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[5574]-101

P.G.D.F.S. (First Semester) EXAMINATION, 2019

101 : MERCHANT BANKING AND FINANCIAL SERVICES

(2013 PATTERN)

Time : Three Hours

Maximum Marks : 50

1. (A) What is Merchant Banking ? Discuss in detail the various functions performed by merchant bankers. [10]

Or

- (B) Explain the functions of stock exchange in trading and settlement of Transactions. [10]

2. (A) What is the role of marketing during fresh issue ? [10]

Or

- (B) Explain how Merchant banker is involved in the post issue activities. [10]

3. (A) Explain in detail the stepwise procedure for amalgamation. [10]

Or

- (B) What are portfolio management services ? Discuss the responsibilities of the portfolio management services providers. [10]

P.T.O.

4. (A) Write short notes on : [10]
(i) Venture capital financing
(ii) Credit rating.

Or

- (B) Explain in detail factoring and forfeiting. [10]

5. (A) Discuss the role of SEBI in regulating the capital markets. [10]

Or

- (B) Write in detail the regulation 13 of SEBI (SEBI) regulation on portfolio manager. [10]

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[5574]-102

P.G.D.F.S. (I Semester) EXAMINATION, 2019

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.

- 1.** Define Financial Markets. Explain the functions and constituents of financial markets. [10]

Or

Elaborate the transformation that has taken place in the organisation of Indian Financial System in the post-91 periods.

- 2.** What is money market and how SEBI controls monitoring the growth of money market to present level ? [10]

Or

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

P.T.O.

3. What do you understand by Capital Markets ? Highlight the major issues in Indian Capital Markets. [10]

Or

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

4. Explain the recommendations of committees on SEBI's regulatory framework. [10]

Or

What is SEBI ? Write notes on functions and working of SEBI.

5. Explain how the stock exchanges play an important role in the financial market. [10]

Or

Write short notes on (any *two*) :

- (a) Stock Market Index
- (b) National Stock Exchange (NSE)
- (c) Recent Development of Stock Exchange.

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[5574]-103

PGDFS (Sem. I) EXAMINATION, 2019
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) Write in detail the structure of regulatory framework in India.

Or

(B) Explain the need and importance of regulatory framework in India.

2. (A) Explain the role and functions of Insurance Regulatory and Development Authority.

Or

(B) Write short notes on :

(i) Reserve Bank of India

(ii) Functions of SEBI.

3. (A) Write the detailed contents of prospectus.

Or

(B) Write the duties and powers of Directors.

P.T.O.

4. (A) Differentiate between ADR and GDR.

Or

(B) Explain the term External Commercial Borrowings in detail.

5. (A) Define FEMA. Explain the main features of FEMA.

Or

(B) Write short notes on :

(i) Foreign Direct Investments

(ii) Foreign Institutional Investments.

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[5574]-104

P.G.D.F.S. (Sem. I) EXAMINATION, 2019

104 : 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. Define the term 'investment'. State and explain the different avenues of investment.

Or

What are the types of "shares" ? State and discuss the types of "shares".

2. What is meant by Bond ? Write in detail different type of Bonds.

Or

What is meant by 'yield to maturity' ? Write difference between 'current yield' and 'yield to maturity'.

3. Explain concept of 'commodity market'. Discuss different types of commodity trading contract.

Or

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

P.T.O.

4. “A Mutual Fund is a portfolio of stocks or bonds which have opened the doors of investments to common investor.” Do you agree ? Justify your answer.

Or

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

5. What is the concept of real estate investment ? Explain the characteristics of real estate investment

Or

Explain the foreign exchange market. State and discuss the type of contract in the foreign exchange market.

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[5574]-11

PGDFS (First Semester) EXAMINATION, 2019

101 : FINANCIAL AND COST ACCOUNTING

(2008 PATTERN)

Time : Three Hours

Maximum Marks : 70

Instructions:

1. Attempt any **Five** questions
2. All questions carry equal marks.

Q.1 Describe the various Accounting Concepts with appropriate example. (14 Marks)

Q.2 Discuss the various Decision- Making tools of Cost accounting with appropriate example. (14 Marks)

Q.3 Write Short notes on (Any Two) (14 Marks)

- i. Disclosure of Financial Statements.
- ii. Cost Sheet
- iii. Accounting Conventions.

