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(Pages : 3)

Name.....

Reg. No.....

**FIFTH SEMESTER B.Com./B.B.A. DEGREE EXAMINATION  
NOVEMBER 2020**

(CUCBCSS—UG)

B.B.A.

BBA VB 11—FINANCE SPECIALIZATION II—INVESTMENT MANAGEMENT

Maximum : 80 Marks

Time : Three Hours

**Part I**

*Answer all questions.  
Each question carries 1 mark.*

Choose the correct answer :

1. \_\_\_\_\_ are instruments which entitle the holder to buy an equity at concessional rate.
  - (a) Bonds.
  - (b) Coupon.
  - (c) Warrants.
  - (d) Flexi bond.
2. \_\_\_\_\_ is a promises to a shareholder to pay dividend at a future date.
  - (a) Scrip dividend.
  - (b) Bond dividend.
  - (c) Ex divid.
  - (d) Cum dividend.
3. \_\_\_\_\_ is a method of increasing the number of shares of outstanding.
  - (a) Surrender of shares.
  - (b) Consolidation of shares.
  - (c) Stock split.
  - (d) Reverse split.
4. Bill drawn for mutual indebtness is called \_\_\_\_\_.
  - (a) Commercial Bill.
  - (b) Accommodation Bill.
  - (c) Clean Bill.
  - (d) Supply Bill.
5. The device adopted to make profit out of the difference in price of a security in two diffrent market is called \_\_\_\_\_.
  - (a) Cornering.
  - (b) Arbitrage.

Fill in the blanks :

6. Under financial derivatives \_\_\_\_\_ are in the nature of long term agreements.
7. Discount and finance house of india was set up in the year \_\_\_\_\_.
8. \_\_\_\_\_ market is a market for dealing in unlisted securities.
9. An option which gives the holder the right to buy an underlying asset is called \_\_\_\_\_.
10. The market for already issued securities are called \_\_\_\_\_ market.

(10 × 1 = 10 marks)

**Part II (Short Answer Questions)**

*Answer at least five questions.  
Each question carries 4 marks.  
All questions can be attended.  
Overall Ceiling 20.*

11. What are the sources of risk ?
12. What is industry analysis ?
13. What are the basic assumptions of technical analysis ?
14. What is the importance of depositories in Indian capital market ?
15. What do you mean by "NEAT"?
16. What are the types of systematic risk ?
17. What is certificate of Deposit ?
18. Point out different money market instruments.
19. What is secondary market ?
20. What are Derivatives ?

(5 × 4 = 20 marks)

**Part III ( Short Essay Questioner)**

*Answer at least four questions.  
Each question carries 8 marks.  
All questions can be attended.  
Overall Ceiling 32.*

21. Explain the NSE's on-line trading system.
22. Differentiate between primary market and secondary market.

23. Who are the participants in Indian money market ?
24. Explain different stages of portfolio management.
25. Explain about fundamental analysis.
26. What are the features of Indian money market ?
27. Differentiate between futures and forwards.
28. Explain about commercial papers.

(4 × 8 = 32 marks)

**Part IV (Essay Questions)**

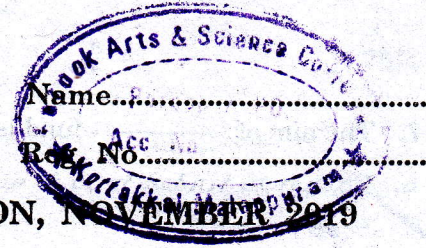
*Answer any one question.  
The question carries 18 marks.*

29. Explain the different investment avenues.
30. Explain the functions of stock exchange.
31. Briefly explain about the structure of mutual funds.

(1 × 18 = 18 marks)

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FIFTH SEMESTER B.B.A. DEGREE EXAMINATION, NOVEMBER 2019

(CUCBCSS—UG)

B.B.A.

BBA VB 11—FINANCE SPECIALIZATION II—INVESTMENT MANAGEMENT

Time : Three Hours

Maximum : 80 Marks

**Part I (Objective Questions)**

*Answer all ten questions.*

*Each question carries 1 mark.*

Choose the correct answer :

1. These are instruments which give a fixed rate of interest for a fixed period of maturity :  
(a) Debt. (b) Equities.  
(c) Mutual Funds. (d) Virtual office.
2. These shares have preferential right to the payment of dividend and to the return of capital at the time of winding up of the company :  
(a) Equity share. (b) Preference share.  
(c) Bonus share. (d) None of the above.
3. Stock mutual fund is also called :  
(a) Open end fund. (b) Closed end fund.  
(c) Growth fund. (d) Equity fund.
4. Which of the following attempts to make profit anticipating changes in market prices or credit events by entering a derivative contract ?  
(a) Speculators. (b) Hedgers.  
(c) Arbitrageurs. (d) None of the above.
5. The variability in a security's returns resulting from fluctuations in the aggregate market is known as :  
(a) Market risk. (b) Interest rate risk.  
(c) Purchasing power risk. (d) Regulation risk.

