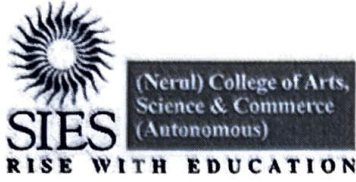


AC: 21/02/2026

Item No. : 1.1.2



**SIES (Nerul) College of Arts, Science and Commerce (Autonomous)
Syllabus for Approval**

B.COM (FINANCIAL MARKETS)

Sr. No.	Heading	Particulars
1	Title of the Programme	B.Com. (Financial Markets)
2	Year	Third Year
3	Semesters	V and VI
4	Level	UG
5	Pattern	3-4 years & 6-8 semesters Choice Based Grading System
6	Status	New
7	To be implemented from	From Academic year 2026-27 in a progressive manner

Date: 31st January 2026

Signature:

**Dr. Koel Roychoudhury
AC Chairperson**

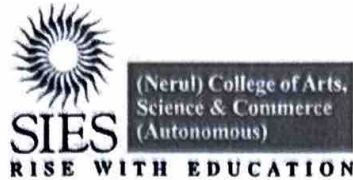


**Dr. Babita H. Kakkar
Coordinator**

Sri Chandrasekarendra Saraswati Vidyapuram, Plot I-C, Sector V,
Nerul, Navi Mumbai – 400706 India

Tel No: 61196409, 61196410, 61196402, 61196413, 61196414, 61196415, 27708371

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SIES (Nerul) College of Arts, Science and Commerce (Autonomous)
(Affiliated to University of Mumbai)
RE-ACCREDITED GRADE "A" BY NAAC (3rd CYCLE)
BOARD OF STUDIES
SYLLABUS FOR
B.COM (FINANCIAL MARKETS)
(WITH EFFECT FROM THE ACADEMIC YEAR 2026-2027)

PROGRAMME OBJECTIVES

1. To provide education, knowledge and professional development to students in the financial market.
2. To mentor and develop students in accordance with the needs of the financial markets.
3. To create an additional avenue for employability to the student and to provide suitable trained personnel for the Financial Services Sector.

PROGRAMME OUTCOME

PO-1 The learner will develop the knowledge, skill and attitude to creatively and systematically apply the principles and practices of commerce, accountancy, finance, Financial Derivatives, Technical Analysis, IKS / Strategic Corporate Finance, Wealth Management, Direct Tax - Income Tax, Risk Management, Mutual Fund Management, Business Ethics and Corporate Governance, Indirect Tax - GST/Venture Capital and Private Equity, Business Valuation / Financial Modeling, Financial Analytics as well as legal framework in modern day business and non-business organizations.

PO-2 The student will be able to exhibit self-confidence, awareness of general social issues and communicate effectively through digital and non-digital medium with accounting, commerce, management, business, professional fraternity and with society at large.

PO-3 The student will be able to function effectively as an individual and as a member or leader in teams and in multidisciplinary settings by demonstrating skills, coping skills and human skills.


PROGRAMME SPECIFIC OUTCOMES

PSO-1 Students will receive training in professional skills and gain practical knowledge to advance their financial markets competencies, preparing them for the workplace.

PSO-2 Students will develop their personalities and acquire the research, analytical, managerial, and communication skills in the rapidly expanding and dynamic field of finance.

PSO-3 Students will be trained in social responsibilities, leadership and environmental and sustainable awareness.

PSO-4 Students will be able to connect with global issues and gain knowledge of recent developments in the financial markets and finance fields.


Dr. Babita H. Kakkar
Coordinator




Dr. Koel Roychoudhury
Principal

B.COM. (FINANCIAL MARKETS) PROGRAMME
SCHEME OF MODULES

Semester V			
Sr. No.	Course Code	Course Name	Credits
1	Major: Department Specific Course (DSC)		
1	U25FM5MJ01	Financial Derivatives	4
2	U25FM5MJ02	Technical Analysis	4
3	U25FM5MJ03	Evolution of Finance and Banking Practices in India	2
2	Major: Elective		
4		* List of Major Elective Courses (MJE) for Semester V (Any One)	4
3	Minor: Department Specific Course (DSC)		
5	U25FM5MI01	Strategic Corporate Finance	4
4	Vocational Skill Course (VSC) & Skill Enhancement Course (SEC)		
6	U26FM5VSC01	Equity Research and Valuation	2
5	On the Job Training (OJT)/Field Projects (FP)/Research Methodology (RP)/Community Engagement and Service (CEP)/Co-Curricular Courses (CC)		
7	U26CC5FP01	Field Project (FP)	2
Total Credits			22

*** List of Major Elective Courses (MJE) for Semester V (Any One)**

Sr. No.	Course Code	Course Name	Credits
1	U25FM5MJE01	Direct Tax - Income Tax	4
2	U25FM5MJE02	Venture Capital and Private Equity	4
3	U25AF5MJE01	Corporate Restructuring [Offered by B.Com. (Accounting & Finance)]	4



BOS	Accountancy
Class	T.Y.B.Com. (Financial Markets)
Semester	V
Course Name	Financial Derivatives
Course Code	U25FM5MJ01
Course Type	Major Department Specific Course (DSC)
Course Credit	04

1 credit - 15 lectures

1 lecture is 60 minutes

Course Objectives:

1. To provide an in-depth understanding of financial derivatives and its requirements for a successful derivatives markets.
2. To understand the concepts of futures and options and its types.
3. To analyze the different pricing models and its factors used for determining the price of derivative instruments.
4. To summarize trading clearing and settlement of options and futures.

Sr. No	Syllabus	No. of lectures
1	<p>Module 1 – Introduction to Derivatives</p> <ul style="list-style-type: none"> • Definition – Types- Participants and Functions. • Development of Exchange traded derivatives. • Global derivatives markets- Exchange traded vs OTC derivatives markets. • Derivatives trading in India- L.C.Gupta committee- J.C. Varma committee. • Requirements for a successful derivatives markets. 	15
2	<p>Module 2 – Futures and options- introduction</p> <ul style="list-style-type: none"> • Futures: Introduction- Future terminology- Key features of futures contracts- Future vs. Forwards- Pay off for futures. • Equity futures in India-Index futures- Stock futures- Future trading strategies • Hedging- Speculation- Arbitrage- Spread trading. • Options: Introduction- Option terminology. • Types- Options pay off. • Stock options- Options trading strategies- Hedging- Speculation- Arbitrage- Straddle- Strangles- Strips and Straps – Spread trading 	15
3	<p>Module 3 – Pricing of Future Options</p> <ul style="list-style-type: none"> • The cost of carry models for stock and index futures- cash price and future price, arbitrage opportunity. 	15



	<ul style="list-style-type: none"> • Factors affecting options pricing- Option pricing models- Binominal pricing model- The black and Scholes model –Pricing of Index options. • Sensitivity of option premia (Delta, Gamma, Lambda, Theta) 	
4	Module 4 – Trading Clearing and Settlement of Options and Futures <ul style="list-style-type: none"> • Futures and Options trading system- Trader workstations- contract specification- specification for stock and index eligibility for trading charges. • Clearing entities and their role- clearing mechanism –adjustment for corporate actions- open position calculation. • Margining and settlement mechanism- Risk management- SPAN – Mechanics of SPAN- Overall portfolio margin requirements. 	15

Course Outcome: After studying the course, student will be able to:

1. describe all aspects of derivative market theory and the roles they play in the financial markets.
2. explain how derivative instruments can be used to change or hedge risk and evaluate risks and pay-offs associated with trading such instruments
3. evaluate the nature and extent of a company's exposure to stock price risk, commodity price risk, currency risk, interest rate risk and credit risk and various hedging strategies to the identified risk.
4. summarize the understanding of futures and options trading system, clearing entities and settlement mechanism.

Reference Books:

- "Options, Futures, and Other Derivatives" – John C. Hull
- "Fundamentals of Futures and Options Markets" – John C. Hull
- "Derivatives Markets" – Robert L. McDonald
- "Financial Derivatives: Theory, Concepts, and Problems" – S.L. Gupta

SCHEME OF EXAMINATION

The scheme of examination shall be divided into two parts:

- Internal assessment 40% i.e. 40 marks
- Semester end examination 60% i.e. 60 marks

(A) Internal Assessment 40 marks

Description	Marks
Internal tests of 20 marks each - Online Multiple Choice Questions/True or False. – 20 marks OR Offline - Q1. Multiple choice Questions/True or False – 10 marks - Q2. Attempt 2 question out of 3 questions – 10 marks	20
One Project and Viva voce/Presentation/Case studies/Assignments	15
Attendance and Class Behaviour	5
Total	40

(B) Semester end examination 60 marks

PAPER PATTERN

Duration: 2 hours	
Total Marks: 60	
Q1. 15 Marks OR 15 marks	15
Q2. 15 Marks OR 15 marks	15
Q3. 15 Marks OR 15 marks	15
Q4. 15 Marks OR 15 marks Three short notes of 5 Marks each or Case study	15
Total	60
Note: 1. Q1, 2 and 3 - 15 Marks question may be divided into sub questions if required. 2. Q4 May include theory (short notes) /Case Study in one of the options.	

Passing criteria: Minimum 40% in Internal (16 out of 40) and 40% (24 out of 60) in semester end examination.



BOS	Accountancy
Class	T.Y.B.Com. (Financial Markets)
Semester	V
Course Name	Technical Analysis
Course Code	U25FM5MJ02
Course Type	Major Department Specific Course (DSC)
Course Credit	04

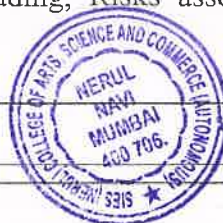
1 credit - 15 lectures

1 lecture is 60 minutes

Course Objectives:

1. To introduce the different facets of trading in stock market.
2. To understand the major indicators and oscillators of technical analysis.
3. To summarize the major theories in technical analysis.
4. To evaluate risk management, trading psychology and trading strategies.

