



**PRAHLADRAI DALMIA LIONS COLLEGE  
OF COMMERCE & ECONOMICS  
ISO 9001 : 2015 Certified**

Date: 16<sup>th</sup> October, 2023





**NOTICE**

**B. Com (INVESTMENT MANAGEMENT)**

**ATKT Internal Examination Semester III & VI November, 2023**

**INSTRUCTIONS FOR THE STUDENTS HAVING ATKT IN INTERNALS:**

1. **Date of Submission of the Projects- 6<sup>th</sup> November, 2023.**
2. **Timings: 11:00 am, Reporting time for students: at least 10 minutes before the mentioned time. Venue: T2 Classroom (Third floor).**
3. Students have to be present in person for the submission.
4. Internal project topics are also uploaded on the college website.
5. Submission of projects or assignments to be done on proper A4 size paper, handwritten by the candidate himself only. The Front page should contain details of Roll no, Name of the student, Semester, Subject.
6. Print out of the questions uploaded should be attached along with the project.
7. Student should also enclose a photocopy of the ATKT fee paid receipt along with each of his projects.
8. On the date of submission there will be a viva voce on the given questions/topics.
9. If the student fails to present himself on the given date and time he will be marked ABSENT for the said subject.
10. Any Submissions after the above mentioned date and time will not be accepted and entertained under any circumstances.

			
<b>Prof. Pankaj Jain</b>	<b>Prof. Durgesh Kenkre</b>	<b>Prof. Subhashini Naikar</b>	<b>Prof. (Dr.) D. N. Ganjewar</b>
<b>(Coordinator)</b>	<b>(Exam convener)</b>	<b>(Vice- Principal, SFC)</b>	<b>(Principal)</b>

**Internal Questions for Semester III ATKT students**

**Subject: Mutual Fund Management**

**Roll No. 204 DARJI NISHIKA AMIT**

1. Write a note on Types of Mutual Funds.
2. Write a note on Fund rating and ranking.
3. Write a note on Investors Guide towards Financial Planning.
4. Write a note on Introduction to Mutual Fund.
5. Role of regulatory agencies for Mutual funds.

**Internal Questions for Semester VI ATKT students**

**Subject: International Finance - II**

**KUNDER JANVI SANJEEV**

1. Meaning and Scope of International Finance.
2. Explain types of fixed exchange rate.
3. Explain Foreign Exchange Management in India.
4. Explain in details Currency futures.
5. Write a note on Currency Option Quotes.

**SHAIKH ARSHAD ABDUL**

1. Explain components of Balance of Payment.
2. Types of Flexible Exchange Rate
3. Write a Role of IMF in Monetary Market.
4. Write a Brief Note on Bretton Woods System.
5. What do you mean by BOP? Explain its component in Details?

**SALVI AVDHOT ANAJI**

1. Write a detail Note on Smithsonian Agreement?
2. What are the reasons for Failure of BWS?
3. What are the Scope of International finance?
4. Market and market participants.
5. Explain FEMA and regulatory framework.

**MISHRA SHRIPRAKASH NARENDRA**

1. Explain meaning and Scope of International Finance.
2. Discuss Types of Fixed Exchange Rate.
3. Explain Role of FEDAI- FEMA and Regulatory.
4. Explain Pricing and Fischer Black's Option Pricing Model.
5. Explain clearing house and clearing margins.

### **UPADHYAY SAURABH MANOJ**

1. Meaning and Scope of International Finance.
2. Explain components of Balance of Payment
3. Write a detail Note on Smithsonian Agreement
4. Explain meaning and Scope of International Finance.
5. Explain European Monetary System.

### **PATIL LYNN AGNELO**

1. Explain types of fixed exchange rate.
2. Types of Flexible Exchange Rate
3. What are the reasons for Failure of BWS?
4. Explain Role of FEDAI- FEMA and Regulatory
5. Write a detail Note on Smithsonian Agreement

### **PITALEKAR DEV RAJU**

1. Explain Foreign Exchange Management in India
2. Write a Role of IMF in Monetary Market
3. Market and market participants
4. Explain Pricing and Fischer Black's Option Pricing Model
5. Explain meaning and Scope of International Finance

### **GURAV SANJANA SUBHASH**

1. Explain Retail and Whole Sale Component of Indian Foreign Exchange Market.
2. Explain International Monetary System.
3. Explain Purchasing Power and Interest Rate Parity.
4. Write a note on Hedging with Currency Futures and Contracts.
5. Merits and Demerits of Fixed and flexible Exchange rate.

## **Subject: Auditing**

### **MISHRA SHRIPRAKASH NARENDRA**

1. Discuss the limitations of auditing?
2. Explain the types of frauds in detail?
3. Differentiate between Continuous Audit and Final Audit.
4. Explain in details errors and frauds.
5. Explain Principles of audit.

### **KHARADE HARSH ANANDRAO**

1. Discuss any 5 basic principles of auditing?
2. Differentiate between Window Dressing and Secret Reserves?
3. Discuss Concurrent audit in detail?
4. Explain in details audit sampling.
5. Explain the audit working papers.

**UPADHYAY SAURABH MANOJ**

1. Explain Enquiry into Charges of Misconduct of Chartered Accountants.
2. Write a note on Audit in EDP Environment.
3. Write Meaning and Basic Principles of Establishing Internal Audit.
4. Write Meaning and content of Audit Notebook.
5. Advantages and Disadvantages of Test check.

**PATIL LYNN AGNELO**

1. Explain types of Audit in details.
2. Explain types of frauds.
3. Write a note on Difference between Accounting and Auditing.
4. Explain in details Users of Information.
5. Explain Auditors Liability in Conducting Audit Based on Sample.

