

(D1251CSL)

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LL.M. DEGREE EXAMINATION, MAY - 2018

Second Year

CORPORATE & SECURITIES LAW

Corporate Regulations

Time : 3 Hours

Maximum Marks : 70

Answer any five questions
All questions carry equal marks

- Q1)** What are the provisions of RBI (Amendment) Act, 1997 relating to corporate sector with in and outside India? And also describe the legal regulations relating to public enterprises like telecom and transport.
- 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)** What are the salient features of the SEBI Act, 1992? Is the Act effective in regulating the securities market in 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)** Write short notes on any TWO of the following:
- a) Competition Commission of India.
 - b) Regulation of NBFCs.
 - c) Impact of Globalization on Indian Corporate sector.
 - d) Board of Directors of SEBI.



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LL.M. (Final) DEGREE EXAMINATION, MAY - 2018

Second Year

CORPORATE AND SECURITIES LAW

Securities Law and 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)** Who is an Investor? Discuss the various measures that has to be undertaken by the Companies in this regard.
- Q5)** Explain 'Securities Lending Scheme' and SEBI Regulation, 1992 in this regard to Stock Brokers and Sub-brokers.
- Q6)** Who are underwriters? Discuss the SEBI Regulations in this aspect.
- 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) Discuss the meaning, function of Collective Investment Schemes. Explain the SEBI Regulations in this regard.

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:

- a) SEBI (Custodian of Securities) Regulation, 1996.
- b) Obligations of a Merchant Banker.
- c) Role of NBFC's.
- d) SEBI Guidelines for Preferential Allotment.

