ELIGIBILITY FOR ADMISSION

Candidates who apply for the degree of PG Diploma shall possess the following qualifications.

(a) AGE LIMIT:

There is no upper Age Limit.

(b) QUALIFICATION:

Any Degree

3. DURATION OF THE COURSE

The course will be conducted for one year

3.1. EXAM : There will be an examination conducted by the University at the end of the year.

3.2. Passing minimum : 50

3.3. MEDIUM OF INSTRUCTION: The Medium of instruction will be English.
LIST OF SUBJECTS AND DETAILED SYLLABUS

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FINANCIAL MARKETS AND INSTITUTIONS

Objectives:

This course is intended to provide students with an understanding of the structure, organization and working of financial markets and institutions in India. It helps to explore the connection between the Financial Institutions, Instruments and Markets in the business environment and their role played in the Indian economy. It throws light on the Financial Innovations on new financial instruments for smooth and profitable investment decisions.

Unit I : FINANCIAL SYSTEM AND SERVICES : Nature and role of financial structure - Financial system and financial markets - Financial system and economic development - Indian financial system: an overview; Investment alternatives and evaluation; Reforms in financial system, Investment banking; Credit Rating; Factoring and Forfaiting; Housing Finance; Leasing and hire purchase; Financial inclusion and Microfinance

Unit II : FINANCIAL MARKETS : Money market- meaning, constituents & function; Money market instruments – call money, treasury bills, and certificate of deposits, Commercial
bills, and trade bills, Acceptance Houses, Discount Houses; Capital markets – primary and secondary market; Government securities markets; Role of SEBI - an overview and recent developments. Role of RBI, SEBI, DFHI, SHCI in Financial Markets.

**Unit III: FINANCIAL INSTITUTIONS**: Reserve bank of India – organization, management, and function; Commercial banks - meaning, functions and investment policies; Development banks – concept, objectives, and function; Insurance companies – objectives, role, and investment practices, IRDS; Unit Trust of India – objective, function, and schemes; role and functions of non-banking financial institutions; Merchant banking - functions and role.

**Unit IV: FINANCIAL INSTRUMENTS**

Sources of finance – Financial Instruments – Types, Features and advantages – Equity and special types of equity, ADRs & GDRs; Preferred stock - Equity derivatives – Credit derivatives – Asset –backed securities - Convertibles and warrants - Types of Bonds and debentures – Non-Marketable Financial Assets - Options instruments - securitization

**Unit V: MUTUAL FUNDS**: Concept and performance of Mutual funds; Regulation of Mutual funds (with special reference to SEBI guidelines); Designing and marketing of mutual fund schemes; Latest mutual funds schemes in India – an overview; Mutual Fund Evaluation and Tax aspects of Mutual Fund Investments.

Text Books:


References:

STOCK MARKET OPERATIONS

Objectives:

This course aim at giving a comprehensive understanding on the stock market operations in terms of its structure, trading, settlement procedures, processes and related components and the regulations, emerging challenges in the Indian Stock market.


**Text Books:**


**References:**


**TECHNICAL ANALYSIS**

**Objectives:**

It enables to understand the techniques any investor or trader looking for profits in the competitive, dynamic world of trading and how to take advantage of patterns, managing trades, psychology in trading and planning, technicals, utilizing charts and classic patterns.


Unit 4: Candle stick patterns: Constructing The Candlestick Lines - Drawing The Candle Lines - Reversal Patterns – Stars - Continuation Patterns - Doji


Text Books:


References:


EQUITY RESEARCH

Objectives:

The course aims to take decision on whether to stay invested in a company or sell the shares and come out. The equity research helps to study the companies, analyze financials, and look at quantitative and qualitative aspects mainly for decision making purpose.

Unit 1: Risk and Return: Meaning: Return and Risk - types of risk -systematic and unsystematic risk – Measuring expected return and risk - minimizing risk exposure - risk

**Unit 2: Stock valuation and Valuation of Financial Assets:** stock return and valuations – discounted cash flow valuation- constant growth model – two stage growth and three phase model – P/E ratio valuation - preferred stock valuation – Bond return and valuation – time value and present value concepts – YTM – Bond value theorems


**Text Books:**


**References:**

DERIVATIVES AND RISK MANAGEMENT

Objectives:
This course helps to understand how derivatives are an efficient and risk management tool which, when used properly, can enhance the ability to deliver specific tailored risks/return profiles and hedge out unwanted risks.

Unit I
Derivatives Markets - Derivatives: Meaning, History & functions of derivatives market, participants in Derivative market, Legal framework of derivatives market in India with respect to equity, Currency and Commodity derivatives, Forwards and Futures contract, swaps.

Unit II
Forward and Futures contracts: Futures vs Forward contracts, Forward rate agreements, Cost of carry, Basis and convergence, Marking to Market, Forward Interest rates, Financial futures vs commodity futures, Forward Vs futures pricing, Hedge ratio, stock index futures, pricing stock index futures


Unit III

Unit IV

Unit V
**Pricing and Valuing Swaps:** Evolution of swaps, Types - Interest rate swaps, Currency swaps, commodity swaps, equity swaps, Index swaps, Pricing currency swap, pricing commodity swap, Credit risk in swaps, Interest rate futures: Hedging interest rate risk using interest rate futures

**Text Books:**

**References:**

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**FINANCIAL ANALYSIS AND REPORTING**

**Objectives:**

The main objective of financial analysis and reporting is to facilitate the students to know about the company/industry’s financial status, its debt, revenue, expenditure, capital employed, share price, segmental revenue/expenditures etc. With Financial analysis we can know the present company/industry/sector’s status, performance, growth and forecast its future prospects.

**Unit I Introduction –FSA :**


**Unit II Techniques of FSA (Financial Statement Analysis) :**

Comparison- Intra firm, Inter firm, Inter period analysis, Regional performance analysis, Cross sectional analysis, Residual method, Beyond national boundary analysis-merits and limitations-Types of analysis- Comparative, common-size, trend analysis, Ratio analysis - merits and limitations

**Unit III Income Statement Analysis :**
Factors affecting reported income – Classification of income statement analysis - Barriers and measures to overcome objective income statement analysis - Revenue and expenses recognition - Techniques used by Management for earning manipulation.

**Unit-IV Balance Sheet Analysis:**

Asset Reporting - Accounting for Fixed Assets – Accounting for Liabilities – Off Balance sheet liabilities

**Unit- V Financial Distress And Scams:**


**Text Books:**


**References:**


**TREASURY MANAGEMENT**

**Objectives:**

The objective of treasury management is to help students to understand minimise the cost of borrowing needed to finance operations and optimise the return on any surplus funds. To understand the role played by world bank in financing the International trade.

**Unit – I Treasury management in Banking Industry**
Concept and Functions of Treasury Management in Commercial banks-Treasury Products in Forex Market, Money Market and Securities Market-Funding and Regulatory aspects-CRR, SLR, Liquidity Adjustment Facility (LAF) and Payment and Settlement system.

Unit – II Risk Management Process in Banking


Unit – III Commercial Banks and their Roles in Indian Economy


Unit – IV Profit planning activities of Banks through Subsidiary activities

Merchant Banking-IPO and Equity issue-Underwriting of Shares-Pricing of issue-Book building process-Profit earnings through non fund based activities like issue of LCs, Bank Guarantees etc. and other fee based activities. -Increasing liquidity and profitability through the process of Securitization.

Unit – V Financing of International Trade- Indian Perspectives


Text Books


References: