

Roll No:



UNIVERSITY OF PETROLEUM AND ENERGY STUDIES

End Semester Examination, May 2018

Program:	BBA FAS	Semester –	IV
Subject (Course):	Marketing of Mutual Funds	Max. Marks	: 100
Course Code :	BBCM 164	Duration	: 3 Hrs
No. of page/s:	3		

Section A

Q1. Select the correct option

(10x2=20 Marks)

i. . How much equity would you suggest for a young well settled unmarried individual

- a. 80%-100%
- b. 60%-80%
- c. 40%-60%
- d. less than 40%

ii. Providing funds for a daughter's marriage is an example of _____.

- a. Goal-oriented Financial Plan
- b. Comprehensive Financial Plan
- c. Financial goal
- d. None of the above

iii. According to the Certified Financial Planner – Board of Standards (USA), the first stage in financial planning is _____.

- a. Analyse and Evaluate Client's Financial Status
- b. Establish and Define the Client-Planner Relationship
- c. Gather Client Data, Define Client Goals
- d. Develop and Present Financial Planning Recommendations and / or Options

iv. The National Pension System is regulated by _____.

- a. SEBI
- b. IRDA
- c. PFRDA
- d. AMFI

v. The comparable for a liquid scheme is _____.

- a. Equity scheme
- b. Balanced Scheme
- c. Gilt Fund
- d. Savings Bank account

vi. Equity markets are more predictable in the long term than the short.

- a. True
- b. False

vii. Which of the following is a truly international asset class?

- a. Real Estate
- b. Equity
- c. Debt
- d. Gold

viii. The most appropriate measure of returns for a scheme in existence for several years is _____.

- a. Simple Return
- b. Dividend Return
- c. Annualised Return
- d. CAGR

ix. Risk can be measured by _____.

- a. Variance
- b. Standard Deviation
- c. Beta
- d. Any of the above

x. Investments in mutual fund can be made using _____.

- a. Cheque / DD
- b. Remittance
- c. ASBA
- d. Any of the above

Section B

Attempt any 4 Questions (out of 5) [4x5 = 20 Marks]

Q2. Briefly describe the concept of Micro SIPs.

Q3. What is Cut-off Time in MF industry? Prepare a chart to show the different cut – off timings based on type and value of funds.

Q4. Explain Time Stamping process. What is the relevance of this process for investor?

Q5. Give a brief description of STP and SWP.

Q6. Illustrate the KYC Requirements for Mutual Fund Investors.

Section C

Attempt any 2 Questions [out of 3] [2x15 = 30 Marks]

Q7. There are two types of Investment Styles available for fund managers in MF industry. Explain this concept as per your understanding considering yourself as a fund manager of an AMC of your choice.

15 Marks

Q8. Mohan Lal invested Rs 10,000 in a scheme at Rs 10 per unit on June 30, 2008. On January 1, 2009, the scheme paid out a dividend of Rs 1 per unit. The ex-dividend NAV was Rs 12.50. On January 1, 2010, the scheme paid out another dividend of Rs 1 per unit. The ex-dividend NAV was Rs 15.00. Calculate the CAGR for this case.

15 Marks

Q9. There is a 3 step process of decision making for investing your money in most appropriate product amongst all the MFs scheme. Do this for your client. You can take his or her risk profile as per your choice.

15 Marks

Section D

Case Study

30 Marks

Q10. Given below are the 2 different strategies with an investment advisor to suggest to his client for investments in equity...

- i. Market-Timing Strategy
- ii. Buy-and-Hold Strategy

Prepare a portfolio of your client for the investment of Rs 50 Lakh completely in equity oriented schemes and mention your recommendations point by point (considering all the short term and long term needs) under the influence of above mentioned strategies.

The basic profile of the client is mentioned below;

Age : 45 Years

Family Size : 6

No. of Salaried Person in family : 1 (in Private Sector)

Age Group of Children : Son – 15 Years, Daughter – 10 Years

No. of Dependents : 4

Availability of Pension Plan : No

