

Total No. of Questions : 5]

SEAT No. :

P4745

[Total No. of Pages : 2

[5174]-101

P.G.D.F.S. (Semester - I)

101 : MERCHANT BANKING AND FINANCIAL SERVICES

(2013 Pattern) (CBCS)

Time : 3 Hours]

[Max. Marks : 50

Instructions to the candidates:

- 1) *All Questions are compulsory.*
- 2) *Each question has internal Options.*
- 3) *Each Question carries 10 Marks.*
- 4) *Answers should be specific and to the point.*
- 5) *Give suitable example where ever necessary.*

Q1) a) Explain in detail settlement process in equity market.

OR

- b) What is Merchant Banking? Discuss in detail the various functions performed by merchant bankers.

Q2) a) Explain the procedure about the 'IPO' method of marketing securities.

OR

- b) Explain how merchant banker is involved in the post issue activities.

Q3) a) What are the various M & A services offered by the Merchant Banker.

OR

- b) Explain in detail portfolio managers duties and responsibilities.

Q4) a) Write short notes.

- i) Venture Capital Financing
- ii) Forfeiting

P.T.O.

OR

- b) Write short notes.
 - i) Factoring
 - ii) Hire Purchase

Q5) a) What are the guidelines issued by SEBI with regard to the underwriting business in India.

OR

- b) SEBI provides various guidelines to start a business of Portfolio Management. Explain in detail all the guidelines for the same.



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SEAT No. :

P4746

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[5174]-102

Post Graduate Diploma in Financial Services (Semester - I)

102 : MONEY & CAPITAL MARKETS

(2013 Pattern)

Time : 2½ Hours]

[Max. Marks : 50

Instructions to the candidates:

- 1) There are five questions each of 10 marks.
- 2) All questions are compulsory with internal choice.

Q1) Discuss the functions and constituents of financial markets. [10]

OR

Distinguish between Indian Financial Market and Global Financial Market.

Q2) What is Money Market? Discuss different money market instruments. [10]

OR

What is Bill of Exchange? Explain the different types of Bill of Exchange in India.

Q3) What is capital market? What are primary and secondary markets? [10]

OR

What are important instruments in Capital Market? Explain each in brief.

Q4) What are the objectives and powers of SEBI? [10]

OR

Explain the recommendations of committees on SEBI's regulatory framework.

P.T.O.

Q5) 'A stock market is commonly regarded as a barometer of business conditions in the economy'. Elucidate. **[10]**

OR

Write Short note on (any two)

- a) Bombay Stock Exchange (BSE)
- b) OTC Exchange
- c) Recent Development of stock exchange



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P4747

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[5174]-103

P.G.D.F.S. (Semester - I)

103 : FINANCIAL REGULATORY FRAMEWORK

(2013 Pattern)

Time : 2½ Hours]

[Max. Marks : 50

Instructions to the candidates:

- 1) There are five questions each of 10 marks.
- 2) All questions are compulsory with internal choice.

Q1) a) Explain the need and importance of regulatory. Framework in finance field. [10]

OR

b) Discuss the structure of regulatory framework in India.

Q2) a) What are the functions of Insurance Regulatory and Development Authority. [10]

OR

- b) Explain the following :
- i) Board for payment & settlement systems.
 - ii) Board for financial supervision.

Q3) a) Explain the procedure of restructuring and winding up of business under the companies Act, 1956. [10]

OR

b) Explain the provisions regarding accounts and Audits under the companies Act, 1956.

Q4) a) What is Global Depository Receipt? How it is different from an American Depository Receipt? [10]

OR

b) Explain the regulatory framework for raising funds through external commercial borrowings.

P.T.O.

Q5) a) Explain the following terms of FEMA.

[10]

- i) Current Account Transaction
- ii) Authorised person
- iii) Foreign currency

OR

b) Discuss the role of foreign direct investments and foreign institutional investments in Indian financial system.



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SEAT No. :

P4748

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[5174]-104

P.G.D.F.S.

104 : INVESTMENT PRODUCTS AND CHARACTERISTICS

(2013 Pattern)

Time : 2½ Hours]

[Max. Marks : 50

Instructions to the candidates:

- 1) *All questions are compulsory.*
- 2) *All questions carry equal marks. (10)*

Q1) How Investments differ from Savings? Explain with suitable examples.

OR

Differentiate between debentures and bonds. Discuss Merits of Debentures.

Q2) Differentiate between debentures and bonds, Write in detail types of bonds.

OR

What is Debt market? Differentiate between retail and wholesale debt market.

Q3) What is commodity market? Differentiate between futures and options.

OR

Write detail note on

- a) Spot
- b) Forward

Q4) Explain the role and achievements of mutual funds in India after 1991.

OR

Discuss the concept of Mutual Fund Schemes and types of mutual funds.

Q5) How is GDR different from ADR? State the advantages and disadvantages of GDR.

OR

Explain the concept of real estate investment. What are the problems of liquidity in real estate?



