

Total No. of Questions : 5]

SEAT No. :

P2990

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[4880] - 101

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

**Merchant Banking & Financial Services
(2013 Pattern)**

Time : 2 Hours]

[Max. Marks : 50

Instructions to the candidates:

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

Q1) a) Explain in detail regulations of stock exchanges.

OR

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

Q2) a) What do you know about the 'IPO' method of marketing securities? Explain the procedure involved in the same.

OR

- b) Explain the post issue activities of the Merchant Banker.

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

OR

- b) Explain in detail the step wise procedure for amalgamation.

Q4) a) Write short notes.

- i) Securitization
- ii) Credit Rating

OR

b) Write short notes.

- i) Factoring & forfaiting
- ii) Hire purchase finance

P.T.O.

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

OR

b) What are the aspects considered by the SEBI before granting the certificate of registration to commence the business portfolio management.



Total No. of Questions : 5]

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[4880] - 102

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

**Money and Capital Markets
(2013 Pattern)**

Time : 2.30 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

Discuss the functions and constituents of financial markets.

Q2) Explain the structure and composition of Money Market. **[10]**

OR

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

Q3) Define Capital Market. Describe its structure and role in India. **[10]**

OR

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

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

OR

What are the objectives and powers of SEBI?

P.T.O.

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

OR

Discuss the functions and importance of clearing house in stock market.



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[4880] - 103

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

**103 : Financial Regulatory Framework
(2013 Pattern)**

Time :3 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 structure of Financial Regulatory Framework in India. **[10]**

Q2) Discuss the role & functions of Reserve Bank of India. **[10]**

OR

Discuss the role & functions of SEBI. **[10]**

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

OR

What are the provisions of the companies Act, 1956 regarding Accounts and Audits. **[10]**

Q4) Discuss the regulatory framework for international funds. **[10]**

OR

Differentiate between FDI and FII. **[10]**

P.T.O.

Q5) Explain the following terms under FEMA :

[10]

- a) Current Account transactions.
- b) Authorized person.

OR

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

[10]



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SEAT No. :

P2993

[Total No. of Pages : 2

[4880] - 104

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

**104 : Investment Products and Characteristics
(2013 Pattern)**

Time : 3 Hours]

[Max. Marks : 50

Instructions to the candidates:

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

Q1) Define the term 'investment'. State and explain the different avenues of investment.

OR

What is the concept of 'Private Equity'? Discuss the benefits of Private Equity finance.

Q2) 'Market interest rates and debenture prices are inversely related'. Do you agree? Justify your answer.

OR

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

Q3) What is carbon credit? Discuss in detail the emerging carbon credit markets and trading in carbon credits.

OR

Explain the importance of commodity exchange. Discuss the benefits and limitations of commodity exchange vis-a-vis physical trading of commodities.

Q4) What is an Asset Management Company? Explain the functioning of AMC.

OR

What are Treasury Bills? State and discuss the types of T-Bills.

P.T.O.

Q5) Explain the key determinants of value in real estate: demand, supply, the property and the property transfer process.

OR

Write notes on: (ANY TWO)

- a) ADR & GDR
- b) FCCB
- c) ECB



Total No. of Questions : 5]

SEAT No. :

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[4880]-201

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

**201: FINANCIAL INSTRUMENTS AND DERIVATIVES
(2013 Pattern)**

Time : 3 Hours]

[Max. Marks : 50

Instructions to the candidates:

- 1) *All questions are compulsory.*
- 2) *Each questions carries 10 marks.*

Q1) a) What is a financial system? Discuss the role of Capital and Money Market Financial instruments in the financial system.

OR

b) Discuss and explain in brief any five types of financial instruments of Indian Financial System.

Q2) a) What do you understand by the term Money Market instruments as against the Indian Financial Scenario? Explain any two types of Money Market instruments.

OR

b) Write short notes on (Any Two) :

- i) Certificate of Deposits.
- ii) Commercial papers.
- iii) Inter banks term money.
- iv) Treasury Bills.

Q3) a) Elaborate the capital market instruments of Indian Financial System and discuss in detail any two capital market instruments available in Indian Financial System.

OR

P.T.O.

- b) Write short notes on (Any two) :
- i) No voting shares.
 - ii) GDR and ADR.
 - iii) Fixed Deposit.
 - iv) Warrants, Debentures and Bonds.

Q4) a) What do you understand by derivatives? Trace the origin of derivatives. What purpose(s) do they serve?

OR

- b) Explain derivatives with context to the following :
- i) Spot, forward and future contracts.
 - ii) Commodity derivatives market.

Q5) a) Discuss in detail the concept of Risk Management in derivatives. What is the role of speculators in the derivative market.

OR

- b) “CAPM (Capital Asset Pricing Method) establishes relationship between risk and return of a security”. Comment.



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SEAT No. :

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[4880] - 202

PGDFS (Semester - II)

202 : Equity Research With Financial Modelling

(2013 Pattern)

Time :3 Hours]

[Max. Marks :50

Instructions to the candidates:

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

Q1) a) What is meant by Equity Research? Explain the Fundamental and technical Analysis of conducting Equity Research.

OR

b) Explain the steps involved in writing an equity research report and elaborate the technique of presentation of report with recommendation.

Q2) a) Elaborate the purpose and uses of financial model and explain the importance of excel functions used in financial modelling.

OR

b) Write short notes on (Any two)

- i) Pivot table
- ii) Linking workbooks
- iii) Financial functions
- iv) Goal seeks & macros

Q3) a) Discuss the importance of financial modelling design and enumerate the methods of creating a common size statement using financial data from the annual report of company.

OR

b) Discuss company valuation in context to the following.

- i) Discounted cash flow method
- ii) Relative valuation
- iii) Dividend Discount model

P.T.O

Q4) a) Discuss the concept of oscillators and calculation of oscillators from data of 5 years prices of a company's shares.

OR

b) Explain what you derive from the concept of Relative strength index (RSI) and moving average convergence and divergence (MACD)

Q5) a) How will you utilize the various charts and chart patterns to conduct technical Analysis of a company?

OR

b) Write in detail the relationship between managerial decision making and the financial analysis of company interpreted using various technical charts.



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SEAT No. :

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[4880] - 203

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

Wealth and Portfolio Management

(2013 Pattern)

Time : 2.30 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.

Q2) a) Write detail note on Efficient Market Theory. **[10]**

OR

b) How CAPM is used in determining securities prices?

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.

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

OR

b) What are formula plans? Explain in detail Different formula plans.

P.T.O.

Q5) a) Write note on -

[10]

- i) Jensen ratio
- ii) Fama's decomposition

OR

b) Explain in detail different risk adjusted return measures.



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SEAT No. :

P2997

[Total No. of Pages : 2

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

**204 : Risk and Insurance Management
(2013 Pattern)**

Time : 3 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) What is Insurance? Explain the need of Insurance. **[10]**

OR

What are the types of Insurance? Explain the principle of Insurance.

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

OR

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

Q3) What are the perils covered in a fire insurance policy? **[10]**

OR

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

Q4) What is risk management? Discuss the terms commencement, duration and termination of risk. **[10]**

OR

Explain the techniques of evaluations of risk in insurance services.

P.T.O.

Q5) Explain the concept of economic theory of supply and demand in the insurance market. **[10]**

OR

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

