



**Department of Management
PSGR Krishnammal College for Women
Peelamedu, Coimbatore - 641 004**

**CURRICULUM AND SYLLABUS
POST GRADUATE DIPLOMA IN MANAGEMENT OF FINANCIAL SERVICES
[2017 - 2018]**

May 2017

C O N T E N T S

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POST GRADUATE DIPLOMA IN MANAGEMENT OF FINANCIAL SERVICES

PROGRAMME AND CURRICULUM OBJECTIVES

PROGRAMME OBJECTIVES

In line with the vision and mission of the institution, the Post Graduate Diploma in Management of Financial Services (PGDMFS) programme is designed to provide the students with knowledge, skills and attitude for a successful career in management of financial services.

PROGRAMME STRUCTURE

The design of the curriculum of PGDMFS programme is based on the principles of Knowing (Knowledge), Doing (Skills), and Being (Attitude). In this programme the 'Knowing' part comprises a total of eight courses. Three basic courses - Business 101, Management 101, and Law, Governance and Ethics; Five specialisation courses - Indian Financial System, Management of Banking Services, Management of Risk and Insurance, Investment Banking and Technology in Financial Services. The 'Doing' part comprises a Field study and a Project work. The 'Being' part comprises Communication, Collaboration, and Consciousness. The total number of credits is 43.

CURRICULUM OBJECTIVES

The curriculum is designed to:

1. Familiarise the students to basics of business, management, the legal environment, and issues relating to governance and ethics
2. Enrich their knowledge on key areas relating to management of financial products and services
3. Enable the students to acquire skills necessary to successfully carve a career in financial services management
4. Help students to gain life skills - Communication, Collaboration, and Consciousness - through intensive modules of experiential learning

POST GRADUATE DIPLOMA IN MANAGEMENT OF FINANCIAL SERVICES

CURRICULUM 2017 -2018 - AN OVERVIEW

The Programme

1. The full-time, one-year PGDMFS programme offered by Department of Management, (GRG School of Management Studies), PSGR Krishnammal College for Women comprises two semesters, each semester being of approximately 90 working days.
2. The programme is of 43 Credits equivalent of courses. One credit is equivalent to 15 classroom sessions of 60 minutes each. Students are expected to spend an equal time outside the classroom for preparation, assignments, library reading etc.
3. The programme includes courses on basics of business, key functions of management in organisations, legal aspects of business, and various services under financial services sector. Students are also required to carry out a field study and undertake a project work. In addition, they are required to successfully complete a three-module under 'Life Skills Development Programme'.

Structure of the PGDMFS Curriculum

The PGDMFS curriculum is structured as below:

1. Three basic courses (10 credits) - Business 101, Management 101, Law, Governance & Business Ethics
2. Five courses from Financial Services domain (15 credits) - Indian Financial System, Management of Banking Services, Management of Risk and Insurance, Investment Banking and Management of Technology in Financial Services
3. Two Practice Work (12 credits) - Field Study and a Project
4. Three modules as a part of Life Skills Development Programme (6 credits) - Communication, Collaboration, and Consciousness

Total of 8 Courses, 3 Life Skills Development Modules, and 2 Practice Work (43 credits)

Attendance

1. Students are expected to attend a minimum of 75% of all scheduled classroom sessions during each semester.
2. The Director may condone the shortage in attendance, in exceptional circumstances, up to a maximum of 10%.
3. Students falling short of the required attendance will not be permitted to appear for the End Semester Examination of the semester.
4. Students who do not complete a semester on account of such shortage of attendance may seek to repeat the semester in the subsequent academic year.

Completion of the PGDMFS Programme

Students are required to complete their PGDMFS programme in all respects within a maximum of three years from the date of their first joining the programme, or as per the rules and regulations of the Bharathiar University in regard.