Q.4 Define Cost, Explain in detail the Elements of Cost with appropriate examples. (14 Marks)

Q.5 Define Budget and also explain the merits and demerits of Budgetary control. (14 Marks)

Q.6 Explain Break Even Point. How Does it help in Making Business Decision? (14 Marks)

Q.7 Write a detail note on usefulness of “International Accounting Standards” (14 Marks)

[5574]-11

Total No. of Questions—7]

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[5574]-12

**P.G.D.F.S. (I Sem.) EXAMINATION, 2019
TAXATION : DIRECT AND INDIRECT TAXES
(2008 PATTERN)**

Time : Three Hours

Maximum Marks : 70

Instructions :—

- (i) Attempt any five questions.
- (ii) All questions carry equal marks.

Q1. Explain the meaning of Exempted Income under the Income Tax Act, 1961. Also state and explain any five types of exempted incomes. (14 Marks)

Q2. Write a detail note on the following (14 Marks)

- i. Assessment year Vs Previous Year
- ii. Capital expenditure Vs Revenue expenditure

Q3. Write a detailed note on “Deduction from Gross Total Income”. (14 Marks)

Q4. Write a short note on (Any two) (14 Marks)

- i. Transaction Value
- ii. Central Excise Act
- iii. Agricultural income

Q5. Explain in detail the provisions regarding Registration of Dealer under the Maharashtra Value Added Tax (MVAT) Act. (14 Marks)

Q6 Write a detailed note on Short term Capital Gains and Long Term Capital Gains. (14 Marks)

Q7. Write a short note on (Any two) (14 Marks)

- i. Format of Income from House property
- ii. Income from other sources
- iii. Service Tax

Total No. of Questions—7]

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[5574]-13

P.G.D.F.S. (First Semester) EXAMINATION, 2019
104 : (A) FINANCIAL MANAGEMENT
(B) MATHS AND FINANCE (Quantitative Methods)
(2008 PATTERN)

Time : Three Hours

Maximum Marks : 70

Instructions to the candidates:

- 1. Questions no.1 is compulsory**
- 2. Attempt any two questions from section I & II**
- 3. Use of simple calculator is allowed.**
- 4. Figures to the right indicate full marks**

Q.1 What are the limitations of financial systems? What do you understand by analysis of financial statement? Describe the use of such analysis [10]

Section I

Q.2 Explain the different tools for Financial statement Analysis and Difference between Fund Flow and cash flow statement . [15]

Q.3 Write Shorts Note on Any three [15]

- Bonus share
- Time value of money
- Financial Leverage
- Limitation of ratio analysis
- Cost of capital

Q.4 A Ltd plans to sell 30,000 units next year. The expected cost structure is as follows:

Costs (per unit)	Rs.
Raw material	100
Manufacturing expenses	40
Selling, admin & financial expenses	20
Selling price	200.

P.T.O.

The duration at various stages of the operating cycle is expected to be as follows:

Raw material stage	2 months
Work in progress stage	1 month
Finished stage	½ month
Debtors stage	1 month

Assuming the monthly sales of 2,500 units, estimate the gross working capital requirement if the desired cash balance is 5% of the gross working capital & WIP is 25% complete with respect to manufacturing expenses. [15]

Section II

Q.5 Following detail are given :

Year	Sales	Profit
2017	120000	4000
2018	70000	6500

Find out: i) P.V. Ratio ii) Break Even Point iii) Profit when sales are Rs. 150000
iv) Sales required to earn profit of Rs. 15000 v) Margin of safety for both the years [15]

Q.6 Short Note any two [15]

- d) Continuous Compounding
- e) Capital Asset Pricing Model
- f) Portfolio investment

Q.7 Explain the different methods of shares & bond valuation. [15]

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[5574]-14

P.G.D.F.S. (I Semester) EXAMINATION, 2019

106 : FINANCIAL SERVICES-I

(2008 PATTERN)

Time : 3 Hours

Maximum Marks : 70

N.B. :— (i) Q. No. 1 is compulsory.

(ii) Attempt any *four* questions from the remaining.

(iii) Figures to the right indicate full marks.

1. What do you mean by financial services ? Explain scope and evolution of financial services. [10]
2. Define Lease. Give classification of lease. [15]
3. What are the essential elements to be considered for Lease Agreement ? Discuss in brief. [15]
4. What do you mean by “Issue Management” ? What are the activities involved in pre-issue and post-issue management ? [15]
5. How is merchant banker playing vital role in the development of Indian Capital Market. [15]

P.T.O.