Sr. No	Syllabus	No. of lectures
1	<p>Module 1 – Introduction to Technical Analysis</p> <ul style="list-style-type: none"> • Technical analysis, Basic assumptions, Strengths and Weakness; • Dow Theory, Charts. • Candlestick charts analysis with one two and three candles like hammer, hanging man, shooting star, bearish and bullish harami. • Pattern Study - Support and resistance, Head and shoulders, Double top and double bottom and Gap theory. 	15
2	<p>Module 2 – Major Indicators and Oscillators</p> <ul style="list-style-type: none"> • Stochastic, RSI, Williams %R, MFI, Bollinger bands, Moving Averages, MACD 	15
3	<p>Module 3 – Major Theories in TA</p> <ul style="list-style-type: none"> • Dow Theory and Eliot Wave Theory 	15
4	<p>Module 4 – Risk Management, Trading Psychology and Trading Strategies</p> <ul style="list-style-type: none"> • Risk Management – Need, techniques, uses of stop loss, qualities of successful traders, and golden rules of traders, do's and don'ts in trading. • Rules to stop losing money, choosing the right market to trade, Importance of discipline in trading. • Day trading, Advantages of day trading, Risks associated with trading, Strategies for day trading. • Momentum trading strategies. 	15

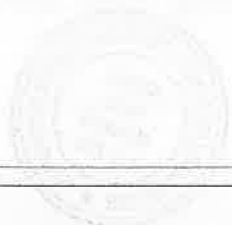


Course Outcome: After studying the course, student will be able to:

1. define the concepts, significance, charts and pattern study of technical analysis in stock market.
2. evaluate the need of in major indicators and oscillators like stochastic, RSI in technical analysis.
3. describe the use of major theories in understanding operations of technical analysis.
4. discuss the risk management need, techniques and momentum trading strategies.

Reference Books:

- Guide To Technical Analysis & Candlesticks by Ravi Patel (Author)
- How to Day Trade for a Living: Tools, Tactics, Money Management, Discipline and Trading Psychology Kindle Edition – Dr. Andrew Aziz – Author
- Technical Analysis Explained; Martin J Pring; McGraw Hill
- Technical Analysis of Stock Trend; Robert D Edwards, Visiosn Book
- Handbook of Technical Analysis, Darell R Jobman; Probus



SCHEME OF EXAMINATION

The scheme of examination shall be divided into two parts:

- Internal assessment 40% i.e. 40 marks
- Semester end examination 60% i.e. 60 marks

(A) Internal Assessment 40 marks

Description	Marks
Internal tests of 20 marks each	20
- Online Multiple Choice Questions/True or False. – 20 marks	
OR	
Offline	
- Q1. Multiple choice Questions/True or False – 10 marks	
- Q2. Attempt 2 question out of 3 questions – 10 marks	
One Project and Viva voce/Presentation/Case studies/Assignments	15
Attendance and Class Behaviour	5
Total	40

(B) Semester end examination 60 marks PAPER PATTERN

Duration: 2 hours	
Total Marks: 60	
Q1. 15 Marks OR 15 marks	15
Q2. 15 Marks OR 15 marks	15
Q3. 15 Marks OR 15 marks	15
Q4. 15 Marks OR 15 marks Three short notes of 5 Marks each or Case study	15
Total	60
Note:	
1. Q1, 2 and 3 - 15 Marks question may be divided into sub questions if required.	
2. Q4 May include theory (short notes) /Case Study in one of the options.	

Passing criteria: Minimum 40% in Internal (16 out of 40) and 40% (24 out of 60) in semester end examination.



BOS	Accountancy
Class	T.Y.B.Com. (Financial Markets)
Semester	V
Course Name	Evolution of Finance and Banking Practices in India
Course Code	U25FM5M.I03
Course Type	Major Department Specific Course (DSC)
Course Credit	02

1 credit - 15 lectures

1 lecture is 60 minutes

Course Objective:

1. To understand the evolution of trade, commerce, and banking systems in ancient India, ancient financial instruments, evolution of banking, finance, and economic practices from ancient times to early medieval India, to analyze significant economic literature such as the Arthashastra, Manusmriti, Kautilya's Niti, and others to understand Indian financial practices.
2. To analyze the role of Hundis in trade and credit systems, to examine the use of currency in ancient India, to explore the concept and function of promissory notes, bridge ancient financial systems with modern finance and relate ancient financial practices to modern financial instruments.

Sr. No	Syllabus	No. of lectures
01	<p>Module-1</p> <p>Introduction to Ancient Indian Financial Systems</p> <ul style="list-style-type: none"> ○ Overview of ancient Indian economic systems: trade, banking, and financial governance. ○ Role of financial instruments in facilitating commerce and trade. ○ Importance of religious, cultural, and legal frameworks in financial practices. <p>Traditional Indian Financial Management and Accounting Practices</p> <ul style="list-style-type: none"> ○ Traditional accounting systems in India (Chitthi, Vachan, and other record-keeping methods) ○ Role of community and familial financial management ○ Ancient Indian trade, commerce, and financial models <p>The Arthashastra and Kautilya's Economic Vision</p> <ul style="list-style-type: none"> ○ Detailed study of Arthashastra and its principles of taxation, governance, and statecraft ○ Kautilya's views on finance, markets, and the role of the king in economic matters ○ Analysis of Kautilya's ideas about the economy, banking, and trade <p>Trade, Commerce, and Economic Practices in Ancient India</p> <ul style="list-style-type: none"> ○ The role of trade and commerce in the Maurya, Gupta, and post-Gupta empires ○ Indian guilds and their role in organizing trade, taxation, and banking ○ Influence of Indian maritime trade on global commerce (e.g., Southeast Asia, Africa) <p>Ancient Indian Banking Systems and Financial Institutions</p>	15



	<ul style="list-style-type: none"> ○ Types of ancient financial institutions: Shroffs, moneylenders, and banking guilds ○ Role of early banks and their functions in trade and commerce ○ Indigenous systems of money management: Hundi, Chit Funds, and credit practices 	
02	<p>Module-2</p> <p>The Hundi: Definition, Types, and Functions</p> <ul style="list-style-type: none"> ○ Origin of Hundis in ancient India: historical development and evolution. ○ Types of Hundis: Navratan Hundi, Shah Hundi, Dharmada Hundi, Parchi Hundi. ○ The role of Hundis in facilitating trade, credit, and remittance systems. ○ Comparison with modern banking instruments like bills of exchange and promissory notes. <p>Economic and Trade Context of Hundis</p> <ul style="list-style-type: none"> ○ The role of Hundis in ancient India's trade networks, both regional and international. ○ The role of merchants, Vyaparis, and guilds in the Hundi system. ○ Hundis in the Maurya, Gupta, and medieval periods. ○ How Hundis helped in the expansion of Indo-Roman and Indo-Sassanian trade routes. <p>Currency in Ancient India: Coins and Money Systems</p> <ul style="list-style-type: none"> ○ Introduction to ancient Indian currency systems: metallic coins, weights, and measures. ○ Types of coins: punch-marked coins, Kushana coins, Gupta coins, etc. ○ The role of currency in the ancient Indian economy: usage, value, and circulation. ○ The minting process and the role of kings and emperors in regulating currency. <p>Promissory Notes: Function and Evolution</p> <ul style="list-style-type: none"> ○ Understanding promissory notes in ancient India: written debt instruments. ○ Promissory notes as part of the broader credit system: how they operated in ancient commerce. ○ Use of promissory notes in facilitating trade and credit transactions. ○ Legal framework surrounding promissory notes in ancient Indian texts. <p>Continuity of Ancient Financial Practices in Modern Systems</p> <ul style="list-style-type: none"> ○ Comparison between ancient Indian financial instruments and modern banking practices. ○ Influence of Hundis and promissory notes on contemporary banking and finance. ○ The role of indigenous banking systems in shaping modern Indian finance. ○ Legacy of ancient Indian currency in modern monetary systems. ○ The Indian approach to ethics and corporate governance (Satyam, Shivam, Sundaram) 	15



Course Outcome: After studying the course, student will be able to:

1. understand the evolution of trade, commerce, and banking systems in ancient India, ancient financial instruments, evolution of banking, finance, and economic practices from ancient times to early medieval India, to analyze significant economic literature such as the Arthashastra, Manusmriti, Kautilya's Niti, and others to understand Indian financial practices.
2. analyze the role of Hundis in trade and credit systems, to examine the use of currency in ancient India, explore the concept and function of promissory notes, bridge ancient financial systems with modern finance and relate ancient financial practices to modern financial instruments.

References:

- Agarwal, M. L. (2017). Traditional Financial Systems in India.
- Bhattacharyya, D. (2018). Ancient Finance and Its Relevance Today.
- Das, M. C. (2004). Dharma and Economic Decision-Making: The Indian Perspective.
- Gupta, P. (2012). Coins of Ancient India: A Numismatic Study.
- Gupta, P. (2012). Ancient Indian Economic Thought: A Historical Perspective.
- Gupta, P. (2012). Coins of Ancient India: A Numismatic Study.
- Kautilya (Chanakya). Arthashastra (translated by R. Shamasastri).
- Ray, H. P. (2014). Trade and Commerce in Ancient India.
- Sharma, R. (1996). Indian Economic History: From Ancient to Early Medieval Times.
- Sharma, R. N. (2009). The Role of Dharma in Ancient Economic Practices.
- Sharma, R. (2012). Ethical Financial Decision Making in Indian Business.
- Shukla, A. (2012). Early Financial Instruments in India.
- Verma, R. (2013). Bridging Ancient Indian Financial Systems with Modern Practices.