Assessment and Evaluation

1. Evaluation of students' performance will be based on both Continuous Internal Assessment (CIA) and External Examination (EE).
2. The CIA shall comprise multiple components of assessment such as online exercises, role plays, simulation, mini project, quizzes, home assignments, case analyses, classroom participation, student presentations, project work, mid semester examination etc. The faculty concerned may decide appropriate mixture of components for their Courses.
3. The EE will be conducted at the end of each semester. The duration, format etc. shall be decided as appropriate to each Course.
4. CIA shall carry a weightage of 60% and the EE 40%.
5. The three modules of Life Skills Development - Communication, Collaboration, and Consciousness - will be evaluated and graded as "Complete / Incomplete". Students securing 'Incomplete' grade in these modules will need to repeat the modules when they are offered next time.
6. There will not be any minimum marks stipulated for passing CIA. However, in the EE, students shall be required to secure a minimum of 50% for passing. In order to successfully complete a Course, students will need to secure a minimum total of 50% (50 out of 100 marks) in CIA and EE put together.
7. The records of CIA and EE for each student and each Course shall be maintained in safe custody for a period of six months.
8. Students who are not satisfied with the CIA score for any Course may appeal to the Director for a review. Director's decision in the matter shall be final and binding.

Scheme of Examination

The End semester Examinations shall be of 3-hour duration irrespective of credits assigned to the Courses. The maximum marks in EE shall be 100 to be pro-rated to 40%. Mid Semester Examination shall be of two hours duration irrespective of the credits assigned to the Courses. The maximum mark in the mid semester examination shall be 50 and to be pro-rated to 20%.

The End Semester examination question papers shall comprise three sections.

- Section 1 shall comprise 10 questions (all to be answered - each question carrying 2 marks) of objective type that may comprise a combination of fill-in-the-blank, true-or-false, and multiple-choice questions

- Section 2 shall comprise 10 questions (out of which 7 need to be answered - each question carrying 5 marks) that ask for brief descriptive answers of about 100 words (1 page)
- Section 3 shall comprise 5 questions (out of which 3 need to be answered - each question carrying 15 marks) that ask for detailed analytical, descriptive answers of about 300 words (3 pages).

Grading

The grading of students, based on the assessment and evaluation of their performance, will be as below:

| <u>Grading</u> | | <u>Marks secured</u> |
|------------------------------|-----|-----------------------------|
| First Class with Distinction | ... | 75% and above |
| First Class | ... | 60% and above but below 75% |
| Second Class | ... | 50% and above but below 60% |

LIST OF COURSES FOR PGDMFS PROGRAMME (2017 - 2018)

| Code | Title | Credits |
|---------|----------------------------------|-----------|
| | SEMESTER I | |
| DF17BSN | Business 101 | 3 |
| DF17MGT | Management 101 | 4 |
| DF17IFS | Indian Financial System | 3 |
| DF17MBS | Management of Banking Services | 3 |
| DF17COM | Communication | 2 |
| DF17FDS | Field Study | 6 |
| | Sub - Total | 21 |
| | SEMESTER II | |
| DF17LGE | Law, Governance and Ethics | 3 |
| DF17RMI | Risk Management & Insurance | 3 |
| DF17INB | Investment Banking | 3 |
| DF17TFS | Technology in Financial Services | 3 |
| DF17COL | Collaboration | 2 |
| DF17CON | Consciousness | 2 |
| DF17PRO | Project Work | 6 |
| | Sub - Total | 22 |
| | TOTAL | 43 |

SYLLABUS AND COURSE OUTLINE**SEMESTER I - COURSES**

| Code | Title | Credits |
|-------------|--------------------------------|----------------|
| | SEMESTER I | |
| DF17BSN | Business 101 | 3 |
| DF17MGT | Management 101 | 4 |
| DF17IFS | Indian Financial System | 3 |
| DF17MBS | Management of Banking Services | 3 |
| DF17COM | Communication | 2 |
| DF17FDS | Field Study | 6 |
| | Total | 21 |

Course Title: **BUSINESS 101**
Course Code: DF17BSN
Semester / Credits: I / 3

Course Objectives

This is an introductory course with the objective of providing students with a broad understanding of how businesses are organised and managed. It helps the students understand basic and essential principles and concepts in the forms and structure of organisations and different disciplines of management.