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SEAT No. :

P4749

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[5174]-201

P.G.D.F.S. (Semester - II)

201 : FINANCIAL INSTRUMENTS AND DERIVATIVES

(2013 Pattern)

Time : 2½ Hours]

[Max. Marks : 50

Instructions to the candidates:

- 1) *There are five questions each of 10 marks.*
- 2) *All questions are compulsory with internal choice.*

Q1) a) What are Financial Instruments? Elaborate the various types of financial Instruments available in capital market. **[10]**

OR

- b) Distinguish between Capital Market and money market. Explain its meaning, definition and importance.

Q2) a) Define commercial paper. Discuss in brief the eligibility criteria for issue of commercial paper. **[10]**

OR

- b) What is money market? Discuss different money market instruments.

Q3) a) Briefly discuss the various kinds of Preference Shares. **[10]**

OR

- b) Define the term 'Debenture'. What are the different kinds of debentures issued by Indian Corporate?

Q4) a) What is meant by Derivatives? Explain the characteristics of Derivatives. **[10]**

OR

- b) Distinguish between Forward contracts and Future Contracts.

Q5) a) Explain and write in detail about SWAP in Option contract. **[10]**

OR

- b) Explain the concept of Capital Assets Pricing Model. State its advantages and disadvantages.



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SEAT No. :

P4750

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[5174]-202

P.G.D.F.S. (Semester - II)

202 : EQUITY RESEARCH WITH FINANCIAL MODELING

(2013 Pattern)

Time : 2½ Hours]

[Max. Marks : 50

Instructions to the candidates:

- 1) *There are five questions each of 5 marks.*
- 2) *All questions are compulsory with internal choice.*

Q1) a) Explain the process of writing an equity research report. Suggest recommendation for an effective presentation. **[10]**

OR

b) What is fundamental analysis of equity research?

Q2) a) Explain the purpose and uses of financial model in equity research. **[10]**

OR

b) Describe the following excel functions commonly used in financial modeling.

- i) Look up & references
- ii) If statement & Its alternatives

Q3) a) Differentiate between trend analysis and sensitivity analysis. **[10]**

OR

b) Define company valuation. Explain the term 'equity stock Relative Valuation' and 'Dividend Discount Model'.

Q4) a) Elaborate the term 'moving averages' using simple, exponential rate of change indicators (ROC). **[10]**

OR

b) Explain how you will conduct data analysis of a company from Share market.

P.T.O.

Q5) a) Explain with suitable examples the different charts used in Technical Analysis. **[10]**

OR

b) Discuss the term 'Decision making charts' using examples and diagrams.



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SEAT No. :

P4751

[Total No. of Pages : 2

[5174]-203

P.G.D.F.S. (Semester - II)

203 : WEALTH AND PORTFOLIO MANAGEMENT

(2013 Pattern)

Time : 2 Hours]

[Max. Marks : 50

Instructions to the candidates:

- 1) *All questions are compulsory.*
- 2) *Each questions has an internal option.*
- 3) *Each question carries 10 marks.*
- 4) *Figures to the right indicates marks for that question.*

Q1) a) “The process of portfolio Management is a complex process that are inter-related with each other”. Explain. **[10]**

OR

- b) “The portfolio management is an art and science of making decisions about investment mix and policy”. Explain in the light of risk and return for a portfolio of securities.

Q2) a) Explain in detail different forms of Efficient Market Hypothesis. **[10]**

OR

- b) Explain the CAPM. How does it help in the estimation of expected return of a security?

Q3) a) “Investor should not hold all their eggs in one basket”. Explain in the context of diversification of portfolio. **[10]**

OR

- b) What is portfolio? How is the risk and return of a two security portfolio measured?

Q4) a) “Portfolio revision is a continuous process to ascertain required return and minimising risk”. Discuss. **[10]**

OR

- b) How different formula plans helps portfolio managers for portfolio revision?

P.T.O.

Q5) a) Write note on -

[10]

- i) Treynor Index.
- ii) Sharpe Index.

OR

b) “Jenson’s Index attempts to construct a measure of absolute performance”. Explain.



Total No. of Questions : 5]

SEAT No. :

P4752

[Total No. of Pages : 1

[5174]-204

P.G.D.F.S. (Semester - II)

204 : RISK & INSURANCE MANAGEMENT

(2013 Pattern)

Time : 2½ Hours]

[Max. Marks : 50

Instructions to the candidates:

- 1) There are five questions each of 10 marks.*
- 2) All questions are compulsory with internal choice.*

Q1) What are the types of Insurance? Explain the principle of Insurance. **[10]**

OR

What is General Insurance? Explain the various types of General Insurance.

Q2) Discuss the different types of Insurance contracts. **[10]**

OR

Explain the duties, powers and functions of Insurance Regulatory and Financial Authority (IRDA).

Q3) Explain the process in premium determination of any insurance policy. **[10]**

OR

What are the perils covered in a fire insurance policy?

Q4) Explain the techniques of evaluations of risk in insurance services. **[10]**

OR

What do you mean by Risk Management? Explain the process of risk management.

Q5) Explain the contexts of a proposal and Agent's Report in respect of a Life Insurance contract. **[10]**

OR

What are the problems faced by the consumer from the insurance company? Explain the rights of Insured.