6. Distinguish between Lease financing and Hire purchase financing.[15]
7. Write short notes on the following (any *two*) : [15]
- (i) Credit Rating Agencies
 - (ii) Commercial Paper
 - (iii) Loan Syndication
 - (iv) Tax aspects of leasing.

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Total No. of Questions—7]

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[5574]-15

P.G.D.F.S. (I Semester) EXAMINATION, 2019
107 : FINANCIAL INSTITUTIONS
(2008 PATTERN)

Time : 3 Hours

Maximum Marks : 70

N.B. :— (i) Attempt any *five* questions.

(ii) All questions carry equal marks (14 marks each).

1. Write a note on the role played by Development Banks in achievement of National Development Objectives.
2. Write short notes on (any *two*) :
 - (a) SIDBI
 - (b) NABARD
 - (c) ICICI
 - (d) EXIM BANK.
3. Elaborate on Recommendations of the Narsimhan Committee.
4. What are the guidelines for opening and operating Foreign Banks in India ?
5. What are the roles played by the RBI and Commercial Banks in economic development ?
6. Elaborate on the term 'Project Appraisal'.
7. Discuss Credit Monitoring and Credit Planning arrangements in detail.

Total No. of Questions—5]

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[5574]-201

PGDFS (Second Semester) EXAMINATION, 2019
201 : FINANCIAL INSTRUMENTS AND DERIVATIVES
(2013 PATTERN)

Time : 2½ Hours

Maximum Marks : 50

Instructions:

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

Q.1 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.

[5574]-201

Total No. of Questions—5]

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[5574]-202

P.G.D.F.S. (II Semester) EXAMINATION, 2019

202 : EQUITY RESEARCH WITH FINANCIAL MODELING

(2013 PATTERN)

Time : 2½ Hours

Maximum Marks : 50

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

(ii) *Each question carries 10 marks.*

1. (a) What is equity research ? Explain the technical analysis in conducting equity research.

Or

(b) Explain the relationship between economy analysis, industry analysis and company analysis in brief.

2. (a) Elaborate the purpose and uses in financial model and explain the importance of excel functions used in financial modeling.

Or

(b) Explain in detail the following excel functions :

(i) Goal seeks and macros

(ii) Scenario manager.

P.T.O.

3. (a) Discuss company valuation in context to the following :
- (i) Discounted cash flow method
 - (ii) Relative valuation
 - (iii) Dividend discount model.

Or

- (b) Discuss the importance of financial modeling design and enumerate the methods of creating a common size statement using financial data from the annual report of company.
4. (a) Discuss the concept of oscillators. How to calculate oscillators from the data of 5 years price ?

Or

- (b) Explain the following concepts :
- (i) Rate of change indicators (ROC)
 - (ii) Relative strength index (RSI).
5. (a) Explain the relationship between managerial decision making and financial analysis of company.

Or

- (b) Explain the following charts of Technical analysis (any two) :
- (i) Line charts
 - (ii) Candlestick chart
 - (iii) Point and figure chart.

Total No. of Questions—5]

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[5574]-203

PGDFS (Sem. II) EXAMINATION, 2019

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) What is Portfolio Management ? Explain role of Portfolio Management. [10]

Or

- (B) Explain in detail phases of portfolio management. [10]

2. (A) Bring out the usefulness of CAPM in securities market. [10]

Or

- (B) If the Efficient Market Hypothesis is true, what are the implications for the investors ? [10]

3. (A) What is portfolio risk and return ? How these are measured ? [10]

Or

- (B) Explain various models of portfolio selection. [10]

P.T.O.

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

Or

- (B) Which strategies are commonly used for portfolio revision ? [10]

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

Or

- (B) Briefly explain the following portfolio performance measures and explain how they are used : [10]

(i) Treynor's Ratio.

(ii) Jensen's Alpha.

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[5574]-204

P.G.D.F.S. (II Sem.) EXAMINATION, 2019
204 : RISK AND INSURANCE MANAGEMENT
(2013 PATTERN)

Time : 2½ Hours

Maximum Marks : 50

Instructions:

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

Q.1 What is General Insurance? Explain the various types of General Insurance. 10

OR

Explain the legal forms of Insurance companies.