SCHEME OF EXAMINATION

The scheme of examination shall be divided into two parts:

- Internal assessment 40% i.e. 20 marks
- Semester end examination 60% i.e. 30 marks

(A) Internal Assessment 20 marks

Description	Marks
Internal Tests of 20 Marks each - Online Multiple-choice Questions/True or False - 20 Marks OR - Offline - Q.1 Multiple choice Questions/True or False - 10 Marks - Q.2. Attempt 2 questions out of 3 questions (5 marks each) - 10 Marks	10
One Project and Viva voce/Presentation/Case studies/Assignments	05
Attendance and Class Behavior	05
Total	20

(B) Semester end examination 30 marks

PAPER PATTERN

Duration: 1 hour	
Total Marks: 30	
Q1. 10 marks OR 10 marks	10
Q2. 10 marks OR 10 marks	10
Q3. 10 marks OR 10 marks	10
Total	30
Note: Q1, 2 and 3 - 10 Marks questions may be divided into sub questions if required.	

Passing criteria: Minimum 40% in Internal (8 out of 20) and 40% (12 out of 30) in semester end examination.



BOS	Accountancy
Class	T.Y.B.Com. (Financial Markets)
Semester	V
Course Name	Direct Tax – Income Tax
Course Code	U25FM5MJE01
Course Type	Major Elective (MJE)
Course Credit	04

1 credit - 15 lectures

1 lecture is 60 minutes

Course Objectives:

1. To describe the basic terms in Income tax, Scope of Total Income and exclusions from total taxable income.
2. To understand the procedure for computation of net taxable income of Individual assessee.
3. To describe various deductions from gross total Income.
4. To classify and compute taxable Income and tax under various sources of Individuals.

Sr. No	Syllabus	No. of lectures
01	Module-1 Definitions and Residential Status Basic Terms (Sec. 2,3,4) Assessee, Assessment, Assessment Year, Annual Value, Business, Capital Assets, Income, Previous Year, Person, Transfer. Determination of Residential Status of Individual, Scope of Total Income (Sec 5) Exclusions from total income Sec 10 (Exclusions relating to specific heads to be covered with relevant heads of income)	15
02	Module-2 Heads of Income – I Salary (Sec.15-17) Income from House Property (Sec. 22-27) Profit & Gain from Business and Profession (Sec. 28, 30,31,32, 35, 35D,36,37, 40, 40A and 43B) Capital Gain (Sec. 45, 48, 49, 50 and 54) Income from other sources (Sec.56- 59)	20
03	Module-3 Deductions under Chapter VI A Deductions from Total Income S. 80C, 80CCC, 80D, 80DD, 80E, 80U, 80TTA	15
04	Module-4 Computation of Taxable Income of Individuals Computation of Total Income and Taxable Income of Individuals	10

Note.: The Syllabus is restricted to study of particular sections, specifically mentioned rules and notifications only.

1. All modules / units include Computational problems
2. The Law In force on 1st April immediately preceding the commencement of Academic year will be applicable for ensuing examinations.



Course Outcomes: After studying the course, student will be able to:

1. describe the basic terms, i.e. Assessee, Assessment, etc., Scope of Total Income (Sec 5) and Exclusions from total income Sec 10 (Exclusions relating to specific heads to be covered with relevant heads of income).
2. classify heads of Income and compute income from Salary, Income from House Property, Profit & Gain from Business and Profession, Capital Gain and Income from other sources.
3. describe various Deductions from Total Income, Section 80C, 80CCC, 80D, 80DD, 80E, 80U, 80TTA.
4. Classify and compute total taxable Income and tax of Individuals.

Reference Books:

- Students Guide to Income Tax Dr Vinod Singhania- Taxmann
- Students Handbook on Taxation- T N Manoharan- Snow White
- Direct Tax Laws by T.N. Manoharan - Snow White
- Income Tax Act and Rules



SCHEME OF EXAMINATION

The scheme of examination shall be divided into two parts:

- Internal assessment 40% i.e. 40 marks
- Semester end examination 60% i.e. 60 marks

(A) Internal Assessment 40 marks

Description	Marks
Internal Tests of 20 Marks each - Online Multiple-choice Questions/True or False - 20 Marks OR - Offline - Q.1 Multiple choice Questions/True or False - 10 Marks - Q.2. Attempt 2 questions out of 3 questions (5 marks each) - 10 Marks	20
One Project and Viva voce/Presentation/Case studies/Assignments	15
Attendance and Class Behavior	05
Total	40

(B) Semester end examination 60 marks

PAPER PATTERN

Duration: 2 hours	
Total Marks: 60	
Q.1 15 Marks OR 15 marks	15
Q.2 15 Marks OR 15 marks	15
Q.3 15 Marks OR 15 marks	15
Q.4 15 Marks OR 15 marks Three short notes of 5 Marks each or Case study	15
Total	60
Note: 1. Q.1, 2 and 3 - 15 Marks questions may be divided into sub questions if required. 2. Q.4 May include theory (short notes) /Case Study in one of the options.	

Passing criteria: Minimum 40% in Internal (16 out of 40) and 40% (24 out of 60) in semester end examination.



BOS	Accountancy
Class	T.Y.B.Com. (Financial Markets)
Semester	V
Course Name	Venture Capital and Private Equity
Course Code	U25FM5MJE02
Course Type	Major Elective (MJE)
Course Credit	04

1 credit - 15 lectures

1 lecture is 60 minutes

Course Objectives:

1. To understand various concepts of venture capital and private equity.
2. To analyze various Structure and regulations of venture capital, private equity investment and its valuation approaches.
3. To describe various strategies used in the private equity industry.
4. To analyze various exit strategies and modes of private equity.

Sr. No	Syllabus	No. of lectures
1	<p>Module 1 – Conceptual understanding of Venture Capital and Private Equity</p> <ul style="list-style-type: none"> • Venture Capital –Over View of Venture Capital- Definition- Features- Types – Roles • Concept of PE and its characteristics- Definition- Difference between PE, VC and Hedge Funds- Nature of PE Firm- Players in the PE market– Benefit of PE Finance • PE Fund –Legal structure and terms- Private Equity Investments and Financing- Private Equity Multiples and Prices- Private Equity Funds and Private Equity Firms- Investment Feature and Consideration 	15
2	<p>Module 2 – Structure and Valuation approaches</p> <ul style="list-style-type: none"> • Structure and Regulation of Venture Capital and Private Equity- Business Cycle of PE • Structure of VC/PE firms- Limited Liability Partnerships- Routes of VC/PE investments in India- Regulatory Aspects of VC/PE investments. • Valuation approaches- Risk and Returns- Analysis of Funds- Conventional Method- Revenue Multiplier Method. 	15
3	<p>Module 3 – Strategies of Private Equity</p> <ul style="list-style-type: none"> • Leverage Buyout. • Growth Capital. • Mezzanine Capital. 	15



	<ul style="list-style-type: none"> . Distressed Debt. . Other Strategies. . Due Diligence- Procedure and Challenges- Due Diligence in Emerging PE Market-Investing in Developing Market- Past Performance and Strategy 	
4	<p>Module 4 - Exit strategies for Private Equity</p> <ul style="list-style-type: none"> . Modes of exits in Indian Context and Challenges involved. . IPO. . Promoter Buyback. . Sale to Other PE funds. . Sale to other strategic Investors. . Stake Swap. . M & A's. . Open Market. . Secondary Market 	15

Course Outcome: After studying the course, student will be able to:

1. summarize conceptual understanding of venture capital, concept of PE, its characteristics and PE fund.
2. describe structure and regulation of venture capital, private equity, limited liability partnerships and valuation approaches.
3. examine various strategies used in private equity industry like leverage buyout, growth capital and due diligence
4. describe the exit strategies and modes for private equity.

Reference Books:

- . The Masters of Private Equity and Venture Capital: Robert Finkel: McGraw-Hill Education
- . Guide to Private Equity : CA Neha Bhuvania: Taxmann
- . Venture Capital, Private Equity, and the Financing of Entrepreneurship: Josh Lerner , Ann Leamon , Fel Hardyman : Wiley
- . The Business of Venture Capital: Mahendra Ransinghani: Wiley Finance
- Venture Capital Financing in India: J C Verma :Response Books



SCHEME OF EXAMINATION

The scheme of examination shall be divided into two parts:

- . Internal assessment 40% i.e. 40 marks
- . Semester end examination 60% i.e. 60 marks

(A) Internal Assessment 40 marks

Description	Marks
Internal tests of 20 marks each - Online Multiple Choice Questions/True or False. – 20 marks OR Offline - Q1. Multiple choice Questions/True or False – 10 marks - Q2. Attempt 2 question out of 3 questions – 10 marks	20
One Project and Viva voce/Presentation/Case studies/Assignments	15
Attendance and Class Behaviour	5
Total	40

(B) Semester end examination 60 marks

PAPER PATTERN

Duration: 2 hours	
Total Marks: 60	
Q1. 15 Marks OR 15 marks	15
Q2. 15 Marks OR 15 marks	15
Q3. 15 Marks OR 15 marks	15
Q4. 15 Marks OR 15 marks Three short notes of 5 Marks each or Case study	15
Total	60
Note: 1. Q1, 2 and 3 - 15 Marks question may be divided into sub questions if required. 2. Q4 May include theory (short notes) /Case Study in one of the options.	

Passing criteria: Minimum 40% in Internal (16 out of 40) and 40% (24 out of 60) in semester end examination.



BOS	Accountancy
Class	T.Y.B.Com. (Financial Markets)
Semester	V
Course Name	Strategic Corporate Finance
Course Code	U25FM5MI01
Course Type	Minor Department Specific Course (DSC)
Course Credit	04

1 credit - 15 lectures

1 lecture is 60 minutes

Course Objectives:

1. To understand the relationship between strategy and Planning and compute corporate value addition.
2. To identify different sources of capital, determine capital structure and alternate sources of financing.
3. To learn how to establish feasibility of management buyouts, buy-ins, and apply financial due diligence.
4. To classify and analyse different types of risk in modern business organization.

