RI-0814

M. Com. (Sem. IX) (Integrated) Examination
March / April - 2017
MC-9.1 : Corporate Legal Framework - I
(New Course)

Time : 2 Hours] [Total Marks : 50

Instructions :

(1) Fill up strictly the details of signs on your answer book.

(2) Figures to the right indicate full marks of a question.

(3) Precise and to the point answers are expected.

1 Answer in short : 10

(1) Define beneficiary participants.

(2) What is penalty for failure to reconcile records of dematerialized securities with all the securities issued by the issuer?

(3) List out the some examples of malpractices in the securities market.

(4) What are tie-in-agreements?

(5) What is the full form of SEBI?

2 Explain the objectives and organization of SEBI. 12
3  (a) Explain the powers and function of the Competition Commission of India.

(b) Discuss the rights and obligations of depository participants, beneficial owner and issuer.

4  Write short notes : (any three)

   (1) Primary and secondary market.

   (2) Prohibition of insider trading.

   (3) Anti-competitive agreements

   (4) Contavention and penalty under depositories act, 1996.