Course coverage

Part 1 (7 hours)

Business Environment - PESTEL Analysis - Political, Economic, Socio-Cultural, Technological, Environmental, and Legal factors impacting business

Part 2 (8 hours)

Forms and Structures of Organisations - Organisation - Structures, Systems, and Processes - Principles of Organisation and Management - Organisational Structures and Forms - Centralisation vs. Decentralisation - Line and Staff Functions

Part 3 (10 hours)

Essentials of Business Economics - Definition - Objectives - Scope of Business Economics - Concepts and Principles - Law of Demand and Demand Analysis

Part 4 (10 hours)

Essentials of Marketing - Concept of 4Ps and 7Ps - Marketing Management Process - Product and Product Mix - Branding

Part 5 (10 hours)

Essentials of HRM - Human Resource Management - Human Resource Development - Human Resource Information System - Components (Functions) of HRM

Pedagogy

Lectures, Exercises and Discussions

Evaluation and Grading

| | | |
|--------------------------|-----|-----|
| Classroom Discussion | ... | 10% |
| Quiz | ... | 10% |
| Exercises | ... | 20% |
| Mid Semester Examination | ... | 20% |
| End Semester Examination | ... | 40% |

Reference Books

1. Jones, Gareth R. (2012), *Organisational Theory, Design and Change*, 7/e, New Delhi: Pearson Education
2. Ahuja, H.L. (2017). *Managerial Economics: Analysis of Managerial Decision Making*, 9/e; New Delhi: S. Chand & Company Limited
3. Fernando, A.C. (2011). *Business Environment*; New Delhi: Pearson Education
4. Kotler, Philip; Kevin Lane Keller (2016). *Marketing Management*, 15/e; New Delhi: Pearson Education

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Course Title: **MANAGEMENT 101**
 Course Code: DF17MGT
 Semester / Credits: I / 4

Course Objective

This course enriches the knowledge of students in the fundamental principles and process of management. At the end of this course, students will be able to describe the process of management, review the foundational theories of management, and demonstrate managerial skills

Course Coverage

Part 1 (12 hours)

Introduction to Management

Management - Evolution of management thoughts - Social responsibility and Managerial Ethics - Exercise: Interview local business managers and ask them how they learned about managing

Part 2 (12 hours)

Planning

Managers as Decision Makers - Foundations of Planning - Exercise: Interview local business managers and ask them how they perceive their social responsibilities

Part 3 (12 hours)

Organising

Organizational structure and Design - Managing Teams - Exercise: Select a company and identify the departmentation pattern(s) it uses

Part 4 (12 hours)

Leading

Theories of Motivation - Theories of Leadership

Exercise: Compare the leadership styles adopted by popular Indian business leaders

Part 5 (12 hours)

Controlling

The Control process - Controlling for organisational Performance - Tools for Measuring organisational Performance - Exercise: Design a control system for measuring the progress you make in your course work

Pedagogy

Lectures, Exercises, Case Discussion

Evaluation and Grading

| | | |
|--------------------------|-----|-----|
| Class Participation | ... | 10% |
| Exercises | ... | 20% |
| Case Discussion | ... | 10% |
| Mid Semester Examination | ... | 20% |
| End Semester Examination | ... | 40% |

Reference Books

1. Robbins, Stephen P, Mary Coulter and Neharika Vohra (2013). *Management, 10/e*; New Delhi: Pearson Education
2. Koontz, Harold and Weihrich, Heinz (2013). *Essentials of Management: An International and Leadership Perspective, 9/e*; New Delhi: Tata McGraw Hill.

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Course Title: **INDIAN FINANCIAL SYSTEM**
 Course Code: **DF17IFS**
 Semester/ Credits: **I / 3**

Course Objective

This course aims at enabling the students to examine the structure, functions and regulatory framework of Indian Financial System. At the end of this course the students will be able to discuss about various components of financial system such as financial markets, financial instruments, financial institutions and financial services.

