

**MAULANA ABUL KALAM AZAD UNIVERSITY OF TECHNOLOGY, WEST BENGAL
NH-12 (Old NH-34), Simhat, Haringhata, Nadia -741249**

**Syllabus of BBA Banking and Financial Services
(Effective from academic session 2021-22)**

Semester-VI

| | | | |
|--|--|--|------------------|
| Name of the Course: Bachelors in Banking and Financial Services | | | |
| Subject: Corporate Banking Operations | | | |
| Course Code: BBABFS601 | | Semester: 6 | |
| Duration: 30 HOURS | | Maximum Marks: 100 | |
| Teaching Scheme | | Examination Scheme | |
| Theory: 5 hours per week | | End Semester Exam: 40 | |
| Tutorial: 1 hours per week | | Teacher's Assessment: 20 | |
| Practical: | | Internal Assessment: 40 | |
| Credit: 6 | | Practical Sessional internal continuous evaluation: | |
| | | Practical Sessional external examination: | |
| Aim: | | | |
| Sl. No. | | | |
| 1. | Build a foundational understanding of the Functioning of Banks | | |
| 2. | Establish a link between various components of the Banking System | | |
| | | | |
| Objective: | | | |
| Sl. No. | | | |
| 1. | | | |
| | | | |
| | | | |
| Pre-Requisite: | | | |
| Sl. No. | | | |
| 1. | Basics of Banking | | |
| | | | |
| | | | |
| Contents | | | Hrs./week |
| Chapter | Name of the Topic | Hour s | Marks |
| 01 Introduction to Corporate Banking • | <ul style="list-style-type: none"> Corporate Banking clients and their banking needs Typical Corporate Banking businesses and their inter relationships | 5 | 12 |
| 02 Know-Your-Client (KYC) and client on-boarding process | <ul style="list-style-type: none"> Establish customer identity Understand the nature of the customer's activities (primary goal is to satisfy that the source of the customer's funds is legitimate) | 5 | 12 |

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| | | | |
|--|--|-----------|------------|
| | <ul style="list-style-type: none"> Assess money laundering risks associated with that customer for purposes of monitoring the customer's activities | | |
| 03 Loan origination and credit risk analysis | <ul style="list-style-type: none"> Commercial Loan Origination Collateral and Limits Management Retail Loan Origination Credit Risk and Limit Management | 5 | 12 |
| 04 Cash Management and Payments | <ul style="list-style-type: none"> Cash Flow Statement Internal Controls Ratios | 5 | 12 |
| 05 Payment Products and infrastructure | <ul style="list-style-type: none"> Payments Messaging Standards SWIFT ISO20022 | 5 | 12 |
| 06 Trade Finance and Documentary Credits | <ul style="list-style-type: none"> Trade Finance Products <ul style="list-style-type: none"> Term Loans. Working Capital Limits like Overdraft and Cash Credit. Letters of Credit. Invoice Discounting or Invoice Factoring. Export Credit Types of Documentary Credit <ul style="list-style-type: none"> Irrevocable LC. ... Revocable LC. ... Stand-by LC. ... Confirmed LC. ... Unconfirmed LC. ... Transferable LC. ... Back-to-Back LC. ... Payment at Sight LC. | 5 | 10 |
| | Sub Total: | 30 | 40 |
| | Internal Assessment Examination & Preparation of Semester Examination | | 60 |
| | Total: | | 100 |
| <p>Practical: Skills to be developed: Intellectual skills: 1. Motor Skills: 1. List of Practical: Sl. No. 1& 2 compulsory & at least three from the rest) 1. 2.</p> | | | |

