

Total No. of Questions : 5]

SEAT No. :

**P4449**

**[4780] - 101**

[Total No. of Pages :2

**P.G .D.F.S.**

**101 : MERCHANT BANKING AND FINANCIAL SERVICES  
(2013 Pattern) (Semester - I)**

*Time : 2 Hours]*

*[Max. Marks : 50*

*Instructions to the candidates:*

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

**Q1) a)** Explain the mechanism of trading operations and settlement of transactions adopted at NSE.

OR

b) What is merchant banking? Discuss in detail the various functions performed by merchant banker.

**Q2) a)** Elaborate on the pre-issue activities involved in the management of public issue.

OR

b) Explain in detail the various methods of marketing of new issue.

**Q3) a)** Define the term 'merger'. What are the different forms of merger?

OR

b) Who is a portfolio manager? What are the responsibilities of a portfolio manager?

**Q4) a)** Short notes:

- i) Features & Role of Mutual Funds.
- ii) Credit Rating.

OR

**P.T.O.**

- b) Short notes
  - i) Venture Capital Financing.
  - ii) Housing Finance.

**Q5)** a) Outline the procedure relating to the registration of portfolio managers under the SEBI Regulation.

OR

- b) What are the guidelines issued by SEBI with regard to the underwriting business in India?



Total No. of Questions : 5]

SEAT No. :

**P4450**

**[4780]-102**

[Total No. of Pages : 2

**P.G.D.F.S.**

**102: MONEY AND CAPITAL MARKETS**

**(2013 Pattern) (Semester - I)**

*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)** Elaborate the transformation that has taken place in the organization of the Indian financial system in the post - 91 period? **[10]**

OR

Differentiate between Indian financial market and Global financial market.**[10]**

**Q2)** Describe the development in the money markets in India after liberalisation.**[10]**

OR

What is bill of exchange? Explain the different types of bill of exchanges in Inida. **[10]**

**Q3)** Define capital market. Describe its structure and role in India. **[10]**

OR

Discuss the major issues in Indian capital market. **[10]**

**P.T.O.**

**Q4)** Explain the working of SEBI. Describe the SEBI functions in brief. **[10]**

OR

What are the SEBI guidelines for primary market? **[10]**

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

OR

Explain in brief about NSE and trading system on NSE. **[10]**

*EEE*

Total No. of Questions : 5]

SEAT No. :

**P4451**

**[4780] -103**

[Total No. of Pages :2

**P.G.D.F.S.**

**103: FINANCIAL REGULATORY FRAMEWORK**

**(2013 Course) (Semester - I)**

*Time : 2 ½ 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)** Explain the basic regulatory framework for financial services in India. Is it conducive for the growth of the sector. **[10]**

OR

Explain the need and importance of regulatory framework in finance field. **[10]**

**Q2)** How does SEBI protect the interest of investors? Explain. **[10]**

OR

Explain the objectives of pension funds Regulatory and Development Authority. **[10]**

**Q3)** Explain the process of Book-Building and SEBI'S guidelines for Book-Building. **[10]**

OR

Explain under the companies Act, 1956 the constitution and powers of Advisory committee. **[10]**

**P.T.O.**

**Q4) Differentiate between ADR & GDR. [10]**

OR

Discuss the regulatory framework for International Funds. [10]

**Q5) Explain the following terms under FEMA: [10]**

- a) Foreign Direct Investments
- b) Foreign Institutional Investments

OR

What are the provisions of FEMA regarding acquiring property outside India? [10]



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SEAT No. :

**P4452**

**[4780] - 104**

[Total No. of Pages :1

**P.G.D.F.S.**

**104: INVESTMENT PRODUCTS & CHARACTERISTICS  
(2013 Pattern) (Semester - I)**

*Time : 2 ½ Hours]*

*[Max. Marks : 50*

*Instructions to the candidates:*

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

**Q1)** Write a detailed note on 'Time Value of Money'. Discuss its importance while making investment decisions.

OR

Distinguish between private equity and venture capital. State and explain the different stages in venture capital financing.

**Q2)** State and discuss the risks associated with investment in bonds.

OR

Discuss the various types of securities issued by Government of India.

**Q3)** Write a detailed note on: 'Commodity Markets'.

OR

What is carbon credit? Discuss in detail the emerging carbon credit markets and trading in carbon credits.

**Q4)** "Mutual Funds have opened the doors of investment in securities market to the common investor". Do you agree? Justify your answer.

OR

Discuss 'Certificate of Deposits' and 'Commercial Papers'. What are the major benefits and costs of these to the operators in the money market?