Course Coverage

Part 1 (5 hours)

Introduction to Financial System

Financial System - Meaning, Components and Functions - Overview of Indian Financial System - Financial System and the Economy - Reforms in the Financial System

Part 2 (12 hours)

Financial Markets and Instruments

Money Market - Capital Market - Primary Market and Secondary Market - Derivatives Market - Debt Market - Corporate Debt and Government Securities - New Financial Instruments

Part 3 (11 hours)

Financial Institutions

Development Financial Institutions - Banking and Non-Banking Institutions - Mutual Fund Organizations - Insurance Companies

Part 4 (12 hours)

Financial Services

Investment Banking - Depositories and Custodians - Credit Rating - Factoring and Forfeiting - Leasing and Hire Purchase - Financial Inclusion and Microfinance

Part 5 (5 hours)

Financial Regulation

Regulations of the Capital Market - Role and Functions of Securities and Exchange Board of India - Role and Functions of Reserve Bank of India

Pedagogy

Lectures, Case Discussion, Seminar

Evaluation and Grading

| | | |
|--------------------------|-----|-----|
| Quiz | ... | 10% |
| Seminar Presentation | ... | 10% |
| Assignment | ... | 10% |
| Case Discussion | ... | 10% |
| Mid Semester Examination | ... | 20% |
| End Semester Examination | ... | 40% |

Reference Books

1. Pathak V. Bharathi (2014). *Indian Financial System: Markets, Institutions and Services*, 4/e; New Delhi: Pearson Education
2. Khan M.Y. (2015). *Indian Financial System*, 9/e; New Delhi: Tata McGraw-Hill
3. Gurusamy S. (2011). *Indian Financial System*, 2/e; New Delhi: Tata McGraw-Hill

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Course Title: **MANAGEMENT OF BANKING SERVICES**
Course Code: DF17MBS
Semester / Credits: 1 / 3

Course Objective

This course would enable the students to recognize risks in banking and enable them to understand the favorable risk return trade-off. At the end of this course the students will be able to understand managerial aspects of banking, analyse utilization of funds through bank's financial statements and recognize the risks associated with the banking activities.

Course Coverage

Part 1 (8 hours)

Managing Banking and Financial Service

Financial System - Current Issues and Future challenges - Monetary policy - Implications for Bank Management - Financial Statements of Banks operating in India - Analysing Banks Financial Statement

Part 2 (8 hours)

Sources and Uses of Bank Funds

Sources of Bank Funds - Bank Liabilities - Deposits - Non-Deposit Sources - Uses of Bank Funds - Lending Function - Credit Process - Fund Based and non fund based lending - Loan pricing and Customer Profitability Analysis

Part 3 (9 hours)

Credit Delivery, Monitoring and Managing Credit Risk

Credit Delivery and Legal aspects of Lending -Credit Monitoring, Sickness and Rehabilitation - Managing Credit Risk - An Overview - Measuring Credit Risk - Credit Risk models

Part 4 (10 hours)

Banks and Risk Management

Uses of Bank Funds - Investments - Measuring Market Risk with VaR - Banks investment portfolio in India -Capital Adequacy Risk - Risk Management in Banks - The Changing Face of Banking Risk, Asset Liability Management, Interest Rate Risk Management and Liquidity Risk Management

Part 5 (10 hours)

Retail Banking and Electronic Banking

Banking Functions - Retail Banking and Laws in Everyday Banking -International Banking - Foreign Exchange and Trade Finance - Nature and Scope - High-Tech Banking - E-Payment systems and Electronic Banking

Pedagogy

Lectures, Case Discussion

Evaluation and Grading

| | | |
|-----------------------------|-----|-----|
| Class Participation | ... | 10% |
| Case Discussion | ... | 20% |
| Assignment and Presentation | ... | 10% |
| Mid Semester Examination | ... | 20% |
| End Semester Examination | ... | 40% |

Reference Books

1. Suresh, Padmalatha and Justin Paul (2014). *Management of Banking and Financial Services*, 3/e; New Delhi: Pearson Education
2. Peter S. Rose, Sylvia C. Hudgins, (2014). *Bank Management and Financial Services*, 8/e; New Delhi: Tata McGraw-Hill
3. Joshi and Joshi (2009). *Managing Indian Banks*, 3/e; New Delhi: Sage Publications

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Course Title: **COMMUNICATION**
 Course Code: **DF17COM**
 Semester/ Credits: **1 / 2**

