


Name:			
Enrolment No:			
UPES End Semester Examination, December 2023			
Course: Securities Market Regulation Program: BBA LLB Corporate Law Course Code: CLCP5005		Semester: IX Time: 03 hrs. Max. Marks: 100	
Instructions: Attempt all questions.			
SECTION A (5Qx2M=10Marks)			
S. No.		Marks	CO
Q 1	Define what are G-secs?	2	CO1
Q 2	List the various Capital Market Intermediaries.	2	CO1
Q 3	List four Money Market Instruments.	2	CO1
Q 4	Define Global Depository Receipts.	2	CO1
Q 5	State the purpose for establishing Innovators Growth Platform.	2	CO1
SECTION B (4Qx5M= 20 Marks)			
Q 6	Distinguish between Foreign Direct Investment and Foreign Portfolio Investment.	5	CO2
Q 7	Explain the concept of Foreign Currency Convertible Bonds (FCCBs). How do they differ from traditional bonds?	5	CO2
Q 8	Outline the role and functions of the Securities Appellate Tribunal (SAT)? Also discuss few notable cases adjudicated by the SAT and their implications for the securities market?	5	CO2
Q 9	Examine the structure and function of the money market in India? What are the key instruments traded in this market, and who are the main participants?	5	CO2
SECTION-C (2Qx10M=20 Marks)			

Q 10	Identify the differences between an American Depositary Receipt (ADR) and a Global Depositary Receipt (GDR)? Provide examples of situations where a company might choose to issue ADRs over GDRs, and vice versa?	10	CO3
Q 11	Explain the role and importance of SME Exchanges in the financial market? What are the benefits for a company to list on an SME Exchange, and what are the eligibility criteria for listing?	10	CO3
SECTION-D (2Qx25M=50 Marks)			
Q 12	<p>Imagine you are an investor who has recently invested in the Indian securities market. You come across a news article alleging fraudulent activities by a listed company in which you have invested. As an investor it is a cause of concern to you as your trust in the securities market is shaken. In order to restore your confidence in the securities market SEBI must take certain strict steps.</p> <p>i) As an investor, what steps would you expect the Securities and Exchange Board of India (SEBI) to take in this situation?</p> <p>ii) Discuss the regulatory powers and functions of SEBI in ensuring the protection of investor interests and maintaining the integrity of the securities market.</p>	25	CO4
Q 13	Mr. Buntu is an innovator and has invented a cost-effective air purifier that can work by attaching it to the room air conditioner. His invention is brilliant as it will disrupt the market of expensive air purifiers available in the market. Mr. Buntu now wants to start a new Company, for manufacturing the device, but is in shortage of capital to start the operations. Suggest Mr. Buntu various modes of raising capital in the market for starting his new business.	25	CO4