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**COMFISN 401**

**IV Semester Common to All UG Courses Examination, July/August 2023  
(NEP 2020) (2022-23 Batch Onwards)**

**FINANCIAL EDUCATION AND INVESTMENT AWARENESS (SEC)**

Time : 2 Hours

Max. Marks : 30

**SECTION – A (10 Marks)**

Answer **any two** of the following questions.

**(2×2=4)**

1. What is Income ?
2. Write any one of the differences between Revenue Expenses and Capital Expenses.
3. Write any two functions of Reserve Bank of India.
4. What is Trend Analysis ?

Answer the following Multiple Choice Questions.

**(6×1=6)**

5. If you invest, Rs.1,00,000 at an interest rate of 9% pa compounded annually, how many years it will take to double ?

A) 7                      B) 8                      C) 9                      D) 10

6. Which of the following is considered as technological factor under microenvironment factors ?

A) Wireless charging                      B) Engine efficiency  
C) Security in cryptography                      D) All of the above

7. Name the Ratio that is used to assess a firm's ability to meet its current liability.

A) Current Ratio                      B) Liquid Ratio  
C) Debt Equity Ratio                      D) Return on Equity Ratio

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17. Risk appetite generally \_\_\_\_\_ when the number of earning family members increases.
- A) Increases
  - B) Decreases
  - C) There is no correlation between risk appetite and number of earning family members
  - D) Does not change
18. Who facilitates capital raising activities for their clients which include corporations, government and institutions etc. ?
- A) Merchant Bankers
  - B) Brokers
  - C) Clearing House
  - D) Custodian
19. T-Bills are an example of
- A) Money-Market Securities
  - B) Capital Market Securities
  - C) Conservative Market Securities
  - D) Aggressive Market Securities
20. Which of these is/are term(s) used in Technical Analysis ?
- A) RSI
  - B) ADX
  - C) Candle Stick
  - D) All of the above

**SECTION – C (10 Marks)**

Answer **any two** of the following questions.

**(2×2=4)**

- 21. What do you mean by Net Asset Value ? Write the formula to calculate NAV.
- 22. Expand AMFI and ETF.
- 23. What is Treynor Ratio ? Write the formula to calculate the Treynor Ratio.
- 24. Write any two sources of gathering client data.



Answer the following Multiple Choice Questions.

(6×1=6)

25. Name the participant in Mutual Fund who sets up a mutual fund.
- A) Promoters  
B) Sponsor  
C) Trustee  
D) Fund Manager
26. This funds/scheme have a fixed maturity date. The units are issued at the time of the initial offer and redeemed only on maturity. Which scheme/fund are we referring to ?
- A) Open ended scheme  
B) Closed ended scheme  
C) Both of the above  
D) None of the above
27. Name the participant in Mutual Fund who manages the funds by making investments in various types of securities.
- A) Promoters  
B) Sponsor  
C) Asset Management Company  
D) Fund Manager
28. Which of the following investment avenue gives liquidity, capital appreciation, affordability, tax benefits and relatively risk free returns ?
- A) Real Estate  
B) Gold Bonds  
C) Mutual Funds  
D) Fixed Deposits
29. If risk free return is 5%, and a scheme with standard deviation of 0.5 earned a return of 7%, its Sharpe Ratio would be
- A) 4.5  
B) 4  
C) 5  
D) 5.5
30. Which regulations of SEBI are applicable for advisory services on investment ?
- A) SEBI Listing Obligations and Disclosure Requirements (SEBI LODR) Regulations, 2015  
B) SEBI Issue of Capital and Disclosure Requirements (SEBI ICDR) Regulations, 2009  
C) SEBI Investment Advisers Regulations, 2013  
D) None of these.