Sr. No	Syllabus	No. of lectures
01	<p>Module-1 Strategic Corporate Finance</p> <ul style="list-style-type: none"> • Introduction to Strategic Corporate Finance: Strategy Vs. Planning, Significance of Strategy in Financial Decisions, Different Types of Financial Strategy for Shareholders, Wealth Maximization, Overall Corporate Value Addition and Economics Value Addition. • Strategic Cost Management: Traditional Costing Vs. Strategic Costing, Relevant costs Vs Irrelevant costs, Different Types of Strategic costing and their relevance- Traditional Costing Vs Activity Based Costing, Target Costing, Life Cycle Costing, Quality Costing, Zero Based Budgeting, Strategic Cost Reduction Techniques and value chain analysis. 	15
02	<p>Module-2 Fund Raising</p> <ul style="list-style-type: none"> • Fundraising: Identification of different sources of capital, determination of capital structure and factors affecting the capital structure, cost of capital and cost saving strategy, production of a business plan, and financial forecasts to enable potential funders to assess the proposition. • Alternate Sources of Financing- Different Approaches to and models of Infrastructure Projects Financing- Public Private Partnership (PPP) and its relevance. • Dividend Vs Share Repurchase Policy, problem of too much cash, Stock liquidity and illiquidity. 	15



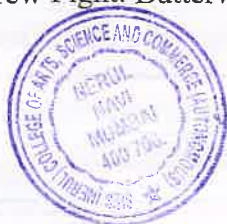
03	Module-3 Company Valuation <ul style="list-style-type: none"> • Company Valuation: An Overview of Valuation, Valuation Principles and Practices more, the impact of “what if” scenarios, the key financial and commercial factors affecting the business, Value enhancement tools & techniques, the link between valuation and corporate finance. • Management Buyouts: Establishing feasibility of the buy-out, Negotiating the main terms of the transaction with the vendor including price and structure, developing the business plan funders, negotiations with potential funders so that the most appropriate funding offers are selected. • Management Buy-ins: Management Buy-in/Buy-outs, Vendor-initiated buyouts/buy-ins. • Due Diligence: finance due diligence for both purchasers and financial institutions 	15
04	Module-4 Credit Risk Management <ul style="list-style-type: none"> • Credit analysis, Default risk: Quantitative methodologies • Expected and unexpected loss, Credit VaR, Counterparty risk • Risk management choices, such as process control efforts, financial, physical, and operational hedging, value-based management 	15

Course Outcomes: After studying the course, student will be able to:

1. evaluate the relationship between strategy and Planning, compute corporate value addition by applying EVA and MVA techniques, and prepare strategic costing by applying various strategic cost management techniques.
2. identify different sources of capital financing, determine capital structure, dividend and share repurchase policy.
3. establish feasibility of management buyouts, buy-ins, and apply financial due diligence in Merger and Acquisition transactions.
4. classify and analyse different types of risk in modern business organization and apply various tools to mitigate credit risk.

Reference Books:

- Strategic Corporate Finance: Tony Davies, Tony Boczko, Jean Chen : McGraw-Hill Higher Education
- Strategic Corporate Finance: Pratap G Subramanyam: Snow White Publication
- Strategic Corporate Finance: Jayant Varma: Vision Books
- Strategic Corporate Finance: Samuel Weaver: Cengage Learning
- Credit Risk Management: Andrew Fight: Butterworth



SCHEME OF EXAMINATION

The scheme of examination shall be divided into two parts:

- Internal assessment 40% i.e. 40 marks
- Semester end examination 60% i.e. 60 marks

(A) Internal Assessment 40 marks

Description	Marks
Internal Tests of 20 Marks each - Online Multiple-choice Questions/True or False - 20 Marks OR - Offline - Q.1 Multiple choice Questions/True or False - 10 Marks - Q.2. Attempt 2 questions out of 3 questions (5 marks each) - 10 Marks	20
One Project and Viva voce/Presentation/Case studies/Assignments	15
Attendance and Class Behavior	05
Total	40

(B) Semester end examination 60 marks

PAPER PATTERN

Duration: 2 hours	
Total Marks: 60	
Q.1 15 Marks OR 15 marks	15
Q.2 15 Marks OR 15 marks	15
Q.3 15 Marks OR 15 marks	15
Q.4 15 Marks OR 15 marks Three short notes of 5 Marks each or Case study	15
Total	60
Note: 1. Q.1, 2 and 3 - 15 Marks questions may be divided into sub questions if required. 2. Q.4 May include theory (short notes) /Case Study in one of the options.	

Passing criteria: Minimum 40% in Internal (16 out of 40) and 40% (24 out of 60) in semester end examination.



BOS	Accountancy
Class	T.Y.B.Com. (Financial Markets)
Semester	V
Course Name	Equity Research & Valuation
Course Code	U26FM5VSC01
Course Type	Vocational Skill Course (VSC)
Course Credit	02

1 credit - 15 lectures

1 lecture is 60 minutes

Course Objectives

1. To equip students with the skills to design a structured research process, from identifying market triggers to verifying data via primary and secondary sources.
2. To train students in evaluating company performance by synthesizing macroeconomic trends, industry competitive dynamics, and fundamental valuation techniques.

Sr. No	Syllabus	No. of lectures
1	<p>Unit 1: Research Methodology in Financial Markets</p> <p>1.1 Foundations: Meaning and purpose of research in capital markets; Objective vs. Subjective analysis; Fundamental (intrinsic value) vs. Technical (price patterns); Information Asymmetry and converting raw data into actionable insights.</p> <p>1.2 Research Process: Problem Formulation (triggers, sector shifts, price volatility); Research Design (Descriptive and Explanatory); Developing and testing a logical Investment Hypothesis for a security.</p> <p>1.3 Data Sourcing: Primary Data (Management meetings, Plant visits, and Channel Checks); Secondary Data (Annual Reports/MD&A, Quarterly Results, and future growth narratives).</p> <p>1.4 Sampling & Benchmarking: Defining the Investment Universe (Nifty 50, Sectoral themes, Market Cap); Peer Group Selection for accurate benchmarking and relative valuation.</p>	15
2	<p>Unit 2: Equity Research – Analysis & Profession</p> <p>2.1 Regulation & Profession: SEBI (Research Analysts) Regulations, 2014 (RA Regulations) [Amended 2024-25]; managing conflicts of interest; Internal Information Barriers for data confidentiality; Buy-side vs. Sell-side career paths and professional ethics.</p> <p>2.2 Macro & Industry Analysis: Analyzing Macro variables (GDP, Inflation, Interest Rates) to identify market-wide trends and cycles; Applying PESTLE and Porter's Five Forces to study competition; identifying a company's Competitive Advantage.</p> <p>2.3 Company & Corporate Actions: Evaluating Management quality and Governance; Earnings Quality Analysis to spot red flags in company reports; Assessing the impact of Dividends, Bonus Issues, Splits, and Buybacks on share price, valuation and liquidity.</p> <p>2.4 Risk, Valuation & Report Writing: Understanding Beta (volatility) and Standard Deviation; calculating Risk-Adjusted Returns; Practical application of Relative Valuation (P/E, EV/EBITDA, P/B) and Intrinsic Valuation (DCF); Building a Comprehensive Research Report with Investment Rationale and Price Targets.</p>	15



Course Outcomes: After studying the course, student will be able to:

1. Draft a Comprehensive Research Report featuring a clear Investment Rationale, Price Targets, and risk-adjusted return analysis.
2. Demonstrate proficiency in SEBI RA Regulations, manage internal information barriers, and conduct earnings quality checks to ensure ethical and accurate investment advice.

References:

- Damodaran, A. (2025). Investment Valuation: Tools and Techniques for Determining the Value of Any Asset. Hoboken, NJ: John Wiley & Sons.
- National Institute of Securities Markets (NISM). (2025). NISM-Series-XV: Research Analyst Certification Examination Workbook. Mumbai: Taxmann Publications.
- Porter, M. E. (1998). Competitive Strategy: Techniques for Analyzing Industries and Competitors. New York: Free Press.
- Schilit, H. M. (2018). Financial Shenanigans: How to Detect Accounting Gimmicks & Fraud in Financial Reports. New York: McGraw-Hill.
- Securities and Exchange Board of India (SEBI). (2025). SEBI (Research Analysts) Regulations, 2014 [Amended 2024-25]. Government of India.
- Tripathi, V., & Panwar, N. (2024). Investing in Stock Markets (8th ed.). New Delhi: Taxmann Publications.



SCHEME OF EXAMINATION

The scheme of examination shall be divided into two parts:

- Internal assessment 40% i.e. 20 marks
- Semester end examination 60% i.e. 30 marks

(A) Internal Assessment 20 marks

Description	Marks
Internal Tests of 10 Marks each	10
- Online Multiple-choice Questions/True or False - 10 Marks	
OR	
- Offline	
- Q.1 Multiple choice Questions/True or False - 05 Marks	
- Q.2. Attempt 1 question out of 2 questions (5 marks) - 05 Marks	
One Project and Viva voce/Presentation/Case studies/Assignments	05
Attendance and Class Behavior	05
Total	20

(B) Semester end examination 30 marks

PAPER PATTERN

Duration: 1 hour	
Total Marks: 30	
Q1. 10 marks OR 10 marks	10
Q2. 10 marks OR 10 marks	10
Q3. 10 marks OR 10 marks	10
Total	30
Note: Q1, 2 and 3 - 10 Marks questions may be divided into sub questions if required.	

Passing criteria: Minimum 40% in Internal (8 out of 20) and 40% (12 out of 30) in semester end examination.



**SIES (NERUL) COLLEGE OF ARTS, SCIENCE AND COMMERCE (AUTONOMOUS)
B.COM (FINANCIAL MARKETS)**

Field Project

COURSE CODE: U26FM5FP01

COURSE CREDIT: 02

The significance of the field project can be appreciated from the fact that it is an opportunity for the students to put into practice the knowledge gained. Field project will provide possible opportunities to learn, understand and sharpen the real time technical / managerial skills required at the job / project and will give exposure to the current developments relevant to the Commerce, Accountancy and Economics sector.

