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Reg. No.....

Name.....

FIVE YEAR B.A./B.B.A./B.Com./LL.B. (HONOURS) DEGREE EXAMINATION, JUNE 2026

Ninth Semester

FL 30—INVESTMENT LAW (SECURITIES)

(Special Supplementary Examination—2021 Admissions—Regular only)

Time : Three Hours

Maximum : 75 Marks

Part A

Write short notes on any **five** *of the following.*

Each question carries 3 *marks.*

1. Functions and importance of Stock Exchange.
2. External Commercial Borrowings.
3. Investor Protection Fund.
4. Criminal sanctions under SEBI Act.
5. Features of SEBI (CIS) Regulations.
6. Follow-on Public Offering.

(5 × 3 = 15 marks)

Part B

Answer any **three** *of the following problems.*

Each question carries 10 *marks.*

7. A company raises capital from the public but fails to list its securities on a recognized stock exchange. Examine the legal implications.
8. Minority shareholders approach the NCLT alleging oppression and mismanagement relating to issue of securities. Examine the jurisdiction and remedies available.

Turn over

9. A venture capital fund invests in listed securities contrary to prescribed norms. Examine the legality of such investment.

10. Material information relating to pending litigation is omitted from an IPO prospectus. Discuss the liability of the company and its directors.

(3 × 10 = 30 marks)

Part C

Answer any **two** *of the following questions.*

Each question carries 15 *marks.*

11. Discuss the need for regulation of the capital market in India. Examine the role played by regulatory authorities and legislation.

12. Explain the concept of dematerialisation of securities. Discuss the procedure and importance of listing of securities on stock exchanges.

13. Examine the regulatory control over corporate securities in India. Discuss the respective roles of the Central Government, NCLT, SEBI, and RBI.

(2 × 15 = 30 marks)