Fill in the blanks :

6. \_\_\_\_\_ pools money from investors and invest in different securities.

Turn over

7. The aim of \_\_\_\_\_ fund is to provide regular and steady income to investors.
8. Exchange traded fund is an investment tool that combines the feature of mutual fund and \_\_\_\_\_.
9. \_\_\_\_\_ risk is considered un-diversifiable risk.
10. \_\_\_\_\_ mutual funds invest in bonds and other debt securities.

(10 × 1 = 10 marks)

### Part II (Short Answer Questions)

*Answer any eight out of the ten questions in two or three sentences.*

*Each question carries 2 marks.*

11. Define investment.
12. What is risk ?
13. Define mutual fund.
14. What is an open end mutual fund ?
15. What are equities ?
16. Give a brief account of the history of mutual fund.
17. What are the types of investment risk ?
18. Write a note on national stock exchange.
19. What is an option ?
20. What do you mean by measurement of risk ?

(8 × 2 = 16 marks)

### Part III (Short Essay Questions)

*Answer any six out of the eight questions in about 200 words.*

*Each question carries 4 marks.*

21. What are the different avenues of the investment ?
22. What are the advantages of exchange traded funds ?
23. What are the drawbacks of fundamental analysis ?
24. Who are the participants in the derivative market ?
25. What are the advantages of technical analysis ?
26. Distinguish between primary and secondary markets.

27. What are the sources of risk ?
28. What are the different types of preference shares ?

(6 × 4 = 24 marks)

**Part IV (Essay Questions)**

*Answer any two out of the three questions in about 800 words.*

*Each question carries 15 marks.*

29. What do you mean by capital market ? Discuss its objectives and functions.
30. What do you mean by securities and exchange board of India ? What are the functions of securities exchange board of India ?
31. What is investment ? Discuss the objectives of investment.

(2 × 15 = 30 marks)

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Name.....

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**FIFTH SEMESTER B.B.A. DEGREE EXAMINATION, NOVEMBER 2018**

(CUCBCSS—UG)

**BBA VB 11—FINANCE SPECIALIZATION II—INVESTMENT MANAGEMENT**

Time : Three Hours

Maximum : 80 Marks

**Part I (Objective Questions)**

*Answer all ten questions.*

*Choose the correct answer.*

*Each question carries 1 mark.*

1. An investor becomes the owner of a company to the extent of the capital invested by him in :  
(a) Debts. (b) Equities.  
(c) Mutual funds. (d) None of the above.
2. This is a market for medium and long term funds.  
(a) Money market. (b) Capital market.  
(c) Commodity market. (d) None of the above.
3. UTI was established in the year.  
(a) 1961. (b) 1964.  
(c) 1963. (d) None of the above.
4. Which of the following contracts are standardised and hence traded in stock exchanges ?  
(a) Forward contract. (b) Future contract.  
(c) Options. (d) None of the above.
5. The variability in security's returns resulting from changes in the level of interest rates is referred to as :  
(a) Market risk. (b) Interest rate risk.  
(c) Purchasing power risk. (d) Regulation risk.

Fill in the blanks :

6. \_\_\_\_\_ instruments are freely tradable and negotiable.
7. Exchange traded fund are essentially \_\_\_\_\_ funds that are traded on exchanges.
8. \_\_\_\_\_ risk is considered diversifiable risk.
9. \_\_\_\_\_ is a financial contract whose value is derived from the value of an underlying asset.
10. \_\_\_\_\_ contract is a type of derivatives contract which gives the buyer or holder of the contact the right but not the obligation to buy or sell the underlying asset.

(10 × 1 = 10 marks)

Turn over

**Part II (Short Answer Questions)**

*Answer any eight out of the ten questions in two or three sentences.  
Each question carries 2 marks.*

11. What is investment ?
12. What is systematic risk ?
13. What are closed end mutual funds ?
14. What do you mean by future contract ?
15. What are mutual funds ?
16. What is speculation ?
17. What is capital market ?
18. What is risk ?
19. What do you mean by technical analysis ?
20. What do you mean by on-line trading ?

(8 × 2 = 16 marks)

**Part III (Short Essay Questions)**

*Answer any six out of the eight questions in about 200 words.  
Each question carries 4 marks.*

21. Explain the characteristics of investment.
22. What are the difference between fundamental analysis and technical analysis ?
23. What are the features of primary market ?
24. What are the characteristics of equity shares ?
25. Explain the different uses of derivatives.
26. What are the investment alternatives available for investing ?
27. What are the features of capital market ?
28. What are the types of debentures ?