Course Objective

The course is designed to build oral communication skills of students and build Presentation skills essential to business graduates. At the end of the course the students will be able to understand and use effective speaking techniques; professional nonverbal communication, and design and deliver effective presentations using slides and other Audio-visual aids. They would be able to write concretely and

effectively; write business reports and business messages using techniques of business writing

Course Coverage

Part 1 (15 hours)

Oral Communication - Speaking Skills

Principles of Effective Oral Communication - Barriers to Effective Oral Communication - Three Aspects of Oral Communication - Conversation Skills, Listening Skills and Body Language / Non-verbal communication

Designing and Delivering Oral Presentations

Adapting to Audience - Composing the Presentation - Enhancing presentations with slides and other visuals - Art of Delivering the presentation - Body Language - Handling Questions

Part 2 (15 hours)

Effective Writing

Fundamentals of Business Writing - Adaption and selection of words - Construction of clear sentences and paragraphs - Writing for effect

Writing Business Messages

Directness in good-news and neutral messages - Indirectness in bad-News Messages and persuasive messages

Writing Reports

Writing Reports - Short reports and long informal reports

Pedagogy

Lecture and Discussion, Experiential Class Activities, Audio and Video, Writing Exercises

Evaluation and Grading

| | | |
|---------------------|-----|-----|
| Speech | ... | 25% |
| Presentation | ... | 25% |
| Assignments | ... | 30% |
| Class Participation | ... | 20% |

Reference Books

1. Bovee, Courtland L, Thill, John V. and Raina, Roshan Lal (2017). *Business Communication Today*, 10/e; New Delhi: Pearson Education

2. Lesiker, Raymond V., Flatley Marie E., Rentz, Paula and Neerja Pande (2015). *Business Communication: Connecting in a Digital World*, 13/e; New Delhi: McGraw Hill Education
 3. Mukherjee, Jaba Gupta (2011). *Management Communication - A Case Analysis Approach*, 4/e; Noida: Pearson Education
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Guidelines for Field Study

A field study is one of the most effective methods of learning by experience. It helps students to get immersed in the business environment and provides an opportunity for them to observe key details of a company, learn contemporary management practices and gain insights into application of theories.

Objectives of the Field Study

- To gain exposure to and experience in any well-established company in the financial services sector.
- To be able to apply their theoretical knowledge in a real time situation in the organisation and integrate with practical business operations.
- To be able to provide own perspectives and insights based on their experience with the company.

Choice of Organisation

The students can carry out their field study work in any of the leading companies in the financial services sector (banking, insurance, mutual funds/asset management, capital markets etc.) in Coimbatore.

The company identified by the student should be approved by the faculty guide. An acceptance letter issued by the company should be submitted to the programme administrator before the commencement of the field study. Complete details of the company guide should be intimated to the faculty guide for the smooth flow of the process.

Focus area for Field study

Students should spend about 4 weeks full-time in the company. During this period, they should gather all possible information relating to the company, its organisational structure and systems, businesses, operations, processes, customers, and transactions. This list is only indicative and not exhaustive. The required information may be collected through continuous interaction and discussion with the company executives, physical observation, published materials like annual reports, newsletters, organisation manuals, company websites etc.

A further period of about 2 weeks should be spent in analysing the information so gathered with a view to identifying a few major challenges faced by the company and suggesting ways and means for addressing such challenges. These could be relating to risk management strategies, leverage on technology and its impact on business, ability of the company to maintain its disclosure norms, understanding customer needs and requirements, ethical dilemma, transparency in operations, compliance policies, inflationary pressure, savings pattern, lending and investment practices, competitive advantage in business, global challenges, financial performance and stake holder engagement. Application of the student's theoretical knowledge to practice is the key in this work.

Credits

The field study entails 6 Credits (approx. 50 hours of intense hands-on work, excluding preparation, analysis, and report writing of approx. 25 hours of work).

Report and Presentation

- At the end of their field study, students are required to submit a written report to their faculty guide. The report should be clear, comprehensive, and bring out their learning.
- Students are required to make a presentation to a faculty group (including the faculty guide) on their field study.

Outcome

At the end of the field study, the student should be able to:

- Explain in detail the organisation, products, services, and operations of a company in the financial services sector.
- Provide insights for improvement in the performance of a company in the financial services sector.
- Communicate and relate to peers, customers and others in a more effective manner.
- Be better equipped to be employed in a financial services company.

