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# PRESIDENCY UNIVERSITY

## BENGALURU

### Mid - Term Examinations – October 2025

**Date:** 11-10-2025

**Time:** 11.45am to 01.15pm

<b>School:</b> SOL	<b>Program:</b> BA.LLB/BBA.LLB/B.COMLLB (Hons.)	
<b>Course Code:</b> LAW4030	<b>Course Name:</b> Investment Law	
<b>Semester:</b> IX	<b>Max Marks:</b> 50	<b>Weightage:</b> 25%

<b>CO - Levels</b>	<b>CO1</b>	<b>CO2</b>	<b>CO3</b>	<b>CO4</b>	<b>CO5</b>
<b>Marks</b>	<b>20</b>	<b>30</b>	-	-	-

**Instructions:**

- (i) *Read all questions carefully and answer accordingly.*
- (ii) *Do not write anything on the question paper other than roll number.*

#### Part A

<b>Answer ALL the Questions. Each question carries 2marks.</b>			<b>5Q x 2M=10M</b>		
<b>1</b>	Define “investment law” and explain its economic role.		<b>2 Marks</b>	<b>L1</b>	<b>CO1</b>
<b>2</b>	Mention two capital-raising provisions under the Companies Act, 2013.		<b>2 Marks</b>	<b>L1</b>	<b>CO1</b>
<b>3</b>	Distinguish between IPO and FPO?		<b>2 Marks</b>	<b>L1</b>	<b>CO1</b>
<b>4</b>	State any two investor protection mechanisms under SEBI regulations.		<b>2 Marks</b>	<b>L1</b>	<b>CO1</b>
<b>5</b>	What do you mean by “book-building” in securities issuance?		<b>2 Marks</b>	<b>L1</b>	<b>CO1</b>

#### Part B

<b>Answer the Questions.</b>			<b>Total Marks 40M</b>		
<b>6.</b>	Explain the economic role of investment law and its public policy tensions.		<b>10 Marks</b>	<b>L2</b>	<b>CO1</b>
<b>Or</b>					
<b>7.</b>	Discuss the provisions of the Companies Act, 2013 relating to capital raising, prospectus, and dividend.		<b>10 Marks</b>	<b>L4</b>	<b>CO1</b>

<b>8.</b>	Analyze SEBI's regulatory powers under the SEBI Act, with reference to the ICDR and LODR framework.	<b>10 Marks</b>	<b>L2</b>	<b>CO2</b>
<b>Or</b>				
<b>9.</b>	Explain the concept and significance of insider trading regulations under SEBI (PIT).	<b>10 Marks</b>	<b>L2</b>	<b>CO2</b>

<b>10.</b>	A listed company failed to disclose its related party transactions in time, and minority shareholders filed complaints with SEBI.  Discuss the legal obligations of the company under SEBI LODR Regulations and the consequences of such non-disclosure.	<b>10 Marks</b>	<b>L4</b>	<b>CO2</b>
<b>Or</b>				
<b>11.</b>	During an IPO, misleading statements in the prospectus caused investor losses.  Apply the provisions of the Companies Act and SEBI enforcement mechanisms to evaluate the liability of directors and remedies for investors.	<b>10 Marks</b>	<b>L4</b>	<b>CO2</b>

<b>12.</b>	A popular food-tech company launches its IPO using the book-building method.  Explain the disclosure requirements under SEBI ICDR,  And analyze the role of anchor investors and retail quotas in the issue.	<b>5 Marks</b>	<b>L2</b>	<b>CO2</b>
<b>Or</b>				
<b>13.</b>	An investor discovers that insiders traded shares just before major unpublished price-sensitive information was disclosed.  Evaluate the compliance measures under SEBI PIT and the possible penalties for violators.	<b>10 Marks</b>	<b>L2</b>	<b>CO4</b>