Inclusion of Field project work in the course curriculum of the B.Com. (Financial Markets) programme in semester 3 for 2 credits is one of the ambitious aspects in the programme structure. The main objective of inclusion of field project is to inculcate the element of research analysis and scientific temperament challenging the potential of the learner as regards to his/ her eagerness to enquire and ability to interpret particular aspects of the study.

It is expected that the guiding faculty should undertake the counselling sessions and make the learners about the methodology of formulation, preparation and evaluation pattern of the field project work. Each of the learners has to undertake a Project individually under the supervision of a guiding faculty. The mentors will facilitate both the personal and professional growth of the learners through knowledge sharing and the provision of insights learned from years of experience. The experience gained from the field project will be used in classroom discussions. Interactive sessions with industry experts and field visits will give exposure to practical aspects of the financial sector. It will also help the students to identify their areas of interest and various career prospects which will help them to get prepared accordingly.



General Guidelines for Field Project

- The learners' will have to identify and approach companies / organizations on their own wherein they want to pursue their field project according to their area of interest. (Finance, Marketing, Human Resource, Information Technology, General Management, Economics)
- The identified companies/ organisation should be in the Commerce, Accountancy and Economic sector.
- The project topic may be undertaken in any area of Major/Minor Elective Courses.
- The learner shall decide the topic and title which should be specific, clear and with definite scope in consultation with the faculty-guide concerned.
- It should be noted that the company / organization must not be a family business.
- The college reserves the right to approve or disapprove the topic/ company / organization. Hence, students must take prior approval of the same from the College before proceeding on field project.
- The learners are required to provide details of the topic and organization (Name of the organization, address, contact person, contact details) in which they are willing to do a field project.
- The students will conduct the project under the supervision of a mentor.
- After completion, the students will prepare and submit the field project report to the college.
- Duration of the Field Project – The total duration of the Field Project will be of 30 hours since it is of 2 Credits.

Particulars	No of Hours
Interactive Sessions with Faculty/Guide	5 hours
Sessions from Industry Experts	4 hours
Field Visits (minimum one visit)	6 hours
Field Project Report	15 hours
Total	30 Hours



Evaluation Parameters

The field project report will be evaluated as per the rubric parameters mentioned below:

Parameters	Maximum Marks
On the basis of Field Project Report	30
Submission of the project report as per prescribed format (10 marks)	
Innovation and applicability of project work (10 marks)	
Quality of the project work (10 marks)	
On the basis of Viva-voce of the project report	20
The student is well aware with the latest trends of development in the area of project work (10 marks)	
The student is confident and able to answer the queries / questions raised with proper justifications (10 marks)	
Total Marks	50

The Field project will be evaluated equally by an internal as well as an external Faculty.

- In case of failing in the field project work, the same project can be revised for ATKT examination.
- Absence of student for viva voce: If any student fails to appear for the viva voce on the date and time fixed by the department such student shall appear for the viva voce on the date and time fixed by the Department, such student shall appear for the viva voce only along with students of the next batch.



FIELD PROJECT FORMAT

1st page (Main Page)

Title of the problem of the Field Project

A Field Project Submitted to
University of Mumbai for partial completion of the degree of Bachelor in Commerce (Financial
Markets)
Under the Faculty of Accountancy

By

Name of the Learner

Under the Guidance of

Name of the Guiding Teacher

Name and address of the College

Month and Year

2nd Page

This page to be repeated on 2nd page (i.e. inside after main page)



On separate page
Index

Chapter No. 1
(sub point 1.1, 1.1.1, And so on)
Title of the Chapter Page No.

Chapter No. 2 Title of the Chapter

Chapter No. 3 Title of the Chapter

Chapter No. 4 Title of the Chapter

Chapter No. 5 Title of the Chapter

List of tables, if any, with page numbers. List of Graphs, if any, with page numbers. List of Appendix, if any, with page numbers. Abbreviations used:



Structure to be followed to maintain the uniformity in formulation and presentation of Field Project Work (Model Structure of the Field Project Work)

Chapter No. 1: Introduction

In this chapter Selection and relevance of the problem, historical background of the problem, brief profile of the study area, definition/s of related aspects, Socio-economic aspects, characteristics, different concepts pertaining to the problem etc can be incorporated by the learner.

Chapter No. 2: Research Methodology

This chapter will include Objectives, Scope of the study, limitations of the study, significance of the study, Selection of the problem, Sample size, Data collection, Tabulation of data, Techniques and tools to be used, etc can be incorporated by the learner.

Chapter No. 3: Literature Review

This chapter will provide information about studies done on the respective issue. This would specify how the study undertaken is relevant and contribute for value addition in information/knowledge/ application of study area which ultimately helps the learner to undertake further study on the same issue.

Chapter No. 4: Data Analysis, Interpretation and Presentation

This chapter is the core part of the study. The analysis pertaining to collected data will be done by the learner. The application of selected tools or techniques will be used to arrive at findings. In this, table of information, presentation of graphs etc. can be provided with interpretation by the learner.

Chapter No. 5: Conclusions and Suggestions

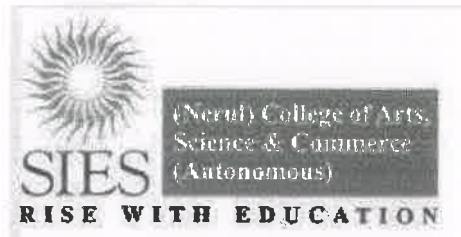
In this chapter of field project work, findings of work will be covered and suggestions will be enlisted to validate the objectives.

Note: If required more chapters of data analysis can be added.

Bibliography

Appendix





On separate page

Name and address of the college

Certificate

This is to certify that Ms/Mr _____ has worked and duly completed her/his Field Project Work for the degree of Bachelor in Financial Markets under the Faculty of Accountancy in the subject of _____ and her/his field project is entitled, “_____” under my supervision.

I further certify that the entire work has been done by the learner under my guidance and that no part of it has been submitted previously for any Degree or Diploma of any University.

It is her/ his own work and facts reported by her/his personal findings and investigations.

Name and Signature of the learner



Name and Signature of
Guiding Faculty

Date of submission:

Name and Signature of External Examiner

**On separate page
Declaration by learner**



On separate page

Acknowledgment

(Model structure of the acknowledgement)

~~To list who all have helped me is difficult because they are so numerous and the depth is so enormous.~~

I would like to acknowledge the following as being idealistic channels and fresh dimensions in the completion of this project.

I take this opportunity to thank the **University of Mumbai and College** for giving me chance to do this project.

I would like to thank my **Principal**, _____ for providing the necessary facilities required for completion of this project.

I take this opportunity to thank our **Coordinator** _____, for her moral support and guidance.

I would also like to express my sincere gratitude towards my project guide _____ whose guidance and care made the project successful.

I would like to thank my **College Library**, for having provided various reference books and magazines related to my project.

I would like to express my gratitude to Mr. _____ Designation, Company's Name for his immense support and sharing relevant information and expertise for successful completion of my field project.

Lastly, I would like to thank each and every person who directly or indirectly helped me in the completion of the project especially **my Parents and Peers** who supported me throughout my project.



B.COM. (FINANCIAL MARKETS) PROGRAMME
SCHEME OF MODULES

Semester VI			
Sr. No.	Course Code	Course Name	Credits
<i>1</i>	<i>Major: Department Specific Course (DSC)</i>		
1	U25FM6MJ01	Risk Management	4
2	U25FM6MJ02	Wealth Management	4
3	U25FM6MJ03	Mutual Fund Management	2
<i>2</i>	<i>Major: Elective</i>		
4		* List of Major Elective Courses (MJE) for Semester VI (Any One)	4
<i>3</i>	<i>Minor: Department Specific Course (DSC)</i>		
5	U25FM6MI01	Business Ethics and Corporate Governance	2
6	U25FM6MI02	Financial Analytics	2
<i>4</i>	<i>On the Job Training (OJT)/Field Projects (FP)/Research Methodology (RP)/Community Engagement and Service (CEP)/Co-Curricular Courses (CC)</i>		
7	U25FM6OJT01	On the Job Training (OJT)	4
Total Credits			22

*** List of Major Elective Courses (MJE) for Semester VI (Any One)**

Sr. No.	Course Code	Course Name	Credits
1	U25FM6MJE01	Indirect Tax - GST	4
2	U25FM6MJE02	Merchant Banking	4
3	U25BI6MJE01	Financial Modelling [Offered by B.Com. (Banking & Insurance)]	4



BOS	Accountancy
Class	T.Y.B.Com. (Financial Markets)
Semester	VI
Course Name	Risk Management
Course Code	U25FM6MJ01
Course Type	Major Department Specific Course (DSC)
Course Credit	04

1 credit - 15 lectures

1 lecture is 60 minutes

Course Objectives:

1. To understand the concept of risk and its types.
2. To describe the evaluation management and its measurement.
3. To summarize ways of financial risk management
4. To evaluate risk assessment tools, techniques and regulations.

