

(D1251CSL)

Total No. of Questions : 10]

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LL.M. DEGREE EXAMINATION, MAY – 2017

Second Year

CORPORATE AND SECURITIES LAW

Corporate Regulations

Time : 3 Hours

Maximum Marks: 70

Answer Any 5 Questions

ALL questions carry equal marks

- Q1)** Explain the constitutional perspectives which are invoked by the state to regulate the corporate governance?
- Q2)** Elaborate the provisions of industries (Development and Regulation) Act 1951 in the light of liberalized process.
- Q3)** What are the recommendations made by the SEBI Committee that requires the audit committee of every publicly listed company to mandatorily review the information in various aspects?
- Q4)** Write an elaborate note on the existing Foreign Trade Policy resolution with special reference to Indian new economic policy?
- Q5)** What are the objectives and goals of MRTP Act? How does it propose to achieve these goals according to the Act? Can it be possible through the present Indian Competition Act?
- Q6)** Write a note on Securities Exchange Board of India to improve the corporate governance standards in and outside India.
- Q7)** Briefly give a note on Foreign Exchange Management Act, 1999 and explain how it differs from FERA in objectives point of view?
- Q8)** What are the norms prescribed by RBI to regulate NBFC and analyze the effect of demonetization on Non Banking Finance Companies.
- Q9)** Explain the changes made in the Insurance Sector in India in view of the IRDA Act 1999.
- Q10)** What are the provisions of RBI (Amendment) Act, 1997 relating to corporate sector with in and outside India?



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Second Year

CORPORATE & SECURITIES LAW

Securities Law & Investor Protection

Time : 3 Hours

Maximum Marks: 70

Answer Any Five Questions

ALL questions carry equal marks

- Q1)** Define ‘Security’ as per Contract Regulation Act, 1956. Explain the Rules for recognition of a Stock Exchange.
- Q2)** What is the objective of Depositories Act, 1996? Explain the procedure followed under this Act in dealing with Securities.
- Q3)** “Insider- Trading is contrary to the protection of interest of Investors”. Discuss the Regulations issued by SEBI in 1992 in this regard.
- Q4)** What do you understand by Allotment of Shares? Elaborate the SEBI Guidelines regarding Preferential Allotment of Shares and Euro-Issue.
- Q5)** Explain “Securities Lending Scheme” and SEBI Regulation, 1992 in this regard to Stock Brokers and Sub-brokers.
- Q6)** What is the procedure for issue of Shares by a Public Limited Company? Discuss the role of Registrar to an Issue and Share Transfer Agent with reference to SEBI Regulation, 1993.
- Q7)** What is Venture Capital Fund? Who is eligible to operate a Venture Capital Fund? Explain the procedure for Registration of Venture Capital Fund.
- Q8)** Explain the conditions and procedure for registration of Merchant Banker. State the responsibilities of Lead Manager.
- Q9)** Define ‘Fraud’ as per the SEBI (Prohibition of Fraudulent and Unfair Trade Practices relating to Securities Markets) Regulation, 1996. List the dealings that are prohibited under this Regulation.
- Q10)** Answer any **TWO** of the following:
- SEBI (Custodian of Securities) Regulation, 1996.
 - Obligations of a Merchant Banker.
 - Underwriters Regulations, 1993.
 - RBI Direction, 1998 on Acceptance of Public deposits by NBFC.