Q2. Discuss the different types of Insurance contracts. 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 do you mean by Risk Management? Explain the process of risk management. 10

OR

Q4. What are the various risk management techniques in Insurance companies? 10

Q5. Explain the contexts of a proposal and Agent's Report in respect of a life insurance contract. 10

OR

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

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[5574]-21

P.G.D.F.S. (II Sem.) EXAMINATION, 2019

202 : FINANCIAL SERVICES-II

(a) Portfolio Management

(b) Investment Analysis

(c) Marketing

(2008 PATTERN)

Time : Three Hours

Maximum Marks : 70

1. Attempt any five questions.
2. Each question carry equal marks
3. Give relevant example.

Q.1 Explain the principles of Portfolio Management. What is Random Walk Theory of Portfolio Construction?

Q.2 Explain the terms 'Investment', 'Gambling' and 'Speculation'. Suggest guidelines for an investor to have effective investment portfolio.

Q.3 Discuss the efficient frontier approach for optimal portfolio selection.

Q.4 Explain the concept of marketing mix with respect to the financial-services sector.

Q.5 What are the various forms of portfolio investment and the risks associated with them? Discuss any two methods of evaluating risk and return.

Q.6 Explain key role of Advertising and Communication in Marketing of Financial Services

Q.7 Write short notes: (Any Two)

(a) Basic Investments and Fixed Investments

(b) Capital assets pricing Model

(c) Gambling and Speculation Vs Investments and Saving

(d) Market Segmentation and Marketing Mix

(e) Markowitz Theory

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[5574]-22

P.G.D.F.S. (Sem. II) EXAMINATION, 2019

INTERNATIONAL FINANCE

(2008 PATTERN)

Time : Three Hours

Maximum Marks : 60

N.B. :— (i) Answer any *five* questions.

(ii) All questions carry equal marks.

1. Explain the following in detail :
 - (a) International Monetary Fund
 - (b) World Bank.
2. Explain the speculation in Foreign Exchange Markets.
3. Explain the functions of Foreign Exchange Markets.
4. Explain the provisions of Foreign Exchange Management Act (FEMA) 1999.
5. Define balance of payment and discuss its various components. Explain in detail measures to correct disequilibrium in balance of payments.

P.T.O.

6. Compare and contrast between GATT and WTO.

7. Write short notes on (any *two*) :

(a) Asian Development Bank

(b) Euro Dollar

(c) EXIM Bank

(d) ECGC.

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[5574]-23

**P.G.D.F.S. (II Sem.) EXAMINATION, 2019
204 : COMPANY LAW, FEMA AND SEBI
(2008 PATTERN)**

Time : Three Hours

Maximum Marks : 70

Note :

- 1) All questions carry equal marks.**
- 2) Figures to the right indicate full marks.**
- 3) Attempt any 5 questions from the following.**

Q1) Write short notes : [14]

- (a) Acquisitions of sales of immovable properties
- (b) Promoter's contribution & lock in period

Q2) Explain characteristics of a Company. Explain in detail the procedure for incorporation of a Limited Company. [14]

Q3) Explain what are the guidelines issued by SEBI regarding disclosure and investor protection with reference to Pre-issue obligations ? [14]

Q4) What are the Regulations concerning import and export as per FEMA [14]

Q5) What are the provisions of the Companies Act, 1956, regarding Appointment, Qualification and Disqualification of Director? [14]

Q6) Explain the Functions and Objectives of SEBI ? [14]

Q7) Explain provisions relating to Appointment of Auditors under the Companies Act. How an Auditor of public sector enterprise is appointed ? [14]

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[5574]-24

P.G.D.F.S. (II Sem.) EXAMINATION, 2019
205 : FINANCIAL MARKETS
(2008 PATTERN)

Time : Three Hours

Maximum Marks : 70

Instructions to the candidates:

- 1) *Attempt any five questions.*
- 2) *All questions carry equal marks.*

- Q1) How Indian Financial System has evolved over a period of time?
- Q2) What is Money Market? Discuss different money market instruments.
- Q3) Do you agree that since 1992 -93 Globalization of Indian Economy has enabled India to be solid foundation of growth? Explain with examples.
- Q4) Mobilizing and utilization of fund is a vital function of any development bank . Discuss in the light of overall development of agricultural and industrial sector.
- Q5) How commercial banks have evolved over a period of time (before and after Nationalization)?
- Q6) What is the importance of Stock Markets? Comment on the present status of Indian Stock Market.
- Q7) Explain the various determinants of deciding interest rate level particularly by financial intermediaries.
- Q8) Write Short Note (Any Two):
- a) Derivatives trading
 - b) Unit trust of India
 - c) Merchant Bankers