


Name:			
Enrolment No:			
UPES End Semester Examination, December 2023			
Course: Securities and Investment Law Program: BBA LLB- ITIL Course Code: CLIN5002		Semester: IX Time: 03 hrs. Max. Marks: 100	
Instructions: Attempt all questions.			
SECTION A (5Qx2M=10Marks)			
S. No.		Marks	CO
Q 1	Define what are Guild-edged securities?	2	CO1
Q 2	List the various Stock Market Intermediaries.	2	CO1
Q 3	Define Treasury Bills.	2	CO1
Q 4	Define American Depository Receipts.	2	CO1
Q 5	State the purpose for establishing Social Stock Exchange.	2	CO1
SECTION B (4Qx5M= 20 Marks)			
Q 6	Outline the reasons why Foreign Direct Investment is important for the growth of a country.	5	CO2
Q 7	Explain the concept of Corporatization and Demutualization of a Stock Exchange in India.	5	CO2
Q 8	Outline the differences between the Debt market and the Equity Market.	5	CO2
Q 9	What do you understand by 'Promoter' and 'Promoter Group' as per SEBI ICRD Regulations?	5	CO2
SECTION-C (2Qx10M=20 Marks)			
Q 10	Discuss how can a company get listed on Innovators Growth Platform, with and without public offer. Also list the eligibility conditions for the same.	10	CO3

Q 11	What do you understand by Money Market? Examine the structure and function of the money market in India? What are the key instruments traded in this market?	10	CO3
SECTION-D (2Qx25M=50 Marks)			
Q 12	Mr. Tarak has spread a rumor in the market that soon Company ABC is going to take over Company XYZ. The rumor can affect the trading of shares of both the companies. Advise whether SEBI can prosecute Mr. Tarak for using rumors to trade in stocks under Insider Trading Regulations. Also discuss the essentials of offence under insider trading regulations.	25	CO4
Q 13	<p>Mrs. Daya is an old woman. At an informal gathering, she made a statement that trading of securities in physical form was much easier and safer than in electronic form. You, being a new age trader, do not agree with her and have your reasons for the same. While explaining to Mrs. Daya the new system of depositories for trading, answer the following:</p> <ol style="list-style-type: none"> 1. What is a depository system in the Indian stock market, and how does it work? 2. What are the benefits of using a depository system in the Indian stock market? 3. What is the role of SEBI in the depository system in the Indian stock market? 	<p>10</p> <p>8</p> <p>7</p>	CO4