Sr. No	Syllabus	No. of lectures
1	<p>Module 1 – Introduction to Risk Management</p> <ul style="list-style-type: none"> • The Concept of Risk, Identification of Risk faced by Organization • Risk and Uncertainty, Strategic and Operational Risks • Dynamic Nature of Risks • Business Risk, Financial Risk faced by Organization • Objectives of Risks Management, Process of Risk Management 	15
2	<p>Module 2 – Evaluation of Risk</p> <ul style="list-style-type: none"> • Evaluation of Organization's ability to bear them • Risk Measurement • Sources and Impact of Common Business Risk Market, Credit , Liquidity, Technological, Legal Environmental, Reputation, Country Risk • Identify and assess the impact upon the stakeholder involved in Business Risk • Nature and Importance of Financial Risk, Evaluation of Financial Risk, Evaluation of Alternative Risk Management Tools • Role of Risk Manager and Risk Committee in identifying and managing risk 	15
3	<p>Module 3 – Financial Risk Management</p> <ul style="list-style-type: none"> • Role of financial institutions in risk management • Stress testing and scenario analysis in risk assessment • Importance of diversification in financial risk reduction • Regulatory frameworks for financial risk management (Basel III, SEBI, RBI guidelines) • Case study on financial risk management. 	15



4	Module 4 – Risk Assessment Tools, Techniques and Regulations <ul style="list-style-type: none"> • Introduction to Risk Assessment frameworks • Quantitative vs. Qualitative risk assessment techniques • Risk assessment tools: Monte Carlo simulation, Decision trees, Sensitivity analysis • Scenario planning and predictive risk analytics • Role of artificial intelligence in risk management • Regulatory compliance and legal aspects of risk management • Case study on regulatory compliance and corporate risk governance 	15
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Course Outcome: After studying the course, student will be able to:

1. define various concepts of risk and uncertainty along with objectives of risks management and its process.
2. interpret the evaluation of risk, its measurement and its sources.
3. evaluate Role of financial institutions in risk management, importance of diversification in financial risk reduction and regulatory frameworks.
4. analyze and identify risk assessment frameworks, techniques and role of AI in risk management

Reference Books:

- The Essentials of Risk Management: Michel Crouhy, Dan Galai,, Robert Mark :MC Graw Hill Educatio:
- A Practical Guide to Risk Management : Thomas S Koleman: Research Foundation of CFA Ins itute
- Risk Management – Concepts and Guidance: Carl Pritchard: CRC Press
- Risk Management: Prof C K Roy: Vayu Education



SCHEME OF EXAMINATION

The scheme of examination shall be divided into two parts:

- Internal assessment 40% i.e. 40 marks
- Semester end examination 60% i.e. 60 marks

(A) Internal Assessment 40 marks

Description	Marks
Internal tests of 20 marks each - Online Multiple Choice Questions/True or False. – 20 marks OR Offline - Q1. Multiple choice Questions/True or False – 10 marks - Q2. Attempt 2 question out of 3 questions – 10 marks	20
One Project and Viva voce/Presentation/Case studies/Assignments	15
Attendance and Class Behaviour	5
Total	40

(B) Semester end examination 60 marks

PAPER PATTERN

Duration: 2 hours	
Total Marks: 60	
Q1. 15 Marks OR 15 marks	15
Q2. 15 Marks OR 15 marks	15
Q3. 15 Marks OR 15 marks	15
Q4. 15 Marks OR 15 marks Three short notes of 5 Marks each or Case study	15
Total	60
Note: 1. Q1, 2 and 3 - 15 Marks question may be divided into sub questions if required. 2. Q4 May include theory (short notes) /Case Study in one of the options.	

Passing criteria: Minimum 40% in Internal (16 out of 40) and 40% (24 out of 60) in semester end examination.



BOS	Accountancy
Class	B.Com. (Financial Markets)
Semester	VI
Course Name	Wealth Management
Course Code	U25FM6MJ02
Course Type	Major Department Specific Course (DSC)
Course Credit	04

1 credit - 15 lectures

1 lecture is 60 minutes

Course Objectives:

1. To understand the fundamentals of wealth management and its strategies and key components for financial growth.
2. To analyze philosophy of wealth creation & management to optimize asset allocation, risk management, and financial decision-making.
3. To apply financial Planning, Financial Mathematics, cash flow analysis and Calculation of returns.
4. To describe effective retirement and estate plans to ensure financial security and efficient wealth transfer.

Sr. No	Syllabus	No. of lectures
1	<p>Module 1 – Introduction to Wealth Management and Products</p> <ul style="list-style-type: none"> • Define Wealth, Meaning & Scope of Wealth Management, Wealth cycle, Wealth Management Process, Introduction to Financial literacy. • Introduction, Nature and Scope of Saving Investments Objectives of Saving and Investment (Tax Saving, Income and Growth of Capital), Investment Alternatives, Investment Attributes, Approaches to investment decision making, Qualities for successful investment, Alternatives to Investment decision – Direct & Indirect. 	15
2	<p>Module 2 – Wealth Management Strategy</p> <ul style="list-style-type: none"> • Meaning & scope of wealth management strategy, the unwealthy habits, Philosophy of wealth creation & management, Need for planning. • Types of investment risk, Risk profiling of investors & asset allocation (life cycle model), Asset allocation strategies (strategic, tactical, life- cycle based), Goal-based financial planning, Active & passive investment strategies. 	15
3	<p>Module 3 – Financial Planning and Financial Mathematics</p> <ul style="list-style-type: none"> • Introduction, Role of Financial planner, Process of financial planning, Cash flow analysis, Financial Planning in India, Financial Blood Test Report • Calculation of returns (CAGR, Post-tax returns, etc.), Calculation of Total assets, Net worth calculations. 	15



4	<p>Module 4 – Retirement & Estate Planning</p> <ul style="list-style-type: none"> • Meaning & Objectives of Retirement planning, Gifts & Trust, Charity planning, Avoidable mistakes in retirement planning, Power of attorney for asset management. • Meaning & scope, Need for Estate planning, Tools for Estate planning, Considerations for personal property and collectibles. • Meaning, Basic principles of insurance, Functions and Characteristics of Insurance , Rights and responsibilities of Insurer and Insured, Types of life insurance policies, Types of general insurance policies, Health insurance – med claim – Calculation of Human Life Value / Belth Method CPT. 	15
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Course Outcome: After studying the course, student will be able to:

1. understand the fundamentals of wealth management, saving investments, investment alternatives and its strategies and key components for financial growth.
2. analyze types of investment risk, Risk profiling of investors & asset allocation & management to optimize asset allocation, risk management, and financial decision-making.
3. apply financial Planning, Financial Mathematics, cash flow analysis and Calculation of returns and Net worth calculations.
4. describe effective retirement and estate plans to ensure financial security and efficient wealth transfer.

Reference Books:

- "Wealth Management: The New Business Model" – G. Victor Hallman & Jerry Rosenbloom
- "Private Wealth Management: The Complete Reference for the Personal Financial Planner" – G. Victor Hallman & Jerry Rosenbloom
- "The Wealth Management Index" – Ross Levin
- "Wealth Management Unwrapped" – Charlotte B. Beyer



SCHEME OF EXAMINATION

The scheme of examination shall be divided into two parts:

- Internal assessment 40% i.e. 40 marks
- Semester end examination 60% i.e. 60 marks

(A) Internal Assessment 40 marks

Description	Marks
Internal tests of 20 marks each - Online Multiple Choice Questions/True or False. – 20 marks OR Offline - Q1. Multiple choice Questions/True or False – 10 marks - Q2. Attempt 2 question out of 3 questions – 10 marks	20
One Project and Viva voce/Presentation/Case studies/Assignments	15
Attendance and Class Behaviour	5
Total	40

(B) Semester end examination 60 marks

PAPER PATTERN

Duration: 2 hours	
Total Marks: 60	
Q1. 15 Marks OR 15 marks	15
Q2. 15 Marks OR 15 marks	15
Q3. 15 Marks OR 15 marks	15
Q4. 15 Marks OR 15 marks Three short notes of 5 Marks each or Case study	15
Total	60
Note: 1. Q1, 2 and 3 - 15 Marks question may be divided into sub questions if required. 2. Q4 May include theory (short notes) /Case Study in one of the options.	

Passing criteria: Minimum 40% in Internal (16 out of 40) and 40% (24 out of 60) in semester end examination.



BOS	Accountancy
Class	T.Y.B.Com. (Financial Markets)
Semester	VI
Course Name	Mutual Fund Management
Course Code	U25FM6MJ03
Course Type	Major Department Specific Course (DSC)
Course Credit	02

1 credit - 15 lectures

1 lecture is 60 minutes

Course Objectives:

1. To understand the concept of mutual fund and its structure in India.
2. To analyze returns and performance measurement, accounting and taxation of mutual funds

Sr. No	Syllabus	No. of lectures
1	<p>Module 1 – Mutual Fund Structure and Products</p> <ul style="list-style-type: none"> • Introduction: Meaning of Mutual Fund, Structure in India, Sponsors, Trust, Role of AMC, NFOs , Registrars, Agents. • Types of Mutual Fund schemes. • Objectives of AMFI, Advantage of Mutual Funds, Systematic Investment Plan (SIP), Systematic Transfer Plan (STP), Systematic Withdrawal Plan (SWP) • Mutual Fund Products and Features: Equity funds: Definition, Features of Equity Funds, Index Fund, Large Cap Funds, Mid Cap Funds, Sectoral Funds, Types of Equity Schemes, Arbitrage funds, Multi-cap Funds, Quant funds, P / E Ratio funds, International Equities Fund, Growth Schemes. • Gold Exchange Trade Funds (ETFs): Introduction Features, Working of ETFs, Market Making with ETFs, Creation Units, Portfolio Deposit and Cash Component. • Debt Fund: Features, Interest Rate Risk, Credit Risk, Pricing of Debt Instrument Schemes, Fixed Maturity Plans, Capital Protection Funds, Gilt Funds, Balanced Funds, MIPs ,Child Benefit Plans. • Liquid funds: Features, Floating rate scheme, Portfolio of liquids funds. 	15
2	<p>Module 2 – Investment and Performance Measurement, Accounting and Taxation of Mutual Funds</p> <ul style="list-style-type: none"> • Fund Performance, Measuring Return, Measuring Risk, Risk adjusted return, • Comparing Fund Performance with a reference, various standardized performance systems, Limitations of Performance measurement and evaluation. • Accounting: Net Asset Value (NAV)-Meaning-Computation- Factors 	15



	<p>affecting NAV-Pricing of Units- Fees and Expenses- Investment Management and Advisory Fees –Initial Expenses- Recurring Expenses- Total expenses - Accounting policies</p> <ul style="list-style-type: none"> • Valuation:- Valuation of thinly traded securities- Valuation of Non trade securities-Valuation and disclosure of illiquid securities. • Taxation: Dividends- Capital Gains- Tax Rebate- Restrictions on Dividends Stripping. 	
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Course Outcome: After studying the course, student will be able to:

1. describe mutual fund structure in India, role of AMC and objectives of AMFI .
2. evaluate fund performance, its measurement, accounting, valuation and taxation.

