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**POST-GRADUATE DIPLOMA IN FINANCIAL SERVICES
(I SEM.) EXAMINATION, 2018
101 : MERCHANT BANKING AND FINANCIAL SERVICES
(2013 PATTERN)**

Time : Three Hours

Maximum Marks : 50

N.B. :— (i) All questions are compulsory.
(ii) All questions carry equal marks.

Q.1 A) “Stock Exchanges ensure proper functioning of the Indian Financial system.” Comment
OR

Q. 1 B) What is Merchant Banking? Describe its importance and scope?

Q. 2 A) Consider yourself as a Merchant Banker,” What procedure would you follow to issue a new security for a company?”

OR

Q. 2 B) What activities should a merchant banker follow post issue of a security?

Q. 3 A) Discuss various M & A services offered by the Merchant Bankers.

OR

Q. 3 B) What are portfolio Management Services? Discuss the responsibilities of the Portfolio Management service providers.

Q. 4 A) Write short notes on:

- i. Securitization
- ii. Venture Capital financing

OR

Q.4 B) Write short notes on:

- i. Factoring & Forfaiting
- ii. Leasing Vs Hire Purchase

Q. 5 A) What is regulation 13 of SEBI regulation on Portfolio managers?

OR

Q. 5 B) Discuss the role of SEBI in regulating the Capital markets

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[5374]-102

**POST-GRADUATE DIPLOMA IN FINANCIAL SERVICES
(I SEM.) EXAMINATION, 2018
102 : MONEY AND CAPITAL MARKETS
(2013 PATTERN)**

Time : 2½ Hours

Maximum Marks : 50

N.B. :— (i) There are *five* questions each of 10 marks.
(ii) *All* questions are compulsory with internal choice.

Q1. Define Financial Markets. Explain 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

Explain various instruments that are traded in money market.

Q3. State the features and importance of capital market. 10

OR

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

Q4. What are the objectives and powers of SEBI? 10

OR

Describe the SEBI guidelines for primary markets.

Q5. Explain how the stock exchanges play an important role in the financial market. 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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[5374]-103

P.G.D.F.S. (I Sem.) EXAMINATION, 2018

103 : FINANCIAL REGULATORY FRAMEWORK

(2013 PATTERN)

Time : 2½ Hours

Maximum Marks : 50

N.B. :— (i) There are *five* questions each of 10 marks.

(ii) *All* questions are compulsory with internal choice.

1. (a) Describe the need and importance of regulatory framework in India. [10]

Or

(b) Explain the structure of regulatory framework in India.

2. (a) Define the role of RBI in Indian financial system. [10]

Or

(b) Discuss the role and functions of SEBI.

3. (a) Define the term Prospects in Companies Act, 1956. Elaborate the various contents of prospects in detail. [10]

Or

(b) What are provisions as per Companies Act, 1956 regarding Accounts and Audit ?

P.T.O.

4. (a) Explain the following terms : [10]
(i) ADR
(ii) GDR

Or

- (b) Describe the External Commercial Borrowing in detail.

5. (a) Discuss the role and functions of FEMA. [10]

Or

- (b) Define the importance of Foreign Institutional Investment in Indian financial system.

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P.G.D.F.S. (I Semester) EXAMINATION, 2018
INVESTMENT PRODUCTS AND CHARACTERISTICS
(2013 PATTERN)

Time : Three Hours

Maximum Marks : 50

N.B. :— (i) *All questions are compulsory.*

(ii) *All questions carry equal marks.*

1. 'Savings and Investment are two sides of a coin.' Comment.

Or

What do you mean by 'Debentures' ? Explain in detail different types of debentures.

2. Explain concept of Corporate Bond. Explain different types of corporate bonds.

Or

(a) Mr. Ram purchased three year before one convertible bond at ₹ 220 today's market price is ₹ 193. If the coupon rate is 8%, what is the current yield of the bond.

(b) Write a brief note on Government securities.

3. Explain the importance of commodity exchange. Discuss the benefits and limitations of trading in commodities.

P.T.O.

Or

Explain concept of carbon credit. Write in detail the emerging carbon credit market and trading in carbon credit.

4. What do you mean by Mutual Fund ? Explain different products of Mutual Fund.

Or

Explain in detail concept of commercial paper.

5. Explain the concept of real estate investment. Discuss its features and characteristics.

Or

Write notes on (any *two*) :

- (a) FCCB
- (b) ADR and GDR
- (c) Foreign derivative contract.

