Three Years Law Course
LAW
Investment and Securities Law
(2017 Pattern) (Semester - III)

Time : 3 Hours] *[Max. Marks : 80*

PART - A [2 × 20 = 40]

Answer any Two (Each question carries 20 marks)

Q1) Define prospectus and explain elaborately effects of misstatement in prospectus.

Q2) What is the role of Primary Market in relation to securities and who are the players of this Primary Market?

Q3) What is dematerialisation of shares? Explain in detail the advantages and disadvantages of dematerialisation of shares.

Q4) Write a detailed note on various kinds of securities and debt instruments.

PART - B [2 × 15 = 30]

Answer any Two (Each question carries 15 marks)

Q5) Explain elaborately the relevant provisions of the Debt Recovery Tribunal.

Q6) What are the similarities and differences between foreign direct investment and foreign institutional investors.

Q7) What is insider trading? Discuss the relevant provisions on insider trading from SEBI guidelines and the Companies Act, 2013.

Q8) 'From direct lending to modern system of investment banking' explain the changing roles of banks.

P.T.O.

PART - C

Q9) Answer any Two Short Notes (Each note carries 05 marks) **[2 × 5 = 10]**

a) Non-payment of dividend

b) Spot Delivery Contract, Badla Contract, Future Contracts

c) Transnational Corporations and Multinational Corporations

d) Effects of listing of securities

⊖⊖⊖

- OCT 2018

Total No. of Questions : 9]

SEAT No. :

P2800

[Total No. of Pages : 2

[5443]-3006
LL.B. II
INVESTMENT AND SECURITIES LAW
(2017 Pattern) (Semester - III)

Time : 3 Hours] ***[Max. Marks : 80***

Instructions to the candidates:

1) *All Sections are compulsory.*
2) *Figures to the right indicate full marks.*

CLWP012101 114.143.110.114 29/10/2018 14:12:39 smtp

SECTION - I

Answer any Two (Each question carries 20 marks)

Q1) Elaborate the provisions of the Depositories Act, 1996 on Rights and obligations of depositories, participants, issuers and beneficial owners.

Q2) Discuss in detail the advantages and disadvantages of dematerialisation of shares.

Q3) Explain in detail various kinds of securities and debt instruments.

Q4) What are the various functions of SEBI enumerated in section 11 of the Securities Exchange Board of India Act, 1992?

SECTION - II

Answer any Two (Each question carries 15 marks)

Q5) Discuss in detail the history of capital market in India.

Q6) What is the role of Secondary Market in relation to securities and who are the players of this Secondary Market?

CLWP012101 114.143.110.114 29/10/2018 14:12:39 smtp

CLWP012101 114.143.110.114 29/10/2018 14:12:39 smtp

P.T.O.

Q7) Write a detailed note on recognised stock exchanges under the Securities Exchange Board of India Act, 1992.

Q8) Distinguish between Foreign direct investment and foreign institutional investors.

SECTION - III

Q9) Answer any Two Short Notes (Each note carries 5 marks)

a) Meaning of Investment and securities

b) Role and functions of Debt Recovery Tribunal

c) Badla Contract, Future Contracts and Spot Delivery Contract

d) Meaning and definition of insider trading

CLWP012101 114.143.110.114 29/10/2018 14:12:39 smtp