Reference Books:

1. Indian Mutual Funds Handbook : Sundar Sankaran: Vision Books
2. Morningstar Guide to Mutual Funds: 5-Star Strategies for Success : Christine Benz.: Wiley.
3. Mutual Funds in India: Amitabh Gupta: Anmol Publications.
4. Bogle on Mutual Funds: New Perspectives for The Intelligent Investor: Jogn C Bogle: Wiley.



SCHEME OF EXAMINATION

The scheme of examination shall be divided into two parts:

- Internal assessment 40% i.e. 20 marks
- Semester end examination 60% i.e. 30 marks

(A) Internal Assessment 20 marks

Description	Marks
Internal tests of 20 marks each	
- Online Multiple Choice Questions/True or False. – 10 marks	10
OR	
Offline	
- Q1. Multiple choice Questions/True or False – 05 marks	
- Q2. Attempt 2 question out of 3 questions – 05 marks	
One Project and Viva voce/Presentation/Case studies/Assignments	5
Attendance and Class Behavior	5
Total	20

(B) Semester end examination 30 marks

PAPER PATTERN

Duration: 1 hour	
Total Marks: 30	
Q1. 10 marks OR 10 marks	10
Q2. 10 marks OR 10 marks	10
Q3. 10 marks OR 10 marks	10
Total	30
Note: Q1, 2 and 3 - 10 Marks questions may be divided into sub questions if required.	

Passing criteria: Minimum 40% in Internal (8 out of 20) and 40% (12 out of 30) in semester end examination.



BOS	Accountancy
Class	T.Y.B.Com. (Financial Markets)
Semester	VI
Course Name	Indirect Tax – GST
Course Code	U25FM6MJE01
Course Type	Major Elective (MJE)
Course Credit	04

1 credit - 15 lectures

1 lecture is 60 minutes

Course Objectives:

1. To describe the basics of Indirect Taxes – GST.
2. To understand the concept of supply: taxable event, place of supply, time of supply, value of supply.
3. To learn registration and computation of GST.
4. To acquaint the students with filing of returns in GST.

Sr. No	Syllabus	No. of lectures
01	<p>Module-1 Introduction to Indirect Taxation and GST</p> <p>Basics for Taxation - Direct Taxes and Indirect Taxes – Difference, Advantages and Disadvantages, Sources and Authority of Taxes in India (Art 246 of the Indian Constitution)</p> <p>Introduction to GST – Genesis of GST in India, Power to tax GST (Constitutional Provisions), Extent and Commencement, Meaning and Definition of GST, Benefits of GST, Conceptual Framework – CGST, IGST, SGST, UTGST, Imports of goods or services or both, Export of goods or services or both, Taxes subsumed and not subsumed under GST.</p> <p>Definitions – Goods (2(52) of CGST Act), Services (2(102) of CGST Act), Money (2(75) of CGST Act), Securities (2(101) of SCRA Act,1956), India(2(56) of CGST Act), Persons (2(84) of CGST Act),Taxable Person (2(107) of CGST Act), Business (2(17) of CGST Act), Consideration(2(31) of CGST Act), E-Commerce Operator (2(45) of CGST Act, Supplier (2(105) of CGST Act, Recipient(2(93) of CGST Act)</p> <p>Levy and Collection of GST – Levy and Collection of CGST, IGST, SGST, UTGST (Sec 9 of CGST Act), Composition Scheme under GST (Sec 10 of CGST Act), Power to Grant Exemption (Sec 11 of CGST Act) GST Rate Schedule for Goods and Services.</p>	15
02	<p>Module-2 Concept of Supply</p> <p>Taxable Event Supply – Meaning and Scope of Supply (Section 7 Subsection 1, 2 and 3 of Act) Schedule I, Schedule II, Schedule III, Composite and Mixed Supplies (Sec 8 of CGST Act)</p> <p>Place of Supply – Location of Supplier of Goods and Services,</p>	15



	<p>Place of Supply of Goods (Sec 10, 11.12 and 13 of IGST Act), Special Provision for Payment of Tax by a Supplier of Online Information Database Access Retrieval.</p> <p>Time of Supply – Time of Supply (Sec 31 of CGST Act), Issue of Invoice by the Supplier (Sec 31 (1) and Sec 31(2) of CGST Act), Continuous Supply of Goods and Services, Goods Sent on Approval (Sec 31(7) of CGST Act)</p> <p>Value of Supply – Determination of Value of Supply (Sec 15 of CGST Act and CGST Rules 2017), Input Tax Credit (Sec 2(62) of CGST Act) Capital Goods (Sec 2(19) of CGST Act), Input Sec 2(59) of CGST Act), Input Service (Sec 2(60) of CGST Act). Eligibility and Conditions for taking Input Tax Credit (Sec 16 of CGST Act)</p>	
03	<p>Module-3 Registration and Computation of GST</p> <p>Registration – Persons liable for Registration (Sec 22 of the Act), Persons not liable for Registration, Procedure for Registration (Sec 25 of the Act), Deemed Registration (Sec 26 of the Act), Special Provisions (Sec 27 of the Act), Amendment, Cancellation and Revocation of Registration (Sec 28, Sec29 and Sec 31 of the Act)</p> <p>Computation of GST – Computation of GST under Inter State & Intra State Supplies</p> <p>Payment of Tax – Payment of Tax, Interest and other Amounts (Sec 49 of the Act), Interest on delayed Payment (Sec 50 of the Act), TDS (Sec 51 of the Act), TCS (Sec 52 of the Act)</p>	15
04	<p>Module-4 Filing of Returns</p> <p>Documentation – Tax Invoices (Sec 31 and 32 of the Act), Credit and Debit notes (Sec 34 of the Act), Electronic Way Bill</p> <p>Returns – Types of Returns and Provisions relating to filing of Returns (Sec 37 to Sec 48 of the Act)</p>	15

Course Outcomes: After studying the course, student will be able to:

1. describe the basics for Indirect Tax _ GST, sources and authority of taxes in India.
2. explain the concept of supply: Scope of Supply, Composite and Mixed Supplies.
3. identify the liability for registration – persons liable for registration, persons not liable for registration, procedure for registration, deemed registration, amendment, cancellation and revocation of registration and Computation of GST liability.
4. explain the GST documentation- Tax Invoice, credit and debit note, electronic way bill, GST Returns – types of returns and provisions relating to filing of Returns.

Reference Books:

- . Step by Step Guide to GST – Compliances – Avinash Poddar
- . A Complete Guide to Goods and Services Tax – Sanjiv Agarwal
- . Hand Book on GST- Pratik Shah
- . GST Bare Act 2017
- . GST Law & Practice - V.S Datey (6th Edition)
- . GST Laws – National Academy of Customs, Indirect Tax



SCHEME OF EXAMINATION

The scheme of examination shall be divided into two parts:

- Internal assessment 40% i.e. 40 marks
- Semester end examination 60% i.e. 60 marks

(A) Internal Assessment 40 marks

Description	Marks
Internal Tests of 20 Marks each - Online Multiple-choice Questions/True or False - 20 Marks OR - Offline - Q.1 Multiple choice Questions/True or False - 10 Marks - Q.2. Attempt 2 questions out of 3 questions (5 marks each) - 10 Marks	20
One Project and Viva voce/Presentation/Case studies/Assignments	15
Attendance and Class Behavior	05
Total	40

(B) Semester end examination 60 marks

PAPER PATTERN

Duration: 2 hours	
Total Marks: 60	
Q.1 15 Marks OR 15 marks	15
Q.2 15 Marks OR 15 marks	15
Q.3 15 Marks OR 15 marks	15
Q.4 15 Marks OR 15 marks Three short notes of 5 Marks each or Case study	15
Total	60
Note: 1. Q.1, 2 and 3 - 15 Marks questions may be divided into sub questions if required. 2. Q.4 May include theory (short notes) /Case Study in one of the options.	

Passing criteria: Minimum 40% in Internal (16 out of 40) and 40% (24 out of 60) in semester end examination.



BOS	Accountancy
Class	T.Y.B.Com. (Financial Markets)
Semester	VI
Course Name	Merchant Banking
Course Code	U25FM6MJE02
Course Type	Major Elective (MJE)
Course Credit	04

1 credit - 15 lectures

1 lecture is 60 minutes

Course Objectives:

1. To understand concepts of merchant banking and financial services.
2. To familiarize students with the concepts of raising capital from international markets and depositories.
3. To describe the process of issue management and merchant banker's role in it.
4. To explain issue management & importance of due diligence.

