

Name:
Enrolment No:



UNIVERSITY OF PETROLEUM AND ENERGY STUDIES

Online End Semester Examination, May 2021

Course: Laws on Securities & Financial Markets

Semester: II

Program: LL.M. (Business Law)

Time 03 hrs.

Course Code: CLCL 7003

Max. Marks: 100

SECTION A

- 1. Each Question will carry 5 Marks**
- 2. Instruction: Objective style questions/Complete the statement.**

S. No.	Question	CO
Q1	Define Debt Market.	CO1
Q2	Name three entities, which can participate in Money Market in India.	CO1
Q3	Who is the regulator of Foreign Exchange Market in India?	CO1
Q4	Define collective investment scheme.	CO2
Q5	Name the regulator of Stock Markets in India.	CO3
Q6	What is the objective of establishing Securities and Exchange Board of India?	CO4

SECTION B

- 1. Each question will carry 10 marks.**

Q 7	Provide an overview of SEBI (Prohibition of Insider Trading) Regulations, 2015.	CO3
Q 8	Highlight the salient features of Depositories Act, 1996.	CO3
Q 9	Elaborate on the role and Functions of Securities and Exchange Board of India.	CO4
Q 10	Explain the composition and jurisdiction of Securities Appellate Tribunal.	CO4
Q 11	What is the role and significance of Credit Rating Agencies in Indian Capital market?	CO5

Section C

- 1. Entire Question carries 20 Marks.**
- 2. Each sub-section will be evaluated for five marks.**

Q12	<p>Company A Ltd. wants to be enlisted on BSE Ltd. in India. The company has approached you to advise.</p> <p>Advise company A Ltd. on</p> <ol style="list-style-type: none"> 1. Eligibility requirements for Initial public offer (10 marks) 2. Eligibility requirements for further public offer (10 marks) 	CO2
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