



BERJAYA BUSINESS SCHOOL

FINAL EXAMINATION

Student ID (in Figures) :

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Student ID (in Words) :

Course Code & Name : **FIN3153 Securities Markets Regulations**
 Trimester & Year : January – April 2019
 Lecturer/Examiner : Leow Hon Wei
 Duration : 3 Hours

INSTRUCTIONS TO CANDIDATES

- This question paper consists of 2 parts:
 - PART A (25 marks) : Answer all THREE (3) short answer questions. Answers are to be written in the Answer Booklet provided.**
 - PART B (75 marks) : Answer all FOUR (4) structured answer questions. Answers are to be written in the Answer Booklet provided.**
- Candidates are not allowed to bring any unauthorized materials except writing equipment into the Examination Hall. Electronic dictionaries are strictly prohibited.
- This question paper must be submitted along with all used and/or unused rough papers and/or graph paper (if any). Candidates are NOT allowed to take any examination materials out of the examination hall.
- Only ballpoint pens are allowed to be used in answering the questions, with the exception of multiple choice questions, where 2B pencils are to be used.

WARNING: The University Examination Board (UEB) of BERJAYA University College regards cheating as a most serious offence and will not hesitate to mete out the appropriate punitive actions according to the severity of the offence committed, and in accordance with the clauses stipulated in the Students' Handbook, up to and including expulsion from BERJAYA University College.

Question 1

The Malaysian Stock Market is one of the famous capital market for international fund raising. Do you agree? Justify your answer.

(8 marks)

[Total: 8 marks]

Question 2

Explain **TWO (2)** reasons why it is important for the strict securities law in Malaysia, especially in stock market.

(8 marks)

[Total: 8 marks]

Question 3

“Capital Market is the place where the fund flows from the surplus units to deficit units”. Explain the statement on how the participants and intermediaries work together in the Malaysian Stock Market?

(9 marks)

[Total: 9 marks]

[Total: 25 marks]

Question 1

Money laundering causes foreign investors to withdraw the capital investment in Bursa Malaysia. Strict rules and regulations need to be imposed for Money laundering. Justify how the use of the strict rules to avoid money laundering.

(20 marks)

[Total = 20 marks]

Question 2

Examine whether the process of clearing, delivery, settlement in Bursa Malaysia are effective. Justify your answer in term of rules.

(20 marks)

[Total = 20 marks]

Question 3

Explain **TWO (2)** actions that prohibited in trading securities that cause the Unusual Market Activity (UMA) in Bursa Malaysia.

(15 marks)

[Total = 15 marks]

Question 4

(a) Explain the relationship between rules governing and the stockbroking company.

(10 marks)

(b) Explain and provide an example of the offence relating to share trading. Suggest the ways to reduce the offence.

(10 marks)

[Total: 20 marks]

[Total = 75 marks]

END OF QUESTION PAPER