

End Semester Examination (2021-22)-Odd Semester**LL.M. (Corporate and Commercial Law)- I Year (I Sem)****Course Name: Securities and Investment Law****Code: MLA1103****Time: 02 Hours****Max Marks: 60****University Roll No.****(To be filled by the Student)****Note: Please read instructions carefully:**

- a) The question paper has 03 sections and it is compulsory to attempt all sections.
b) All questions of Section A are compulsory; questions in Section B and C contain choice.

| Section A: Very Short Answer type Questions | | BL | CLO | Marks |
|--|--|-----------|------------|--------------|
| Attempt all the questions. | | | | (10) |
| 1. | Define the term Investment. | BL1 | CLO1 | 02 |
| 2. | Define the term 'Securities Contract'. | BL1 | CLO1 | 02 |
| 3. | What is the purpose for establishment of the SEBI. | BL1 | CLO4 | 02 |
| 4. | Define 'mutual fund'. | BL1 | CLO2 | 02 |
| 5. | What are the international treaties under the Securities and Investment Law. | BL1 | CLO3 | 02 |
| Section B: Short Answer Type Questions | | BL | CLO | Marks |
| Attempt any 03 out of 05 questions. | | | | (30) |
| 1. | What do you understand by the term money market? | BL1 | CLO1 | 10 |
| 2. | "Securities Appellate Tribunal (SAT) shall have the same power as are vested in civil court, while trying a suit". In the light of this statement, discuss the power vested in SAT as civil court. | BL6 | CLO2 | 10 |
| 3. | Distinguish between 'primary market' and 'secondary market' in Investment law. | BL4 | CLO1 | 10 |
| 4. | "The 'Capital Market' and 'Stock Exchange' in particular are referred to as the barometer of the economy". Discuss in short the laws regulating the capital market and Stock Exchange. | BL6 | CLO3 | 10 |
| 5. | Define the term 'insider trading' in a company with the help of suitable illustrations.. | BL1 | CLO4 | 10 |

| Section C: Long Answer Type Questions/Case Study Attempt any 01 out of 03 questions. | | BL | CLO | Marks (20) |
|---|---|-----------|------------|-----------------------|
| 1. | “Protection of an investor is an important aspect of fair transaction of securities”. In the light of the given statement, discuss the various legal provisions for ensuring accountability and transparency of investors under the Securities and Investment Law. | BL6 | CLO3 | 20 |
| 2. | “The Securities and Exchange Board of India Act,1992 has brought many provisions for the investment in relation to securities and investment in India”. In the light of this statement, discuss the powers of Securities and Exchange Board to regulate and transfer of securities. | BL6 | CLO4 | 20 |
| 3. | Discuss the basic features of the Securities Contracts (Regulation) Act,1956 which aims to prevent undesirable transactions in securities by regulating the business of dealing therein, by providing for certain other matters. Take the help of suitable illustrations and case laws for establishing the answer. | BL6 | CLO1 | 20 |