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P.G.D.F.S. (Second Semester) EXAMINATION, 2018

201 : FINANCIAL INSTRUMENTS AND DERIVATIVES

(2013 PATTERN)

Time : 2½ Hours

Maximum Marks : 50

N.B. :— (i) All questions are compulsory with internal choice.

(ii) There are *five* questions each of 10 marks.

1. Define capital market. Explain concept of capital market with suitable examples.

Or

What is the financial instruments ? Explain the importance of financial instruments with suitable examples.

2. What is Money Market ? Explain various money market instruments.

Or

Explain the investment in treasury bills.

3. Define share market. Explain the primary and secondary market.

P.T.O.

Or

Write a note on (any *two*) :

- (i) Equity shares
- (ii) Bonds
- (iii) IPO
- (iv) Risk Management.

4. Define derivatives. Explain the types of derivatives with examples.

Or

Write a notes on (any *two*) :

- (i) Future contract
- (ii) Forward
- (iii) Option
- (iv) Spot Market.

5. What is the option contract ? Write in detail about option and explain the option for risk management.

Or

Define option contract. Explain the concept of risk management with Derivatives.

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[5374]-202

P.G.D.F.S. (II Semester) EXAMINATION, 2018

202 : EQUITY RESEARCH WITH FINANCIAL MODELING

(2013 PATTERN)

Time : 2½ Hours

Maximum Marks : 50

N.B. :— (i) All questions are compulsory.

(ii) Each question has an internal option.

(iii) Each question carries 10 marks.

1. (a) Explain the process of writing an equity research report. Suggest recommendation for an effective presentation.

Or

(b) Explain equity research. Explain the importance of fundamental analysis in equity research.

2. (a) Explain the purpose and uses of financial model.

Or

(b) Describe the following Excel functions commonly used in financial modeling :

(i) Look up and References

(ii) Linking workbooks.

3. (a) Differentiate between trend analysis and sensitivity analysis.

P.T.O.

Or

(b) Explain the term 'Discounted cash flow method' of company valuation.

4. (a) Explain how you will conduct data analysis of a company from share market.

Or

(b) Elaborate the term 'moving averages' and 'moving average convergence and divergence' with suitable example.

5. (a) Discuss the term 'Decision making charts' with example.

Or

(b) Explain how you will conduct technical analysis of financial statements.

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P.G.D.F.S. (II Semester) EXAMINATION, 2018

203 : WEALTH AND PORTFOLIO MANAGEMENT

(2013 PATTERN)

Time : Three Hours

Maximum Marks : 50

N.B. :— (i) All questions are compulsory.

(ii) All questions carry equal marks.

(iii) Figures to the right indicate full marks.

1. (a) “Portfolio Management is a continuous process.” Explain. [10]

Or

(b) How Portfolio Management is developed over the years ? [10]

2. (a) Define Efficient Market Hypothesis. Explain it with suitable diagram. [10]

Or

(b) Explain CAPM model with suitable example. [10]

3. (a) Discuss Portfolio Selection. [10]

Or

(b) Why risk is an important consideration in portfolio management ? How is it measured ? [10]

P.T.O.

4. (a) What are the reasons of portfolio revision ? [10]

Or

(b) What is portfolio revision ? Explain different plans of revision. [10]

5. (a) Explain the process of portfolio evaluation. [10]

Or

(b) Explain the various methods of portfolio performance evaluation with an example. [10]

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P.G.D.F.S. (II Semester) EXAMINATION, 2018
204 : RISK & INSURANCE MANAGEMENT
(2013 PATTERN)

Time : 2½ Hours**Maximum Marks : 50***N.B.* :— (i) There are *five* questions each of 10 marks.(ii) *All* questions are compulsory with internal choice.

Q1. What is General Insurance? Explain the various types of General Insurance. 10

OR

Explain the legal forms of Insurance companies.

Q2. What are the protection investment and convenience elements in Life Insurance? 10

OR

Explain the Insurance Regulatory Act, 2000 (India).

Q3. What is insurance pricing? Explain the pricing objective of insurance. 10

OR

What are the perils covered in a fire insurance policy?

Q4. What do you mean by risk Management? Explain the process of risk management. 10

OR

Explain the techniques of evaluation of risk in insurance services.

Q5. Describe the role of Court and the insurance commissioners in consumer protection of the Insured. 10

OR

Explain the concept of economic theory of supply and demand in the insurance market.