


Name: Enrolment No:			
<p align="center">UNIVERSITY OF PETROLEUM AND ENERGY STUDIES End Sem Examination – May 2025</p>			
Course: Capital Markets and Securities Laws Program: LLM Course Code: CLCL7016		Semester: II Time: 03 hrs. Max. Marks: 100	
Instructions:			
<p align="center">SECTION A (5Qx2M=10Marks)</p>			
S. No.		Marks	CO
Q 1	List the various Capital Market Intermediaries.	2	CO1
Q 2	State the functions of Credit Rating Agencies.	2	CO1
Q 3	Define Insider Trading.	2	CO1
Q 4	What is Corporate Debt?	2	CO1
Q 5	What is a Convertible Bond?	2	CO1
<p align="center">SECTION B (4Qx5M= 20 Marks)</p>			
Q 6	Explain the structure and function of the money market in India? What are the key instruments traded in this market?	5	CO2
Q 7	Distinguish between Foreign Direct Investment and Foreign Portfolio Investment.	5	CO2
Q 8	On what grounds the Recognition of a Stock Exchange be withdrawn?	5	CO2
Q 9	Explain the working of a depository? What are the benefits of using a depository system in the Indian stock market?	5	CO2
<p align="center">SECTION-C (2Qx10M=20 Marks)</p>			
Q 10	Illustrate the trading mechanism of recognized stock exchanges. Explain the various intermediaries, and their role in the trading and settlement in the stock exchange.	10	CO3
Q 11	Discuss the procedure of Corporatization and Demutualization of a Recognized Stock Exchange under section 4B of Securities Contract Regulations Act, 1956.	10	CO3

SECTION-D
(2Qx25M=50 Marks)

Q 12	<p>Titanic Projects is a company that wants to go public, by bringing its IPO. They come to you seeking your advice about how to proceed for the same. Keeping in mind the provisions of The SEBI (Issue of Capital and Disclosure Requirements) Regulations, 2018, explain them about the following queries:</p> <p>i) Explain why can't they go for an FPO instead of an IPO?</p> <p>ii) Discuss the conditions that they must fulfil before IPO.</p> <p>iii) Explain how much the Minimum Promoter's Contribution in IPO should be, and also what shall be the lock-in period for the same.</p>	<p>5</p> <p>10</p> <p>10</p>	CO4
Q 13	<p>Mr. Makrand, a seasoned gentleman, expressed his preference for physical share certificates over electronic trading at a casual meeting, believing the former to be simpler and more secure. As a modern trader with experience in the current system, you need to convince him otherwise. In your explanation of the depository system to Mr. Makrand, address the following:</p> <ol style="list-style-type: none"> 1. How does the depository system function within the Indian stock market? 2. What advantages does the depository system offer to investors and the market in India? 3. What is the regulatory oversight role of SEBI in the Indian depository system? 	<p>5</p> <p>10</p> <p>10</p>	CO4