(6 × 4 = 24 marks)

**Part IV (Essay Questions)**

*Answer any two out of the three questions in about 800 words.  
Each question carries 15 marks.*

29. What are exchange traded funds? What are its salient features ?
30. Define stock exchange. What are the advantages of stock exchange ?
31. Define mutual fund. What are the problems of mutual fund in India ?

(2 × 15 = 30 marks)

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(Pages : 3)

Name.....

Reg. No.....

**FIFTH SEMESTER B.B.A. DEGREE EXAMINATION, NOVEMBER 2017**

(CUCBCSS—UG)

BBA VB 11—INVESTMENT MANAGEMENT

Time : Three Hours

Maximum : 80 Marks

**Part I (Objective Questions)**

*Answer all ten questions.*

Choose the correct answer :

1. Stock mutual fund is also called :

- (a) Open end fund. (b) Closed end fund.  
(c) Growth fund. (d) Equity fund.

2. An investor becomes the owner of a company to the extent of the capital invested by him in :

- (a) Debts (b) Equities.  
(c) Mutual funds. (d) None of the above.

3. Which of the following contracts are standardised and hence traded in stock exchanges ?

- (a) Forward contract. (b) Future contract.  
(c) Options. (d) None of the above.

4. Which of the following shares are issued to existing shareholders when the company wishes to raise further capital ?

- (a) Sweet equity. (b) Right issue.  
(c) Bonus shares. (d) None of the above.

5. This pools money from investors and invest in different securities :

- (a) Debts. (b) Equities.  
(c) Mutual funds. (d) Virtual office.

Fill in the blanks :

6. Exchange traded fund is an investment tool that combines the feature of mutual fund and \_\_\_\_\_.

**Turn over**

7. \_\_\_\_\_ instruments are freely tradable and negotiable.
8. \_\_\_\_\_ is a financial contract whose value is derived from the value of an underlying asset.
9. \_\_\_\_\_ are a set of shares or debentures that make up one unit of exchange traded fund.
10. In \_\_\_\_\_ derivatives underlying assets can be commodities.

(10 × 1 = 10 marks)

### Part II (Short Answer Questions)

*Answer any eight out of the ten questions in two or three sentences.*

11. Define mutual fund.
12. Give a brief account of the history of mutual fund.
13. What is an option ?
14. What is systematic risk ?
15. What is speculation ?
16. What is risk ?
17. What are debts ?
18. What are the advantages of fundamental analysis ?
19. What do you mean by preference shares ?
20. What do you mean by hedging ?

(8 × 2 = 16 marks)

### Part III (Short Essay Questions)

*Answer any six out of the eight questions in about 200 words.*

21. What are the drawbacks of fundamental analysis ?
22. Distinguish between primary and secondary markets.
23. Explain the characteristics of investment.
24. What are the characteristics of equity shares ?
25. What are the features of capital market ?

26. What are the different types of risk ?
27. What are the criticisms raised against technical analysis ?
28. Discuss the different types of bonds.

(6 × 4 = 24 marks)

**Part IV (Essay Questions)**

*Answer any two out of the three questions in about 800 words.*

29. Define stock exchange. What are the advantages of stock exchange ?
30. Define investment. Discuss the important steps in an investment decision process.
31. What do you mean by Securities and Exchange Board of India ? Mention its important functions of Securities Exchange Board of India ?

(2 × 15 = 30 marks)

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Name.....

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**SIXTH SEMESTER B.B.A. DEGREE EXAMINATION, MARCH/APRIL 2016**

(UG—CCSS)

Core Course

**BB VI B13—INVESTMENT MANAGEMENT**

Time : Three Hours

Maximum : 30 Weightage

**Part A**

*This Part contains three bunches of questions carrying equal weightage.  
Each bunch has four questions.  
Answer all twelve questions.*

**A. Fill in the blanks :**

- 1 \_\_\_\_\_ involves sales of securities to members of the public.
- 2 \_\_\_\_\_ refers to the price at which an investor is willing to buy the security.
- 3 The market of new issues is called \_\_\_\_\_ market.
- 4 Depository system reduces time for \_\_\_\_\_ of securities.

**B. Choose the correct answer from the bracket :**

- 5 Government bond is a :
  - (a) Short-term security.
  - (b) Long-term security.
  - (c) Medium term security.
  - (d) Either short term or long term security.
- 6 The market for short-term loans is known as :
  - (a) Call money market.
  - (b) Discount market.
  - (c) Acceptance market.
  - (d) Commercial bill market.
- 7 A combination of forwards by two counterparties with opposite but matching needs is called :
  - (a) Swap.
  - (b) Option.
  - (c) Forward.
  - (d) Future.

**Turn over**

8 The best suited fund to the business people is :

- (a) Income fund. (b) Balanced fund.  
(c) Growth fund. (d) Taxation fund.

