



## Prahladrai Dalmia Lions College of Commerce and Economics

Sunder Nagar, S.V. Road, Malad West, Mumbai 400 064

ISO : 9001:2015 Certified

**B.COM (INVESTMENT MANAGEMENT)**

**Syllabus for SYBIM Semester III - PCT Examination August, 2021**

| SR. NO | NAME OF THE PROFESSOR     | SUBJECT                                    | MODULE COVERED      | TOPICS COVERED CHAPTER WISE   |
|--------|---------------------------|--|---------------------|---|
| 1      | Prof. Jinal Vishal Lathia | Security Analysis and Portfolio Management | Module 1            | <b>Module 1:</b><br>A) Investment- Meaning, Characteristics, Objectives, Investment V/s Speculation, Investment V/s Gambling and Types of Investors<br>B) Portfolio Management – Meaning, Evolution, Phases, Role of Portfolio Managers, Advantages of Portfolio Management.<br>C) Investment Environment- Investment Environment in India and factors conducive for investment in India.   |
| 2      | Prof. Sunandh Subramaniam | Fundamentals of Capital Markets            | Module 1            | <b>Module 1:</b><br>A) Overview of Capital Market<br>B) Capital Market Instruments and Rating<br>C) Rating and Grading of Instruments   |
| 3      | Prof. Pankaj Jain         | Cost and Management Accounting             | Module 3 & 4        | <b>Module 3: Marginal Costing</b><br>Meaning, Application, Advantages, Limitations, Calculation of Contribution, Breakeven analysis, Profit-Volume Ratio, Margin of Safety and Required Sales to earn desired Profits. Simple Practical problems based on Marginal Costing<br><b>Module 4: Introduction to Standard Costing</b><br>Various types of standards and Setting of standards, Basic concepts of Material and Labour variance analysis. Simple Practical problems based on Material and Labour variances   |
| 4      | Prof. Pooja Upadhyay      | Mutual Fund Management                     | Module 1 & 2        | <b>Module 1 :</b><br>A) Introduction to Mutual Fund - History & Origin, Definition, Meaning, Characteristics, Advantages, Disadvantages, Limitations of Mutual Funds, Ethics in Mutual Fund. Entities involved – Sponsor, Trust, Trustee, Asset Management Company, Registrar and Transfer Agent (RTA) and Fund Houses in India.<br>B) Legal Framework - Role of regulatory agencies for Mutual funds – SEBI, RBI, AMFI, Ministry of Finance, SRO, Company Law Board, Department of Company's affairs, Registrar of Companies MF guidelines on Advertisement, Accounting, Taxation and Valuation norms, Guidelines to purchase Mutual Funds, Investor protection and MF regulations, Grievance mechanism in India.<br><b>Module 2 :</b><br>Types of Mutual Funds - (Introduction and Characteristics) Functional/Operational – Open ended, close ended, Interval Portfolio-Income, Growth, Balanced, MMMF<br>Geographical/ Location-Domestic, Offshore<br>Miscellaneous - Tax Saving Funds, Exchange Traded Funds, Balance Funds, Fixed Term Plan, Debt Funds, Systematic Investment Plan and Systematic Transfer Plan. |
| 5      | Prof. Pankaj Kathiriya    | IT in Investment Management - I            | Module 1            | <b>Module 1:</b><br>A) Introduction to Electronic Commerce - E-Commerce Framework, E-Commerce and media convergence, Anatomy of E-Commerce Applications, E-Commerce Consumer and Organization Applications<br>B) The network Infrastructure for Electronic Commerce - Market forces Influencing the I-way, Components of I-way, Network Access Equipment<br>C) E-Commerce and World Wide Web - Architectural framework of E- Commerce, WWW and its architecture, hypertext publishing, Technology behind the web, Security and the Web  |
| 6      | Prof Krunal Damania       | Financial Management                       | Module 1 & Module 4 | <b>Module 1:</b><br>A) Finance : Definition, Meaning, Importance, Types and Sources of Finance(Long Tern & Short term)<br>B) Financial Management : Meaning, Importance, Scope, Functions, Objectives & Agency Problem<br>C) Profit Maximisation & Wealth Maximisation<br><b>Module 4:</b><br>A) Dividend Decision: Walter's Model, Gordon's Model and Modigliani – Miller Approach   |
| 7      | Prof. Aditya Jha          | Foundation Course-III                      | Module 1 & 2        | <b>Module 1 :</b><br><b>Security Contract Act</b> – Important Terms, Objectives, Types of Contract, Stock Exchange Recognition, Refusal of Recognition, Listing and Delisting of Security, Byelaws, Functions, Appellate Authority, Cancellation, Fines and penalties.<br><b>Module 2 :</b><br><b>Risk management</b><br>A) Risk management: - Concept of Risk, Type of Risk –systematic risk unsystematic risk, Risk management process, Risk identification, Risk evaluation, Risk mitigation, Risk handling.<br>B) Risk Governance - Importance and Scope of Risk Governance, Risk and Three lines of Defense, Risk Management and Corporate Governance.   |

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**Prof. Pankaj Jain**  
BIM Co-ordinator

