

SY B. Com (Banking & Insurance)		Semester III	
Course Name: Corporate and Securities Law		Course Code: VGVUCFOE402	
Lectures per week (1 Lecture is of 60 minutes)		2	
Number of Credits		2	
Evaluation System	Assessment	Hours	Marks
	• External Assessment	2	60
	• Internal Assessment	-	40

Course Objectives:	
1	Understand the types, incorporations, and legal framework of a company.
2	Know the Legal framework of securities markets.
3	Gain an overview of SEBI and terms associated with financial markets.

Unit	Content	No. of Lectures
1	Companies Act, 2013	12
	Classification of companies, Incorporation of a Company	
	Memorandum of Association, Articles of Association	
	Doctrine of Alter Ego, Ultra Vires, Constructive Notice, Indoor Management	
2	Regulatory Framework Governing Stock Exchanges as Per Securities Contracts Regulation Act 1956	10
	Definition of Securities, Spot Delivery Contract, Ready Delivery Contract, Stock Exchange	
	Corporatization and demutualization of Stock Exchange–Meaning, Procedure & Withdrawal	
	Listing, De-listing of company on recognized stock exchange and consequences of non-listing	
3	Security Exchange Board of India	8
	SEBI: Objectives-terms-establishment-powers-functions-accounts and audit.	

	TOTAL	30
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Course Outcomes:	
CO1	Gain knowledge of basic structure of Companies and its legal framework.
CO2	Have the knowledge of legal framework of securities market, which is required while working in securities markets
CO3	Understand SEBI and its functions and powers

Recommended Resources	
Reference Books -	<ul style="list-style-type: none"> ● Companies Act 2013 by Ravi Puliani, Bharat Publication ● Bare Act – Corporate Laws Taxmann Microsoft Office Professional2013-Step by step ● Mamta Bhargava – Compliances and Procedures under SEBI Law
<u>E-Resources</u>	
Webliography:	

EVALUATION PATTERN

INTERNAL EVALUATION

• For Major, Minor, Open Elective (OE), Vocational & Skill Enhancement (VSEC) Courses

Sr. No.	Description	Marks
I	Class Test	15
	Q.1 Objectives. (1 Mark each) (Fill in the blanks / True or False / Match the Following)	
	Q.2 Answer Any Two of the Three. (05 Marks each) (Unit based theory questions)	
II	Project / Assignment / Presentation	15
III	Active participation in routine class instructional deliveries and overall conduct as a responsible learner, mannerism and articulation.	10
	TOTAL MARKS	40

Note: For OE from science faculty, practical examination of 40 marks will be conducted for Internal Evaluation.

• For Ability Enhancement (AEC) Courses

Sr. No.	Description	Marks
I	Project / Assignment / Presentation	10
II	Active participation in routine class instructional deliveries and overall conduct as a responsible learner, mannerism and articulation.	10
	TOTAL MARKS	20

• For Co - Curricular (CC) Courses

Sr. No.	Description	Marks
I	Class Test	15
II	Activities	35
	TOTAL MARKS	50

• For Field Project (FP), Community Engagement Programme (CEP) Courses

Sr. No.	Description	Marks
I	Weekly reporting (Minimum 4 hours/week)	15
II	Writing report	20
III	Viva-voce/presentation	15
	TOTAL MARKS	50

EXTERNAL EVALUATION

• For Major, Minor, Open Elective (OE), Vocational & Skill Enhancement (VSEC) Courses

- **Maximum Marks: 60**
- **Questions to be set: 04**
- **Duration: 2 Hours**
- **All Questions are compulsory carrying 15 marks each**

Q. No.	Description	Marks
Q.1	Full Length Question OR Full Length Question	15
Q.2	Full Length Question OR Full Length Question	15
Q.3	Full Length Question OR Full Length Question	15
Q.4	Full Length Question OR Full Length Question	15
	TOTAL MARKS	60

Note: Question of 15 marks can be further sub-divided into questions of 5/5/5, 8/7 or 10/5.

• For Ability Enhancement (AEC) Courses

Q. No.	Description	Marks
Q.1	Attempt any two out three: (5 marks each)	10
Q.2	Attempt any two out three: (5 marks each)	10
Q.3	Attempt any two out three: (5 marks each)	10
	TOTAL MARKS	30