**PITALEKAR DEV RAJU**

1. Write a note on Cost Audit, Human Resource Audit and Management Audit.
2. Meaning of Professional Ethics and Professional Misconduct.
3. General Approach to EDP based Audit and Special Techniques for Auditing in an EDP Environment.
4. Difference between Internal Checks v/s Test Checks.
5. Explain in details errors and frauds.

**CHAUHAN SURAJ KAMALA**

1. Explain the types of frauds in detail?
2. Explain in details audit sampling
3. Write Meaning and content of Audit Notebook.
4. Explain Auditors Liability in
5. Conducting Audit Based on Sample.

**Subject: Corporate Governance**

**JAIN KHUSHBOO PRAVEEN**

1. Explain Corporate Governance along with its Mechanisms?
2. Describe in brief Indian Model of Governance?
3. Explain Stake holders Theory & Stewardship Theory?
4. Explain in details 4Ps of Corporate Governance?
5. Define SWOT analysis.

**KUNDER JANVI SANJEEV**

1. What is Corporate Governance? Explain Agency theory?
2. Explain Business Ethics as an important dimension of Corporate Governance?
3. Describe in brief Good Corporate Governance.
4. Explain Historical Perspective of Corporate Governance and Issues in Corporate Governance.
5. Need for Professionalization and Transparency in Family Business.

### **MISHRA SHRIPRAKASH NARENDRA**

1. Explain Kohlberg's Six Stages of Moral Development.
2. Explain Evolution of corporate Governance.
3. Explain Accounting Standards and Accounting disclosures.
4. Write a note on Obligations towards Society and Stake holders.
5. Write a note on Protection of Interest of Customer and Investors.

### **UPADHYAY SAURABH MANOJ**

1. Describe in brief Indian Model of Governance?
2. Describe in brief Good Corporate Governance.
3. Explain Kohlberg's Six Stages of Moral Development.
4. Explain Bible value systems in Business.
5. Write a note on Indian Model of Governance.

### **PITALEKAR DEV RAJU**

1. Explain Non Accounting Regulations in Corporate Governance.
2. Write a note on MRTP Act and MRTP commission.
3. Write a note on Ethics and IT.
4. Explain future of corporate Governance.
5. Write a note on Indian Model of Governance.

### **GURAV SANJANA SUBHASH**

1. Explain Indian Experience of Corporate Governance.
2. Explain Relationship between Business Ethics-Corporate Governance and Ethical Leadership.
3. Write a note on Role of Board of Directors and Board Structure.
4. Explain Principles of Arthashastra and Good Governance in Ancient India.
5. Write a note on The Kumar Mangalam Birla Committee Report.

### **CHAUHAN SURAJ KAMALA**

1. Explain the need for corporate governance in today's globalized economy.
2. Define & explain Conceptual Framework of Corporate Governance?
3. Explain Stake holder's theory of Corporate Governance
4. Explain feature of Good Corporate Governance
5. Explain various frauds in banking companies.

## **Subject: Merchant Banking**

### **KUNDER JANVI SANJEEV**

1. Explain types of Factoring.
2. Distinguish between Factoring v/s Credit Insurance.
3. What are the criteria for evaluating factor?
4. Explain the scope of Factoring
5. Distinguish between Factoring v/s Forfeiting

### **SHAIKH ARSHAD ABDUL**

1. Explain the status of Factoring.
2. Explain difference between Mergers, Acquisitions and Takeover.
3. Write a note on Types of Brokers.
4. Difference between Broker and Jobber.
5. Explain Role of Merchant Banker in Delisting of Shares.

### **MISHRA SHRIPRAKASH NARENDRA**

1. Explain Nature and Scope of factoring.
2. Explain Nature and Scope of Securitization.
3. Write a note on Exemptions and Process of Open Offer.
4. Explain the Role of Merchant Banker in ESOP.
5. Write a note on SEBI ((Substantial Acquisition of Shares and Takeovers) Regulations, 2011.

### **UPADHYAY SAURABH MANOJ**

1. Explain the Role and Obligations of Merchant Banker in Buyback of Equity Shares.
2. Write a note on Status of Factoring in India.
3. Write a note on Securitization of Residential Real Estate.
4. Write a note on Role of Merchant Banker in Disinvestment Process.
5. Write a note on Securitization of Residential Real Estate.

### **GURAV SANJANA SUBHASH**

1. Explain types of Factoring.
2. Distinguish between Factoring v/s Forfeiting.
3. Write a note on Types of Brokers.
4. Explain the Role of Merchant Banker in ESOP.
5. Write a note on Status of Factoring in India.

## Subject: Project Work

**UPADHYAY SAURABH MANOJ**

Topic – Study on Digital Payment Method in India (Project Guide: Prof. Pankaj Jain)  
(Student requested to come and meet project guide for finalisation of project work)





**PATIL LYNN AGNELO**

Topic – Comparative study on E-wallet (Project Guide: Prof. Pankaj Jain)  
(Student requested to come and meet project guide for finalisation of project work)

**PITALEKAR DEV RAJU**

Topic – A study on Financial Inclusion through Fintech (Project Guide: Prof. Pankaj Jain)  
(Student requested to come and meet project guide for finalisation of project work)

**NOTE - Students who has paid ATKT fees for internal component but has not been allotted questions is requested to contact Mr. Pankaj Jain on or before 20<sup>th</sup> October, 2023 by mailing on [bimsfdept@dalmialionscollege.ac.in](mailto:bimsfdept@dalmialionscollege.ac.in) or [pankaj.j@dalmialionscollege.ac.in](mailto:pankaj.j@dalmialionscollege.ac.in)**

			
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**DI/R-IPS/EXAM/00**