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P3223

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

MERCHANT BANKING & FINANCIAL SERVICES

(2013 Pattern)

*Time : 3 Hours]*

*[Max. Marks : 50*

*Instructions to the candidates:*

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

**Q1)** What is Merchant Banking? Discuss in detail the various functions performed by merchant bankers.

OR

Explain in detail Over the Counter Exchange of India.

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

OR

What is the role of marketing during fresh issue?

**Q3)** What are the various M & A services offered by the Merchant Banker?

OR

Explain the concept of and merits of loan syndication.

**Q4)** Short notes :

- a) Features & role of mutual funds
- b) Venture capital financing

**P.T.O.**

OR

Short notes :

- a) Factoring & forfeiting
- b) Bill Financing

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

OR

Write the procedure relating to registration of portfolio managers under the SEBI regulation.



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**PGDFS (Semester - I)**

**102 : MONEY & CAPITAL MARKETS**

**(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)** 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

Explain various instruments that are traded in money market.

**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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**PGDFS (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) 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)** Write a note on SEBI guidelines for issue of securities. **[10]**

OR

- b) Explain the major traditional as well as promotional function of Reserve Bank of India.

**Q3) a)** Define the term prospectus in companies Act 1956. Elaborate various contents of prospectus in detail. **[10]**

OR

- b) What are the various types of Directors? Discuss the duties and powers of director.

**P.T.O.**

**Q4) a)** Explain the regulatory framework for raising funds through ADR in detail. **[10]**

OR

b) What is External commercial borrowing? Explain the key elements & terms and conditions regarding an ECB.

**Q5) a)** What are the provisions of FEMA regarding acquiring property outside India? **[10]**

OR

b) Write in detail on Foreign Direct Investments and Foreign Institutional Investments.



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

**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)** Explain in detail various investment avenues available in market.

OR

Explain in detail process of IPO with SEBI guidelines.

**Q2)** What is mean by corporate bond? Explain different types of corporate bonds.

OR

- a) Mrs Sushila purchased one convertible mortgage bond at 105/-. Two years later the bond market price is Rs. 98. If the coupon rate of bond is 6%. What is the current yield of the bond.
- b) Write short note on government securities.

**Q3)** Explain commodity market. Discuss different types of commodity trading contracts.

OR

Write short notes (Any two)

- a) Trading in metals
- b) Carbon Credit Markets
- c) MCX

**P.T.O.**

**Q4)** What is meant by mutual fund? Explain different types of mutual funds.

OR

Explain in detail commercial paper and Treasury Bills.

**Q5)** What is Real Estate Investment? Explain it's features and characterisitcs.

OR

Explain Foreign Exchange Market? What are the different contracts available in foreign exchange markets?





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

**FINANCIAL INSTRUMENTS AND DERIVATIVES**

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

OR

What are the important instruments in capital market? Explain each in brief.

**Q2)** What is certificate of deposits? Explain its features and advantages. **[10]**

OR

What is money market? Discuss different money market instruments.

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

OR

Discuss the concept of Non-voting shares. What are its advantages and disadvantages?

**P.T.O.**

**Q4)** Discuss the relationship between 'Spot rate' and 'Forward rate'. **[10]**

OR

Distinguish between Forward contracts and Future Contracts.

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

OR

What are the risks associated with Derivatives?



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**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 10 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) Financial Functions
- ii) Pivot Table

**Q3) a)** What is ratio analysis? Create a sheet in excel for ratio calculations. **[10]**

OR

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

**P.T.O.**

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

OR

b) Describe the concept of oscillator. Explain the different types of oscillators.

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

**WEALTH AND PORTFOLIO MANAGEMENT**

**(2013 Pattern)**

*Time : 2½ 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) *Figure to the right indicates marks for that questions.*

**Q1)** a) Trace the evolution of portfolio management over the years indicating the important development. **[10]**

OR

b) "The process of portfolio management is a complex process that are inter-related with each other". Explain.

**Q2)** a) How to empirically verify weak and semi-strong form of efficiency?[10]

OR

b) "The CAPM is a relationship explaining how assets should be priced in capital market". Discuss.

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

OR

b) Explain how the risk and return of a two assets can be measured? Explain with suitable example.

**P.T.O.**

**Q4) a)** "There is no need to revise portfolio". Comment. **[10]**

OR

b) Which strategies would you apply while revising portfolio?

**Q5) a)** Describe how the total return of a portfolio can be decomposed into different sources using Fama's decomposition formula. **[10]**

OR

b) How to evaluate the performance of portfolio with the help of sharpe Index and Treynor Index?



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P.G.D.F.S.

**RISK & INSURANCE MANAGEMENT**

**(2013 Pattern) (Semester - II)**

*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 legal forms of Insurance companies.

**[10]**

OR

What is Insurance? Explain the need of Insurance.

**Q2)** Explain the duties, powers and functions of Insurance Regulatory and Financial Authority (IRDA).

**[10]**

OR

What are the protection investment and convenience elements in life Insurance?

**Q3)** Explain the cost and benefits of Insurance.

**[10]**

OR

Explain the process in premium determination of any insurance policy.

**Q4)** What are the various risk management techniques in Insurance companies?**[10]**

OR

What is risk management? Discuss the terms commencement, duration and termination of risk.

**P.T.O.**

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

OR

Explain the contexts of a proposal and Agent's Report in respect of a life insurance contract.