Evaluation

Evaluation of a student's field study will be based on four factors:

- Assessment and feedback from the company guide - 20%
- Assessment by the faculty guide - 30%
- Presentation to the Faculty - 30%
- Quality of the written report - 20%

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SYLLABUS AND COURSE OUTLINE

SEMESTER II - COURSES

| Code | Title | Credits |
|-------------|----------------------------------|----------------|
| DF17LGE | Law, Governance and Ethics | 3 |
| DF17RMI | Risk Management and Insurance | 3 |
| DF17INB | Investment Banking | 3 |
| DF17TFS | Technology in Financial Services | 3 |
| DF17COL | Collaboration | 2 |
| DF17CON | Consciousness | 2 |
| DF17PRO | Project Work | 6 |
| | Total | 22 |

Course Title: **LAW, GOVERNANCE & ETHICS**
Course Code: DF17LGE
Semester / Credits: II / 3

Course Objectives

This course is intended to provide students with a broad knowledge on the legal aspects impacting business, and issues relating to corporate governance and ethical dilemmas. At the end of the course the student would be able to recognise the interface between law and business, explain the theory and practice of corporate governance and analyse and resolve ethical dilemmas in business

Course Coverage

Part 1 (12 hours)

Legal Aspects of Business

Nature of Companies - Types & Formation, Memorandum and Articles of Association, Management of Company Industrial Dispute Act, 1947, Employees' Compensation Act, 1923

Part 2 (6 hours)

Understanding Corporate Governance

Corporate Governance: An Overview - The Theory and Practice of Corporate Governance - Landmark in the emergence of Corporate Governance

Part 3 (12 hours)

Stakeholders in Corporate Governance

Rights and Privileges of Shareholders - Investors' Problems and Protection - Corporate Governance and Other Stakeholders

Part 4 (8 hours)

Role of Directors and Auditors in Governance

Board of Directors: A Powerful Instrument in Corporate Governance - Role, Duties and Responsibilities of Auditors

Part 5 (7 hours)

Facilitators and Regulators

Business Ethics and Corporate Governance - Corporate Social Responsibility - SEBI: The Indian Capital Market Regulator - The Role of Government in Ensuring Corporate Governance

Pedagogy

Lectures, Role Play, Seminar and Case Discussion

Evaluation and Grading

| | | |
|--------------------------|-----|-----|
| Case discussion | ... | 10% |
| Seminar | ... | 10% |
| Assignments | ... | 10% |
| Role Play | ... | 10% |
| Mid Semester Examination | ... | 20% |
| End Semester Examination | ... | 40% |

Reference Books

1. Fernando, A. C (2012). *Corporate Governance: Principles, Policies and Practices, 2/e*; New Delhi: Pearson
2. Sathish B Mathur (2011). *Business Law*, New Delhi: Tata McGraw-Hill
3. Singh, B D (2012). *Labour Laws for Managers, 2/e*; New Delhi: Excel Books

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Course Title: **RISK MANAGEMENT AND INSURANCE**
 Course Code: DF17RMI
 Semester / Credits: II / 3

Course Objective

This course deals with insurance as a tool for risk management. On completion of this course the students will be able to identify and classify various risk associated with individual and organization, analyse various provisions relating to Insurance contract, appreciate the functions of Insurers. Students will be able to suggest appropriate insurance for individuals and corporate based on the risk faced.

Course Coverage

Part I (4 hours)

Introduction to Risk Management
 Understanding Risk - Risk Management - Enterprise Risk Management

Part 2 (4 hours)

Fundamentals of Insurance

Introduction to Insurance - Principles of Insurance - Insurance contract and provisions

Part 3 (3 hours)

Insurance in India & Legal Framework

Insurance Sector in India - Historical framework - Insurance sector reforms - Players in Insurance Sector - Primary Insurance Laws - IRDA and its functions

Part 4 (10 hours)

Function of Insurers

Underwriting - Insurance Pricing - Marketing of Insurance Products - Claim Management - Insurance Intermediaries - Risk Management - Reinsurance