Sr. No	Syllabus	No. of lectures
1	<p>Module 1 – Merchant Banking</p> <ul style="list-style-type: none"> • Merchant Banking and Financial Services: Introduction, Concept of merchant banking. • Financial system in India and Development of merchant banks and regulations in India. • Underwriting and Brokerage - Different roles played by underwriters and brokers in issue management and their responsibilities 	15
2	<p>Module 2 – Capital Funds</p> <ul style="list-style-type: none"> • 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. 	15
3	<p>Module 3 – Issue Management Process</p> <ul style="list-style-type: none"> • The process of issue management and merchant banker's role in it, The appointment of SEBI registered intermediaries and other intermediaries. • The process of filing of offer document by the issuer with SEBI and the ROC with the help of the lead Merchant Banker, List of the documents to be submitted before opening of the issue • Copy of agreement between the Issuer and Merchant Banker, Certificate of 	15



	<p>compliance stating compliance of conditions, Due diligence certificate while registering DRHP/ Red Herring Prospectus/ prospectus with the ROC/ final post issue report.</p> <ul style="list-style-type: none"> The type of In-Principle Approval from recognized stock exchanges for initial public issues as well as in the case for rights and further public offerings, the allotment, refund and payment of interest. 	
4	<p>Module 4 – Issue Management & Due Diligence</p> <ul style="list-style-type: none"> The general obligations of Intermediaries with respect to Public Issues and Rights Issue, The pricing in preferential issue. The pricing and restrictions on allotment of Qualified Institutional Placement. The pre-issue advertisement for rights issue, Utilization of funds raised through rights issue and the manner of disclosures in the offer document. The procedure for Institutional Placement Programme w.r.t Offer Document Pricing and Allocation/Allotment Restrictions, Minimum number of allottees, Restrictions on size of the offer, Period of subscription and display of demand. Transferability of eligible securities, The procedure for issue of Indian Depository Receipts (IDRs) w.r.t Eligibility Conditions for issue of IDR, Minimum Subscription Filing of Draft Prospectus, Due diligence Certificate, Payment of Fees and Issue of advertisements for IDR, Post Issue Reports, Undersubscribed Issue Finalisation of basis of allotment. The importance of due diligence, The role of external parties in the due diligence process and List of due diligence documents. 	15

Course Outcome: After studying the course, student will be able to:

1. understand concepts and regulations of financial system and development of merchant banks in India.
2. describe the categories and operations of commercial banking.
3. explain the procedure of issue management, merchant banker's role and the process of filing of offer document with SEBI and ROC .
4. evaluate issue management, general obligations & importance of due diligence .

Reference Books:

- "Merchant Banking and Financial Services" – Dr. S. Gurusamy
- "Financial Services and Systems" – H.R. Machiraju
- "Merchant Banking and Financial Services" – Madhu Vij & Swati Dhawan
- "Indian Financial System" – Bharati V. Pathak



SCHEME OF EXAMINATION

The scheme of examination shall be divided into two parts:

- Internal assessment 40% i.e. 40 marks
- Semester end examination 60% i.e. 60 marks

(A) Internal Assessment 40 marks

Description	Marks
Internal tests of 20 marks each - Online Multiple Choice Questions/True or False. – 20 marks OR Offline - Q1. Multiple choice Questions/True or False – 10 marks - Q2. Attempt 2 question out of 3 questions – 10 marks	20
One Project and Viva voce/Presentation/Case studies/Assignments	15
Attendance and Class Behaviour	5
Total	40

(B) Semester end examination 60 marks

PAPER PATTERN

Duration: 2 hours	
Total Marks: 60	
Q1. 15 Marks OR 15 marks	15
Q2. 15 Marks OR 15 marks	15
Q3. 15 Marks OR 15 marks	15
Q4. 15 Marks OR 15 marks Three short notes of 5 Marks each or Case study	15
Total	60
Note: 1. Q1, 2 and 3 - 15 Marks question may be divided into sub questions if required. 2. Q4 May include theory (short notes) /Case Study in one of the options.	

Passing criteria: Minimum 40% in Internal (16 out of 40) and 40% (24 out of 60) in semester end examination.



BOS	Commerce
Class	T.Y.B.Com. (Financial Markets)
Semester	VI
Course Name	Business Ethics and Corporate Governance
Course Code	U25FM6MI01
Course Type	Minor - Department Specific course (DSC)
Course Credit	02

1 credit - 15 lectures

1 lecture is 60 minutes

Course Objectives:

1. To understand the concepts Business Ethics and Corporate Governance.
2. To describe the framework of corporate governance in professional life and imbibe the ethical standards and to adhere them.

Sr. No	Syllabus	No. of lectures
1	<p>Module 1 – Business Ethics and Corporate Governance – Conceptual Framework</p> <ul style="list-style-type: none"> • Introduction to business ethics, Role of Board of directors, Organisation climate and structure. • Addressing Ethical Dilemmas. • Code of ethics, Ethics Committee, Ethics Training, Integrity Pact • Introduction, Need, Scope and Evolution of Corporate Governance • Developments in India - Elements of Good Corporate Governance and E-Governance 	15
2	<p>Module 2 – Legislative Framework of Corporate Governance in India and Shareholders Rights</p> <ul style="list-style-type: none"> • Rights of Shareholders- Challenges of exercising Shareholder's Rights. • Corporate Governance and Related Party Transactions. • Role of Investor Association in Securing Shareholders Rights. • Role of Institutional Investors in Corporate Governance • National Foundation of Corporate Governance. • Global Corporate Governance forum. • Listing agreements. • SEBI Guidelines. • Companies Act 	15



Course Outcome: After studying the course, student will be able to:

1. explain the meaning, nature and importance of business ethics and apply ethical theories in business.
2. examine the conceptual framework of corporate governance, related party transactions, Shareholders Rights and analyze the business ethical standards with respect to SEBI Guidelines and Companies Act.

Reference Books:

1. Business Ethics- Concepts and Cases – Manuel G. Velasquez
2. Corporate Governance, Principles, policies and Practices – A.C. Fernando, Pearson Education
3. Corporate Governance – IICA, Taxmann
4. The Art of Corporate Governance – Dr. Joffy George



SCHEME OF EXAMINATION

The scheme of examination shall be divided into two parts:

- Internal assessment 40% i.e. 20 marks
- Semester end examination 60% i.e. 30 marks

(A) Internal Assessment 20 marks

Description	Marks
Internal tests of 10 marks each - Online Multiple Choice Questions/True or False.	10
OR - Offline - Q1. Multiple choice Questions/True or False - Q2. Attempt 1 question out of 3 questions	5 5
One Project and Viva voce/Presentation/Case studies/Assignments	5
Attendance and Class Behavior	5
Total	20

(B) Semester end examination 30 marks

PAPER PATTERN

Duration: 1 hour	
Total Marks: 30	
Q1. 10 marks OR 10 marks	10
Q2. 10 marks OR 10 marks	10
Q3. 10 marks OR 10 marks	10
Total	30
Note: Q1, 2 and 3 - 10 Marks questions may be divided into sub questions if required.	

Passing criteria: Minimum 40% in Internal (8 out of 20) and 40% (12 out of 30) in semester end examination.



BOS	Accountancy
Class	T.Y.B.Com. (Financial Markets)
Semester	VI
Course Name	Financial Analytics
Course Code	U25FM6MI02
Course Type	Minor - Department Specific course (DSC)
Course Credit	02

1 credit - 15 lectures

1 lecture is 60 minutes

Course Objectives:

1. To understand the basics of python programming and machine learning for finance.
2. To demonstrate the application of data analytics in finance domain.
3. To visualise financial data with Python to explain algorithmic trading and AI based predictions.

Sr. No	Syllabus	No. of lectures
01	<p>Module-1 Python for Finance Introduction to Python programming for finance applications. Data manipulations and analysis using Pandas and NumPy. Financial modelling: Time value of money, loan amortization, and portfolio optimization. Python libraries for finance: Matplotlib, Seaborn for data visualization. Building simple financial models with Python.</p>	10
02	<p>Module-2 Machine Learning for Finance Introduction to Machine Learning algorithms used in finance. Supervised vs unsupervised learning: Applications in stock market prediction and risk management. Financial forecasting using regression models. Classification techniques for credit scoring and fraud detection. Case studies on implementing Machine Learning in investment strategies.</p>	10
03	<p>Module-3 Data visualization and AI in Finance Importance of data visualization in financial decision-making Visualizing financial data with Python: interactive plots, dashboards, and time-series analysis. Introduction to AI in Finance: Applications in portfolio management, algorithmic trading, and robo-advisors. AI-based assessment and financial predictions using machine learning models. Case studies of AI-driven financial tools and platforms.</p>	10



Course Outcomes: After studying the course, student will be able to:

1. understand the python programming for finance applications and build simple financial models with Python.
2. analyse financial data and make predictions using machine learning models, make stock market prediction and risk management and classify techniques for credit scoring and fraud detection.
3. visualise financial data with Python to explain algorithmic trading, and robo-advisors and undertake AI-based assessment and financial predictions using machine learning models.

Reference Books:

- Python for Finance: Mastering Data-Driven Finance, authored by Yves J. Hilpisch
- Machine Learning for Asset Managers authored by Marcos M. Lopez de Prado, Cornell University, New York
- Data Science for Finance: Data Analysis, Visualization, and Machine Learning by Igor Haluschak
- Artificial Intelligence in Finance authored by Yves Hilpisch



SCHEME OF EXAMINATION

The scheme of examination shall be divided into two parts:

- Internal assessment 40% i.e. 20 marks
- Semester end examination 60% i.e. 30 marks

(A) Internal Assessment 20 marks

Description	Marks
Internal Tests of 10 Marks each	10
- Online Multiple-choice Questions/True or False - 10 Marks	
OR	
- Offline	
Q.1 Multiple choice Questions/True or False - 5 Marks	
Q.2. Attempt 1 question out of 2 questions (5 marks each) - 5 Marks	
One Project and Viva voce/Presentation/Case studies/Assignments	05
Attendance and Class Behavior	05
Total	20

(B) Semester end examination 30 marks

PAPER PATTERN

Duration: 1 hour	
Total Marks: 30	
Q1. 10 marks OR 10 marks	10
Q2. 10 marks OR 10 marks	10
Q3. 10 marks OR 10 marks	10
Total	30
Note: Q1, 2 and 3 - 10 Marks questions may be divided into sub questions if required.	

Passing criteria: Minimum 40% in Internal (8 out of 20) and 40% (12 out of 30) in semester end examination.