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| 3. | | | | | | | |
|--|---|--|---------------------------|--------------------------------|------------------------------|-----------------------|----------------|
| 4. | | | | | | | |
| Assignments: | | | | | | | |
| List of Books | | | | | | | |
| Text Books: | | | | | | | |
| Name of Author | Title of the Book | | Edition/ISSN/ISBN | | Name of the Publisher | | |
| Migdadi Yazan Khalid Abed-Allah | Banking Operations Strategy: A Proposed Configuration | | 2014/ 978- 3659508745 | | Lambert | | |
| | | | | | | | |
| | | | | | | | |
| Reference Books: | | | | | | | |
| IIBF | Corporate Banking | | 2014 / 978- 0230321946 | | Macmillan | | |
| | | | | | | | |
| | | | | | | | |
| List of equipment/apparatus for laboratory experiments: | | | | | | | |
| Sl. No. | | | | | | | |
| 1. | | NA | | | | | |
| | | | | | | | |
| | | | | | | | |
| | | | | | | | |
| End Semester Examination Scheme. Maximum Marks-70. Time allotted-3hrs. | | | | | | | |
| Group | Unit | Objective Questions (MCQ only with the correct answer) | | Subjective Questions | | | |
| | | No of question to be set | Total Marks | No of question to be set | To answer | Marks per question | Total Marks |
| A | 1,2,3, 4 | 10 | 18 | 3 | 2 | 4 | 52 |
| B | 4,5, 6, 7, 8 | 10 | | 4 | 3 | | |
| <ul style="list-style-type: none"> Only multiple choice type question (MCQ) with one correct answer are to be set in the objective part. Specific instruction to the students to maintain the order in answering objective questions should be given on top of the question paper. | | | | | | | |

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| | | | |
|--|--|--|------------------|
| Name of the Course: Bachelors in Banking and Financial Services | | | |
| Subject: Mergers and Acquisitions | | | |
| Course Code: BBABFS602 | | Semester: 6 | |
| Duration: 30 | | Maximum Marks: 100 | |
| Teaching Scheme | | Examination Scheme | |
| Theory: 5 hours per week | | End Semester Exam: 70 | |
| Tutorial: 1 hours per week | | Teacher's Assessment: 10 | |
| Practical: | | Internal Assessment: 20 | |
| Credit: 6 | | Practical Sessional internal continuous evaluation: | |
| | | Practical Sessional external examination: | |
| Aim: | | | |
| Sl. No. | | | |
| 1 | Gain a deeper understanding of the MnA process | | |
| | | | |
| | | | |
| | | | |
| Objective: | | | |
| Sl. No. | | | |
| 1 | To be able to apply valuation techniques | | |
| 2 | To be able to deal with post merger challenges | | |
| | | | |
| | | | |
| Pre-Requisite: | | | |
| Sl. No. | | | |
| 1 | Basic knowledge of Economics | | |
| | | | |
| | | | |
| Contents | | | Hrs./week |
| Chapter | Name of the Topic | Hours | Marks |
| 01 Valuation-1 | <ul style="list-style-type: none"> • Considering valuation through the lens of a consumer rather than a producer • Understanding the discounted cash flow (DCF) valuation • Applying comparable company analysis (CCA) • Analysing financial statements and financial plans • Evaluating corporate and management performance • Negotiation • Building a negotiation toolkit around interest and option generation • Using the Best Alternative To a Negotiated Agreement (BATNA) assessment to achieve a better bottom line | 8 | 18 |
| 02 Valuation-2 | <ul style="list-style-type: none"> • Managing the complexities and cultural aspects of negotiation in cross-border deals | 8 | 18 |

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|---|---|--------------------------|------------------------------|
| | <ul style="list-style-type: none"> Considering the ethical and legal repercussions to ensure a win-win outcome Finance Optimizing tax benefits Structuring earn-outs in private company deals Identifying the right context for using earn-outs Examining government influence and legal issues Exploring regulatory and cultural barriers | | |
| 03 Strategy | <ul style="list-style-type: none"> Achieving strategic clarity Understanding deal process design Managing auction processes Using sell-side and buy-side strategies Stress-testing the business model | 8 | 18 |
| 04 Post-merger management | <ul style="list-style-type: none"> Ensuring the best operational and cultural fit Managing the integration of accounting systems Structuring reporting lines and responsibilities Selecting the right person to lead the integration team | 6 | 16 |
| | | | |
| | Sub Total: | 30 | 70 |
| | Internal Assessment Examination & Preparation of Semester Examination | | 30 |
| | Total: | | 100 |
| <p>Practical: Skills to be developed: Intellectual skills: Motor Skills: List of Practical: Sl. No. 1& 2 compulsory & at least three from the rest) Assignments: List of Books Text Books:</p> | | | |
| Name of Author | Title of the Book | Edition/ISSN/ISBN | Name of the Publisher |
| Bill Snow | Mergers & Acquisitions For Dummies | 2018 / B07H15BP1V | Wiley |
| | | | |
| | | | |
| | | | |
| Reference Books: | | | |
| Donald DePamphilis | Mergers, Acquisitions, and Other | 2019 / 978-0128150757 | Academic Press Inc |