Part 5 (10 hours)

Life Insurance

Fundamentals of Life Insurance - Life Insurance Contracts and Policy Provisions - Types - Claim Management of Life Insurance - Group Insurance

Part 6 (14 hours)

General Insurance

Introduction to General Insurance - Practice of Non-Life Insurance - Fire Insurance - Marine Insurance - Automobile Insurance - Social Insurance - Liability Insurance - Miscellaneous Insurance

Pedagogy

Lectures, Case Discussions, Exercises

Evaluation and Grading

| | | |
|--------------------------|-----|-----|
| Quiz | ... | 10% |
| Case Discussions | ... | 10% |
| Assignments | ... | 10% |
| Presentations | ... | 10% |
| Mid Semester Examination | ... | 20% |
| End Semester Examination | ... | 40% |

Reference Books

1. Gupta, P. K. (2012). *Insurance and Risk Management, 2/e*; Mumbai: Himalaya Publishing
2. Rejda, E. George, (2017). *Principles of Risk Management and Insurance*,

- 13/e; Pearson Education
3. Gulati, Neelam C. (2013). *Principles of Risk Management and Insurance*; New Delhi: Excel Books

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Course Title: **INVESTMENT BANKING**
Course Code: DF17INB
Semester/ Credits: II / 3

Course Objective

The objective of the course is to provide students with good understanding about global and Indian investment banking paradigm. It will also enable the students to understand the role of investment banks in securities market and various advisory services rendered by investment banks.

Course Coverage

Part 1 (6 hours)

Introduction to Investment Banking

Global and Indian Investment Banking Paradigm - Functions of Investment Banks - Types of Investment Banks - Services offered by Investment Banks

Part 2 (13 hours)

Fund Raising Services

Domestic Issue Management - Underwriting - Global Security Issuances - Buybacks and De-listing

Part 3 (13 hours)

Financial Advisory Services

Corporate Restructuring - Mergers and Acquisitions - Divestitures - Leveraged Buyouts - Venture Capital - Private Equity and Placements

Part 4 (13 hours)

Other Advisory Services

Debt Syndication - Disinvestment of Public Sector Enterprises - Stock Broking and Depository Services - Credit Rating - Infrastructure Advisory Services

Pedagogy

Lectures, Case Discussion, Seminar

Evaluation and Grading

| | | |
|--------------------------|-----|-----|
| Quiz | ... | 10% |
| Seminar Presentation | ... | 10% |
| Assignment | ... | 10% |
| Case Discussion | ... | 10% |
| Mid Semester Examination | ... | 20% |
| End Semester Examination | ... | 40% |

Reference Books

1. Giri Pratap S. (2013). *Investment Banking: Concepts, Analyses and Cases*, 2/e; New Delhi: Tata McGraw Hill
2. Khan, M.Y. (2013). *Financial Services*, 7/e; New Delhi: Tata McGraw-Hill
3. Machiraju, H.R (2011). *Merchant Banking*, 4/e; New Delhi: New Age International

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Course Title: **TECHNOLOGY IN FINANCIAL SERVICES**
 Course Code: DF17TFS
 Semester/ Credits: II / 3

Course Objectives

This course introduces the new age technologies which have made a paradigm shift in management of financial services. On completion of this course, the student will be able to discuss various technologies used in banking and identify the problems in dealing with electronic banking. The participant will also be able to comprehend the value of CRM systems in financial services.

Course Coverage

Part I (8 hours)

Introduction to Electronic Payment

Overview of Electronic Payment and Settlement Systems - Framework of Payment Settlement systems - Entities involved Payment process

Part 2 (15 hours)

Technology in Banking

Electronic Clearing Service - MICR Clearing - Core Banking Solutions - NEFT and Real Time Gross Settlement - Structured Financial Messaging System - Plastic Money and e-Money - Internet Banking & Mobile Banking

Part 3 (10 hours)

Challenges in Hi-tech Banking and RBI Guidelines

Security Issues in Electronic Banking - Threats and Challenges - RBI role in Hi-tech Banking - Case on challenges of Hi-tech Banking - RBI regulations for Electronic Banking

Part 4 (12 Hours)

