

Duration: 2 1/2 Hrs

Marks: - 75

Note:-

- 1) All Questions are compulsory
- 2) Figures to the right indicate maximum marks.

Q1. A) Fill in the Blanks (Any 8 out of 10) (8)

- 1) As per SEBI (Depositories & Participants) Regulation 1996 Listing is _____ {CO1 (R)}
- 2) Exchange of money for the off market transaction is _____ {CO1 (U)}
- 3) To withdrawn its security balances for re materialization purpose with depository a client has
To fill _____ {CO1 (R)}
- 4) DP must provide transaction statement to clients at least on _____ {CO1 (U)}
- 5) SEBI gives DP a certificate of _____ {CO2 (A)}
- 6) The Companies Act 2013 has _____ chapters & 470 sections. {CO2 (E)}
- 7) Lifting of corporate veil is permitted by _____ {CO2 (R)}
- 8) CRR stands for _____ {CO2 (R)}
- 9) The first director of a public company are appointed by the _____. {CO1 (R)}
- 10) Member of stock Exchange are called as _____. {CO2 (U)}

Q1. B) Multiple Choice (Any 7 out of 10) (7)

- 1) Bonds, debenture are creditor ship securities also known as _____ {CO1 (E)}
(Debt Capital, Capital Stock, Working Capital, Capital Issue)
- 2) _____ refers to permanent removal of securities of a listed company from a Stock Exchange. {CO1 (A)}
(Compulsory delisting, Voluntary delisting, Listing, Re-listing)
- 3) The first Stock Exchange in India was started in _____ {CO1 (R)}
(1885, 1895, 1875, 1876)
- 4) _____ are the shares issued by the company to its employee or director other than cash {CO1 (U)} (Sweat, Equity, Preference, Bonus)
- 5) Which of the following is not type of securities? {CO2 (R)}
(Initial Listing, Listing for public issue, listing for Sweat Equity, Listing for merger)
- 6) The full form of NSE is _____. {CO2 (U)}
(National Share Exchange, Nationality Stock Exchange, National Stock Exchange, Nationality Share Exchange)

SEBI

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7) An appeal is made to whom against Stock Exchange for refusing the permission listing? {CO2 (E)}
(SAT, NCLT, MAT, ROC)

8) If the company is not being listed, share may be offered to _____ not for transfer. {CO2 (A)}
(Member, Shareholder, Director, HUF)

9) When was NIFTY established? {CO1 (R)}
(1996, 1952, 1965, 1992)

10) SEBI ombudsman was introduced in _____ {CO2 (U)}
(2000, 2002, 2003, 2005)

Q2. a) Summarize in detail one Person Company? {CO1 (U)} (15)

OR

a) Explain in detail lifting of Corporate Veil? {CO1 (R)} (8)

b) Examine the characteristic of Company? {CO1 (A)} (7)

Q3. a) Discuss the various penalties under SEBI? {CO1 (E)} (15)

OR

a) Elaborate on Regulatory & Development function of SEBI?
{CO1 (R)} (8)

b) Examine the various provision of SEBI?
{CO1 (U)} (7)

Q4. a) What do you understand by the term power of Central Govt. to make rules under Act?
{CO2 (E)} (15)

OR

a) Explain the term Corporatization & Demutualization of Stock Exchange? {CO2 (R)} (8)

b) Summarize the term consequence of Non Listing? {CO2 (U)} (7)

Q5. a) Discuss the benefits of depositories system to investors? {CO2 (R)} (15)

OR

a) Write an explanatory note on Fungibility? {CO2 (U)} (8)

b) Examine the provision of NSDL? {CO2 (E)} (7)

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