C. Answer in one word :

- 9 Associations of brokers and dealers in securities who transact business together :  
10 The exchange which was incorporated in India in 1992 :  
11 The price specified in the forward contract :  
12 The promissory note issued by the Government is called :

(12 × ¼ = 3 weightage)

### Part B

*Answer all nine questions in one or two sentences each.*

*Each question carries a weightage of 1.*

- 13 What is OCTEI ?  
14 What is speculation ?  
15 What is stock market index ?  
16 What is meant by risk ?  
17 What is Technical analysis ?  
18 What are financial derivatives ?  
19 What is put option ?  
20 What is stock dividend ?  
21 What is unsystematic risk ?

(9 × 1 = 9 weightage)

### Part C

*Answer any five questions.*

*Answer not to exceed one page each.*

*Each question carries a weightage of 2.*

- 22 Distinguish between Equity and Debt instruments.  
23 What is meant by listing of securities ?  
24 What is the role of SEBI in the securities market ?

- 25 "Holding securities in demat form has several advantages". Discuss.
- 26 Explain the concepts of systematic risk.
- 27 "Fundamental analysis provides an analytical framework for rational investment decision making" Explain.
- 28 Describe the features of future contracts.

(5 × 2 = 10 weightage)

**Part D**

*Answer any two questions.*

*Each question carries a weightage of 4.*

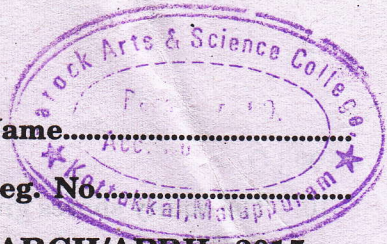
- 29 Discuss the role of NSE in reforming the stock market in India.
- 30 "Investing in securities through mutual funds is better choice than direct investment". Examine the Statement.
- 31 Discuss the features of a developed money market and bring out the importance.

(2 × 4 = 8 weightage)

C 80016

(Pages : 3)

Name.....  
Reg. No.....



**SIXTH SEMESTER B.B.A. DEGREE EXAMINATION, MARCH/APRIL 2015**

(UG-CCSS)

Core Course

**BB VI B13—INVESTMENT MANAGEMENT**

Time : Three Hours

Maximum : 30 Weightage

**Part A**

*This Part contains three bunches of questions carrying equal weightage.  
Each bunch has four questions.  
Answer all twelve questions.*

**A. Fill in the blanks :**

1. \_\_\_\_\_ are also known as gilt edged securities.
2. The call rate is a good indicator of \_\_\_\_\_ position of the economy.
3. Derivatives derive their value from \_\_\_\_\_ assets.
4. SENSEX is the index of \_\_\_\_\_.

**B. Choose the correct answer from the bracket :**

5. OTCEI was established in \_\_\_\_\_.  
(a) 1988. (b) 1990.  
(c) 1991. (d) 1992.
6. Money market deals with :  
(a) Short term funds. (b) Long Term funds.  
(c) Ownership Capital. (d) Credit rating.
7. Futures and options are :  
(a) Derivatives. (b) Investors.  
(c) Money market instruments. (d) Lease agreements.
8. Systematic risk is also known as :  
(a) Unavoidable risk. (b) Avoidable risk.  
(c) Unique risk. (d) Financial Risk.

**C. Answer in one word :**

9. The funds that can sell and purchase units at any time.

**Turn over**

10. The equity shares given to the company's employees on favourable terms, in recognition of their work.
11. The first Mutual fund Scheme in India.
12. The agreement between two parties to undertake an exchange at an agreed future date at a price agreed now.

(12 × ¼ = 3 weightage)

### Part B

*Answer all nine questions in one or two sentences each.  
Each question carries a weightage of 1.*

13. What do you mean by Leverage fund ?
14. What are Debentures ?
15. What is a Swap ?
16. What is a depository ?
17. What is Put option ?
18. What is Investment ?
19. What are mutual funds ?
20. What are financial markets ?
21. What is money at call ?

(9 × 1 = 9 weightage)

### Part C

*Answer any five questions.  
Answer not to exceed one page each.  
Each question carries a weightage of 2.*

22. Write notes on Fundamental analysis.
23. What are the major capital market instruments ?
24. What are the different types of speculators ?
25. Explain the salient features of OCTEL.
26. What are the functions of financial intermediaries ?
27. What are the defects of Indian Money Market ?
28. Explain the features of options.

(5 × 2 = 10 weightage)

**Part D**

*Answer any two questions.  
Each question carries a weightage of 4.*

29. What are the general powers of SEBI ?
30. What are the components of Indian money market ?
31. Write a detailed note on the working and performance of mutual funds in India.

(2 × 4 = 8 weightage)