Technology in other Financial Services and Legal Framework

Online trading systems in Stock broking - Risk Management Information System (RIMS) in Insurance - CRM for Financial Services - Information Technology Act 2000 - Amendment of IT Act 2008

Pedagogy

Lectures, Exercises and Case Discussion

Evaluation and Grading

| | | |
|---------------------------|-----|-----|
| Quiz | ... | 15% |
| Case discussion | ... | 10% |
| Exercises and Assignments | ... | 15% |
| Mid Semester Examination | ... | 20% |
| End Semester Examination | ... | 40% |

Reference books

1. Padmalatha Suresh, Justin Paul (2010). *Management of Banking and Financial Services, 2/e; New Delhi: Pearson*
2. Vijayaraghavan Iyengar, G. (2009). *Introduction to Banking, 1/e; New Delhi: Excel Books*
3. Joshi and Joshi (2009). *Managing Indian Banks, 3/e; New Delhi: Tata McGraw-Hill*
4. Text from Information Technology Act, 2000 and 2008

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Course Title: **COLLABORATION**
 Course Code: **DF17COL**
 Semester/ Credits: **II / 2**

Course Objectives

This is a sequel to the module on communication and advances to discipline one's self with respect to one's relationship and transaction with others in the organisation. The

module intends to develop human relations skills and synthesizes professional behaviour that is required for collaborative and social interaction.

Course Coverage

- Enhancing collaborative culture
- Working in teams
- High performance teams
- Blending individual goal with organizational goals
- Conflict management
- Time management
- Business etiquette

Pedagogy

Group activities, Role plays and Situation Analysis

Evaluation

Internal evaluation

Reference Books

1. Suzanne de Janasz, Karen Dowd and Beth Schneider (2014), *Interpersonal skills in Organisations*, 5/e; New Delhi: Tata McGraw Hill
2. Stephen P. Robbins and Phillip. L. Hunsaker (2011), *Training in Interpersonal Skills: TIPS for Managing People at Work*, 6/e; Prentice Hall
3. Dale Carnegie (2009), *How To Win Friends and Influence People*, Simon & Schuster; Reissue edition

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Course Title: **CONSCIOUSNESS**
Course Code: DF17CON
Semester/ Credits: II / 2

Course Objectives

This module intends to encourage students to adopt a balanced self-determined behaviour that evolves from within. Students are led into an introspection of their own perspectives that will help them realize their SELF through Critical Thinking and Experiential Learning Exercises. These skills enable the students to maintain their emotional wellbeing which enhances the performance and productivity at work.

Course Coverage

- Self-Awareness

- Self-Esteem
- Self-Reflection
- Self-Discipline
- Building Emotional Quotient
- Self-Corrective Actions

Pedagogy

Role Play, Critical Thinking and Experiential Learning Exercises

Evaluation

Internal evaluation

Reference Books

1. Daniel Goleman (2005). *Emotional Intelligence, 10/e*, New York, Bantam Books
2. Stephen R Covey: *The 7 Habits of Highly Effective People*
3. Dr. Norman Vincent Peale: *The Power of Positive Thinking*.

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Guidelines for Project Work

A project is a scientific and systematic study of real issue or a problem intended to resolve the problem with application of management concepts and skills. It enables the students to apply their conceptual knowledge in a practical situation and to learn the art of conducting a study in a systematic way and presenting its findings in a coherent report.

The choice of organization is restricted to banking, insurance, stock broking, mutual fund, foreign exchange, etc., and the topic chosen for study should be pertaining to the issues relating to financial services domain.

The students should get approval from the faculty guide before finalization of the topic for project. The project work has 6 credits. The duration of study will be from 4 to 6 weeks in any select financial service company. At the end, the students should submit a “Project report” in the prescribed manner to the institution.

The evaluation of project work is based on both internal and external valuation. Internal evaluation will have 60% weightage and remaining 40% will be evaluated by the external examiner nominated by COE. The internal evaluation is based on the Student’s clarity on the topic & regularity; Presentation and Q&A; and Quality of written report, each criteria carry equal weightage of 20%. The external evaluation will be done in form of Viva voce which carries 40% weightage.

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