


Name: Enrolment No:	
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UNIVERSITY OF PETROLEUM AND ENERGY STUDIES End Semester Examination, December 2024	
Course: Securities Laws and Compliances Program: INT-B.COM(H)-MBA Course Code: FINC2082	Semester: IV Time: 03 Hrs. Max. Marks: 100

SECTION A 10Qx2M= 20 Marks			
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S. No.		Marks	CO
Q 1	<i>Each blank carries 2 marks.</i>		
1.1	What is the minimum subscription to be received in an issue? Ninety Percent Ninety-five Percent Seventy-five percent Fifty percent	2	CO1
1.2	Define LODR.	2	CO1
1.3	Explain Listing of Bonus Shares.	2	CO1
1.4	_____ refers to the ability of an investment to be converted into cash (a) Liquidity (b) Safety (c) Growth (d) Tax saving	2	CO1
1.5	Explain SAT as per SEBI	2	CO1
1.6	The role of a portfolio manager is: (a) Deciding the best investment plan as per investor risk appetite and return expectation (b) Making investor aware of investment opportunities and associated risks (c) Keeping tap on market updates and ensuring necessary legal compliances (d) All of the above	2	CO1
1.7	Define Preamble of SEBI.	2	CO1

1.8	_____ is an asset that is purchased with the expectation of generating income or appreciate in value in future. (a) Investment (b) Land (c) Consumer Durables (d) Copyrights	2	CO1
1.9	Explain Quorum and what should be the quorum for Board Meetings.	2	CO1
1.10	_____ is assigned for Compliance Officer.	2	CO1
SECTION B 4Qx5M= 20 Marks			
2.1	Explain the benefits to companies after listing to Stock Exchange.	5	CO2
2.2	Explain the procedure for appealing to the Securities Appellate Tribunal (SAT).	5	CO2
2.3	Distinguish between Private Limited and Public Limited company.	5	CO2
2.4	Explain the benefits to Investors from Stock Exchange.	5	CO2
SECTION-C 3Qx10M= 30 Marks			
3.1	ABC Enterprises is a growing multinational corporation. Highlight the key functions and duties of the board of directors at ABC Enterprises. Illustrate their role in strategic decision-making, corporate governance, and ensuring accountability to shareholders and stakeholders.	10	CO3
3.2	In the context of corporate governance, provide an overview of the composition and responsibilities of the audit committee within a company. Detail the qualifications and characteristics of members, their role in financial oversight, and the importance of independence in ensuring effective audit processes.	10	CO3
3.3	You've recently noticed some irregularities in the trading patterns of certain stocks handled by your firm. You suspect that there might be instances of market manipulation. In this scenario, explain SEBI's regulatory functions and powers?"	10	CO3
SECTION-D 2Qx15M = 30 Marks			
4.1	"You've recently launched a company in India and are considering raising capital by issuing shares to the public. As part of your preparation, you're evaluating the options of listing your company on either the National Stock Exchange (NSE) or the Bombay Stock Exchange (BSE). In this context, discuss the key differences between NSE and BSE, including their operational mechanisms, market structures, and regulatory environments. How would your decision regarding which exchange to list on be influenced by these factors?"	15	CO4

4.2	In a fictional company, XYZ Corporation, the compliance officer plays a pivotal role in ensuring adherence to regulatory requirements and internal policies. Define the obligations and responsibilities of the compliance officer in XYZ Corporation, emphasizing their role in maintaining ethical standards and regulatory compliance.	15	CO4
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