



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)

नीचे दशांशके निशानीवाणी विगतो उत्तरवडी पर अवश्य कपवी. Fillup strictly the details of signs on your answer book.	Seat No. :
Name of the Examination :	<input type="text"/>
☛ M. COM. (SEM. 9) (INTEGRATED)	<input type="text"/>
Name of the Subject :	<input type="text"/>
☛ MC-9.1 : CORPORATE LEGAL FRAMEWORK - 1 (NEW)	<input type="text"/>
☛ Subject Code No. : <input type="text" value="0"/> <input type="text" value="8"/> <input type="text" value="1"/> <input type="text" value="4"/>	<input type="text"/>
☛ Section No. (1, 2,.....) : <input type="text" value="Nil"/>	
Student's Signature	

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

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

1 Answer in short :

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(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.

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- 3 (a) Explain the powers and function of the Competition Commission of India. 6
- (b) Discuss the rights and obligations of depository, participants, beneficial owner and issuer. 7
- 4 Write short notes : (any three) 15
- (1) Primary and secondary market.
 - (2) Prohibition of insider trading.
 - (3) Anti-competitive agreements
 - (4) Contention and penalty under depositories act, 1996.