**Q5)** What are the risks associated with real estate investment? Compare advantages and disadvantages of investment in real estate with other investment option like Shares, Bank, Deposits, Mutual funds, Debt Market and Commodity Markets.

OR

Discuss the recent trends in the international portfolio investment flows.



Total No. of Questions : 5]

SEAT No. :

**P4453**

**[4780] - 201**

[Total No. of Pages :2

**P.G .D.F.S.**

**201 : FINANCIAL INSTRUMENTS & DERIVATIVES  
(2013 Pattern) (Semester - II)**

*Time : 2½ Hours]*

*[Max. Marks : 50*

*Instructions to the candidates:*

- 1) *All questions are compulsory.*
- 2) *Use diagrams wherever necessary.*
- 3) *All questions carry equal marks.*
- 4) *Each question has an internal option.*
- 5) *Use of accounting calculators is permitted (as applicable).*

**Q1)** a) What is Capital Market? Explain the structure, players and instruments of Capital Markets.

OR

b) Elaborate and write in detail the meaning, definition, need and importance of Capital & Money Market Financial Instruments.

**Q2)** Write short notes on (Any 2)

- a) Call/Money.
- b) Treasury Bills.
- c) Commercial Papers.
- d) Certificate of Deposits

**Q3)** a) Elaborate and explain in detail the functions, role and importance of GDR and ADR as instruments of capital market.

OR

b) Distinguish between equity shares and preference shares in a Capital Market.

**P.T.O.**



**Q4)** a) 'Derivative Trading is an important component of Indian Financial System'. Explain in detail.

OR

b) Elaborate the various types of Derivatives. What do you understand by the term Commodity Derivative Market?

**Q5)** a) What is 'Risk'? Explain Risk Management with respect to derivatives.

OR

b) Explain and write in detail about SWAP in Option Contract.



Total No. of Questions : 5]

SEAT No. :

**P4455**

**[4780] -203**

[Total No. of Pages :2

**P.G.D.F.S.**

**203: WEALTH AND PORTFOLIO MANAGEMENT**

**CBCS - (2013 Course) (Semester - II)**

*Time : 2 ½ Hours]*

*[Max. Marks : 50*

*Instructions to the candidates:*

- 1) *All questions are compulsory.*
- 2) *Each question has an internal option.*
- 3) *Each question carries 10 marks.*
- 4) *Figures to the right indicate marks for that question/sub-question.*
- 5) *Your answers should be specific and to the point.*
- 6) *Support your answers with suitable live examples.*
- 7) *Draw neat diagrams and illustrations supportive to your answer.*
- 8) *Use of calculators is permitted.*

**Q1) a)** What is portfolio management? Describe the different phases in portfolio management. **[10]**

OR

b) Explain in detail the development of portfolio management. **[10]**

**Q2) a)** Explain Efficient Market Theory in detail. **[10]**

OR

b) How CAPM is used in determining securities prices? **[10]**

**Q3) a)** How the portfolio risk is reduced with the help of diversification? Explain. **[10]**

OR

b) What is portfolio risk? Illustrate the calculation of the portfolio risk with an example. **[10]**

**P.T.O.**

**Q4) a)** Why portfolio revision is require? On which constraint should a portfolio manager give attention while revising portfolio? **[10]**

OR

b) Explain in detail portfolio revision strategies. **[10]**

**Q5) a)** Write note on- **[10]**

i) Jensen ratio

ii) Fama's decomposition

OR

b) Explain in detail different risk adjusted return measures. **[10]**



Total No. of Questions : 5]

SEAT No. :

**P4456**

**[4780] - 204**

[Total No. of Pages :1

**P.G.D.F.S.**

**204: RISK AND INSURANCE MANAGEMENT  
(2013 Pattern) (Semester - II)**

*Time : 2 ½ 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 is General Insurance? Explain the various types of General Insurance. **[10]**

OR

What is Insurance? Explain the need of insurance. State the various types of Insurance. **[10]**

**Q2)** Explain the Insurance Regulatory Act 2000 (India). **[10]**

OR

Discuss different types of insurance contracts. **[10]**

**Q3)** What is insurance pricing? Explain the pricing objective of insurance. **[10]**

OR

Briefly explain the cost and benefits of insurance. What are the perils covered in a fire policy? **[10]**

**Q4)** What is risk management? Explain the objectives of risk management. **[10]**

OR

What are the various risk analysis techniques? Explain the barriers in the risk analysis process. **[10]**

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

OR

Explain the concept of Economic Theory of Supply and Demand in the Insurance market. **[10]**

