

|  |  |  |  |  |  |  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- |
| Roll No |  |  |  |  |  |  |  |  |  |  |  |

PRESIDENCY UNIVERSITY BENGALURU

 **SET-A**

SCHOOL OF MANAGEMENT

**END TERM EXAMINATION – MAY/JUNE 2024**

**Semester :** Semester IV -2022

**Course Code :** COM3027

**Course Name :**  Laws for Financial safeguards

**Program :** BBA

**Date :** June 18, 2024

**Time :** 9:30 AM - 12:30 PM

**Max Marks :** 100

**Weightage :** 50%

**Instructions:**

1. *Read all questions carefully and answer accordingly.*
2. *Question paper consists of 3 parts.*
3. *Scientific and non-programmable calculator are permitted.*
4. *Do not write any information on the question paper other than Roll Number.*

**PART - A**

**ANSWER ANY 5 QUESTIONS 5 X 2 = 10M**

* 1. Define Penalty for failure to repay deposit or interest thereof, within the time specified as per SEBI guidelines.

(CO4) [Knowledge]

* 1. Define penalty when the company fails to file copy of annual returns within prescribed time.

(CO4) [Knowledge]

* 1. Define Section 4(5) of penalties under Companies Act and SEBI guidelines.
	2. Describe Cryptocurrency.

(CO4) [Knowledge] (CO5) [Knowledge]

* 1. Define Section 40 of penalties for inability to inform the stock exchange for public offers.

(CO4) [Knowledge]

* 1. Define are the consequences of not having adequate financial safeguards in place
	2. Define is insider trading.

.

(CO1) [Knowledge] (CO2) [Knowledge]

**PART - B**

**ANSWER ANY 5 QUESTIONS 5 X 10 = 50M**

* 1. "Prevention is better than cure" is a popular statement applicable for corporate crimes. Explain the elements of Prevention in corporate crimes.

(CO4) [Comprehension]

* 1. Supervisory function of RBI is utmost required for the control mechanism. Explain the supervisory functions of RBI.

(CO3) [Comprehension]

* 1. Inflation can be controlled by RBI by its measures. Explain different measures by RBI to control inflation.

(CO3) [Comprehension]

* 1. Safeguard measure are important to be implementation for the survival of institutions. Explain Definitive measures.

(CO1) [Comprehension]

* 1. "The person using the forged document must have the knowledge or reason to believe that the documents were forged.". Explain the above statement.
	2. Explain the stages of CIRP.

(CO2) [Comprehension]

(CO2) [Comprehension]

* 1. Only 27% of Indian adults and 24% of women have minimum level of financial literacy. Explain the requirements of financial safeguards in fintech companies.

(CO5) [Comprehension]

**PART - C**

**ANSWER ANY 2 QUESTIONS 2 X 20 = 40M**

* 1. WTO has defined the safeguarding structure. Illustrate Safeguarding Structure and terminologies associated with it.

(CO1) [Application]

* 1. Insider Trading is a corporate crime spread across the globe today. Illustrate the restrictions of insider trading in India.

(CO2) [Application]

* 1. RBI plays a stellar and pivotal role for Banking sector reforms and developments today in India. Illustrate the role that RBI plays in Indian Banking sector.

(CO3) [Application]