



Avinashilingam Institute for Home Science and Higher Education for Women
(Deemed to be University under Category 'A' by MHRD, Estd. u/s 3 of UGC Act 1956) Re-
accredited with A++ Grade by NAAC. Recognised by UGC Under Section 12B Coimbatore-641043,
Tamil Nadu, India

Continuous Internal Assessment Test I – FEB 2025
SEMESTER VI

Class: III UG
Major: B.COM (CS)

Time: 2 Hours
Max. Marks: 60

21BCRC27 – SECURITIES LAWS

Course Outcomes:

- CO1: List the securities in the market with all legal formalities.
CO2: Carry out the capital market operations according to the objectives of the SEBI Act.
CO3: Understand the depository process.
CO4: Be familiar with rules and regulations of SEBI.
CO5: Follow disclosure procedure and acquisition of shares and take overs.

Part- A

Answer all questions

(1X6=6)

1. Chairman of Securities and Exchange Board of India is appointed by CO1 K1
 - a. Ministry of Finance
 - b. Reserve Bank of India (RBI)
 - c. State bank of India (SBI)
 - d. None of the above
2. The headquarters of the Securities and Exchange Board of India are CO1 K2
 - a. Mumbai
 - b. New Delhi
 - c. Kolkata
 - d. Chennai
3. The Current Chairman of the Securities and Exchange Board of India CO2 K1
 - a. C B Bhavé
 - b. Ajay Tyagi
 - c. U K Sinha
 - d. None of the above
4. The Securities and Exchange Board of India meets the needs CO2 K3
 - a. Investors
 - b. Market intermediaries
 - c. Issuers of securities
 - d. All of the above
5. The total number of board members in the Securities and Exchange Board of India
 - a. 5
 - b. 7 CO3 K1
 - c. 10
 - d. 9
6. The number of regional offices of the Securities and Exchange Board of India CO3 K2
 - a. One
 - b. Three
 - c. Four
 - d. Two

Part-B

Answer ALL questions

(3x6=18)

- 7.a) Explain about the Securities laws and its objectives. CO1:K1
(Or)
b) Discuss about the Clearing Corporation. CO1:K2
- 8.a) Explain the objectives of SEBI and five rules listing. CO2:K2
(Or)
b) Elaborate the power of SEBI of functions. CO2: K3
9. a) Explain the concept of "minimum public shareholding" under SEBI regulations. CO3:K2
(Or)
b) Describe the types of depository participants and Depositories Systems. CO3:K2

Part C

Answer ALL questions

(3x12=36)

- 10.a) Briefly Explain the public issue and listing of securities. CO1: K3
(Or)
b) Elaborate the Rules relating to public issue and securities contracts. CO1: K3
- 11.a) Discuss the role and powers of SEBI in regulating the securities market in India. Provide relevant examples. CO2: K4
(Or)
b) Explain the key provisions of the Securities Contracts (Regulation) Act, 1956. How does it regulate the stock exchanges in India CO2: K3
12. a) Briefly explain the Depository Systems – Role depositories. CO3:K4
(Or)
b) Elaborate the Power of SEBI. CO3:K1

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