*Subhashini*

**Prof. Subhashini Naikar**  
Vice - Principal (SFC)

*Kiran Mane*

**Dr. Kiran Mane**  
I/C Principal



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Syllabus for TYBIM Semester V - PCT Examination August, 2021

| SR. NO | NAME OF THE PROFESSOR     | SUBJECT                 | MODULE COVERED | TOPICS COVERED CHAPTER WISE  |
|--------|---------------------------|-------------------------|----------------|--|
| 1      | Prof. Jinal Vishal Lathia | Risk Management         | Module 1       | <b>Module 1 :</b><br><b>Foundations of Risk Management</b><br>Basic Risk Types<br>The Role of Risk Management<br>Enterprise Risk Management (ERM)<br>History of Financial Disasters and Risk Management Failures<br>2007 Financial Crisis  |
| 2      | Prof. Sunandh Subramaniam | Merchant Banking-1      | Module 1 & 2   | <b>Module 1 :</b><br><b>Merchant Banking</b><br>Merchant Banking and Financial Services: Introduction, Concept of Merchant Banking, Financial system in India and Development of Merchant Banks and Regulations in India.<br>Underwriting and Brokerage - Different roles played by Underwriters and Brokers in Issue Management and their responsibilities.<br><b>Module 2 :</b><br><b>Capital Funds</b><br>Raising Capital from International Markets - Needs of Indian companies for raising Funds from Foreign Markets, Usage of Euro issue, Evaluation of various types of Depository Receipts - American Depository Receipts, Global Depository Receipts, FCCBs and FCEBs.   |
| 3      | Prof. Pankaj Jain         | Corporate Accounting    | Module 2 & 4   | <b>Module 2 :</b><br><b>Valuation of Shares</b><br>Meaning of Shares, Types of Shares, Shares as a means of Investment, Importance of Shares, Valuation of Shares in case of Merger and Acquisition of Shares, Intrinsic value of Shares, Yield value of Shares, Fair Value of Shares.<br><b>Module 4 :</b><br><b>Investment Accounting</b><br>For Shares (variable income bearing securities)<br>For Debentures/Preference Shares (fixed income bearing securities)<br>Accounting for Transactions of Purchase and Sale of Investments with ex and cum interest prices and finding cost of investment sold and carrying cost as per weighted average method   |
| 4      | Prof. Sneha Hathi         | Research Methodology    | Module 1       | <b>Module 1 :</b><br><b>Introduction to Research</b><br>Meaning, Objectives and Importance of Research<br>Types of Research<br>Research Process.<br>Hypothesis-Meaning, Nature, Significance, Types and Sources.<br>Research Design- Meaning, Definition, Need and Importance, Steps, Scope and Essentials of a Good Research Design.<br>Sampling- a) Meaning of Sample and Sampling, b) Methods of Sampling<br>i) Non-Probability Sampling- Convenient, Judgment, Quota, Snow ball<br>ii) Probability- Simple Random, Stratified, Cluster, Multi Stage  |
| 5      | Prof. Aditya Jha          | International Finance-I | Module 1 & 2   | <b>Module 1 :</b><br><b>Global Financial Environment</b><br>Introduction to International Finance- The Challenge of International Finance- The Finance Function in Global Context-Global Financial Markets-Cost of Capital- Financial Structure-Intra company Transfers-Capital Budgeting(only theoretical overview)- International Financial Management and Imperfections in Financial Markets- Growing International Integration- Diversification Benefits of Global Investment- International Mergers and Acquisitions- Definition and Classification- Why do Firms Engage in Cross Border Mergers and Acquisitions-Changes in Policy and Regulatory Environment- Trends and Characteristics of Cross-Border M&As.<br><b>Module 2 :</b><br><b>International Money and Equity Markets</b><br>Introduction and Role of the International Money Market-Selected Instruments of International Money Market>Returns on the Money Market Instruments Major stocks markets of the world-Emerging stock markets |
| 6      | Prof. Nirav Tawadia       | Business Ethics         | Module 1 & 2   | <b>Module 1 :</b><br><b>Introduction to Business Ethics</b><br>Definition, Meaning, Nature of Ethics, Meaning of Moral & Ethics. Types of Ethics, Importance of Ethics, Business Ethics - Meaning and Nature. Importance of Ethics in Business, Areas of Business Ethics, Meaning of Functional Ethics, Types of Ethics According to Functions of Business- Marketing Ethics, Foreign Trade Ethics and Ethics Relating to Copyright. Ethics relating to Free and Perfect Competitive Market.<br><b>Module 2 :</b><br><b>Application of Ethical Theories in Business</b><br>Ethical Decision Making: Decision Making (Normal Dilemmas And Problems): (I) Utilitarianism (J. Bentham And J.S. Mill), (Ii) Deontology (I. Kant) Virtue Ethics (Aristotle). Gandhain Approach In Management And Trusteeship, Importance And Relevance of Trusteeship Principle in Modern Business. Ethical Issues in Functional Areas of Business. Ethics in Advertising (Truth In Advertising). Ethical Issues in Finance.    |

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