

Roll No: -----



UNIVERSITY OF PETROLEUM AND ENERGY STUDIES

End Semester Examination, December 2017

Program: B.Tech.- CS – BFSI

Subject (Course): Wealth Management & Investment Banking

Course Code : CSIB330

No. of page/s: 02

Semester – V

Max. Marks : 100

Duration : 3 Hrs.

Section A

(All Questions are compulsory from this section)

[5 X 4 = 20]

- Q1. What is the structure of Investment Banking?
- Q2. List out the role of Brokerages in investment banking.
- Q3. What are the characteristics of Advisory services?
- Q4. Discuss the influential features of financial planning for the clients.
- Q5. Illustrate the quote “Insurance is subject matter of solicitation”.

Section B

(Attempt All Questions from this Section)

[5 X 8 = 40]

- Q6. What do you mean by structured products? Classify structured products.
- Q7. Compare responsibilities of an investment banker and personal banker.
- Q8. Discuss the Gaps and challenges in technology landscape?
- Q9. List the other non-banking entities, which do provide advisory services. Discuss their role.
- Q10. Discuss the main areas of the advisory services provided by the insurance companies?

Section C

(Attempt All Questions from this section)

[2* 20 = 40]

- Q11.a) Analyze complexities involved in portfolio management. Design a portfolio for HNI individual.
(10)
- b) Classify brokerage and give advantages and disadvantages of each. (10)

Q12. Explain the following terms in brief:- [**Answer any 5 terms**]

- a) Short Term and Long term Investment
- b) IPO
- c) Registered Trading Broker
- d) Interest Rate Product
- e) Debt Liquidation
- f) Pension Funds
- g) Exchange Traded Funds (ETF)
- h) Derivative Trading
- i) Credit Products
- j) Structured Products

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Section A

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- Q1. Classify investment banking business functions in terms of operations.
- Q2. Explain the Unit Linked Insurance Scheme.
- Q3. Explain significance of Brokerage in Wealth Management.
- Q4. Identify biggest challenges in technology framework of Wealth Management.
- Q5. Financial advisory services can be used in insuring in assets as well as in welfare for employees
Comment on this.

Section B

(Attempt All Questions from this Section)

[5 X 8 = 40]

- Q6. What is wealth management and who are the different types of players in wealth management?
- Q7. Categorize various investment strategies used by investment banker. Give name of assets which are suitable for each strategy.
- Q8. Discuss the role of mutual fund in financial market. And how mutual funds are different than Equities?
- Q9. Define structured products. Compare structured products with credit products.
- Q10. Illustrate contribution of regulatory framework in investment banking.

Section C

(Attempt All Questions from this section)

[2* 20 = 40]

Q11.a) Interpret the areas in which advisory services have been provided by investment banks. Relate management buyouts with expansion of business.

b) Discuss the relation of investment banks with products of wealth management. Illustrate the importance of Deposits, Tax planning and Third party mutual funds in the given context.

Q12.Explain the following terms in brief:- [**Answer any 5 terms**]

- a) Proprietary Trading
- b) Underwriting
- c) SEBI
- d) Interest Rate Product
- e) Debt Liquidation
- f) IRDA
- g) AMFI
- h) Anti-Money Laundering
- i) IPO