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| | Restructuring Activities: An Integrated Approach to Process, Tools, Cases, and Solutions | | | | | | |
|--|--|---|-------------|--------------------------|-----------|--------------------|-------------|
| | | | | | | | |
| | | | | | | | |
| List of equipment/apparatus for laboratory experiments: | | | | | | | |
| Sl. No. | NA | | | | | | |
| | | | | | | | |
| | | | | | | | |
| | | | | | | | |
| End Semester Examination Scheme. | | Maximum Marks-70. | Time | | | | |
| allotted-3hrs. | | | | | | | |
| Group | Unit | Objective Questions (MCQ only with the correct answer) | | Subjective Questions | | | |
| | | No of question to be set | Total Marks | No of question to be set | To answer | Marks per question | Total Marks |
| A | 1,2,3, 4 | 10 | 18 | 3 | 2 | 4 | 52 |
| B | 4,5, 6, 7, 8 | 10 | | 4 | 3 | | |
| <ul style="list-style-type: none"> Only multiple choice type question (MCQ) with one correct answer are to be set in the objective part. Specific instruction to the students to maintain the order in answering objective questions should be given on top of the question paper. | | | | | | | |

| | |
|--|--|
| Name of the Course: Bachelors in Banking and Financial Services | |
| Subject: Portfolio Management | |
| Course Code: BBABFS603 - A | Semester: 6 |
| Duration: 30 | Maximum Marks: 100 |
| Teaching Scheme | Examination Scheme |
| Theory: 5 hours per week | End Semester Exam: 70 |
| Tutorial:1 hours per week | Teacher' s Assessment: 10 |
| Practical: | Internal Assessment: 20 |
| Credit: 6 | Practical Sessional internal continuous evaluation: |
| | Practical Sessional external examination: |
| Aim: | |
| Sl. No. | |

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| | | | |
|--------------------------------|---|------------------|--------------|
| 1 | Understand the role and importance of efficient portfolio Management | | |
| | | | |
| | | | |
| Objective: | | | |
| Sl. No. | | | |
| 1 | Create and maintain a balanced investment portfolio | | |
| | | | |
| | | | |
| Pre-Requisite: | | | |
| Sl. No. | | | |
| 1 | Basic knowledge of capital markets | | |
| | | | |
| | | | |
| Contents | | Hrs./week | |
| Chapter | Name of the Topic | Hour s | Marks |
| 01 Modern Portfolio Theory | Portfolio management and types of fund management Understanding of risk and reward (returns) Value at Risk Diversification as a key to effective portfolio management Portfolio management services in India | 6 | 14 |
| 02 Beta and Risk Estimation | Understand the concept and use of Company Beta in Capital Markets. The concept of Ordinary Least Square method. The difference between systematic and non-systematic risks. The OLS variables, the Alpha, the Beta and the Error. Measuring stochastic disturbance and non-systematic risks. □ | 6 | 14 |
| 03 Capital Asset Pricing Model | Capital asset pricing model and its relevance in calculating the risk and returns on a portfolio. The relevance of anticipated (expected) returns against the framework of CAPM. | 6 | 14 |

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| | | | |
|---------------------------|--|----|------------|
| | The scope for diversification in a portfolio. The method used for the calculation of portfolio risk and portfolio diversification. | | |
| 04 Mutual Funds | To have a clear understanding on mutual fund as an investment options. Understand the different types of mutual funds. The role of AMC and corpus of a mutual fund. Calculate basic performance ratios. Exchange Traded Funds | 6 | 14 |
| 05 Portfolio Construction | Learn some simple stock picking strategies. Learn stock picking based on company and economic fundamentals. Learn stock picking based on financial ratios. Learn sector based stock picking. Utilize some statistical tools such as beta and value at risks. | 6 | 14 |
| | Sub Total: | 30 | 70 |
| | Internal Assessment Examination & Preparation of Semester Examination | | 30 |
| | Total: | | 100 |

List of Books

Text Books:

| Name of Author | Title of the Book | Edition/ISSN/ISBN | Name of the Publisher |
|----------------|--|----------------------|-----------------------|
| Kevin S | Security Analysis And Portfolio Management | 2015/ 978-8120351301 | PHI Learning Pvt Ltd |
| | | | |
| | | | |

Reference Books:

| | | | |
|--|-------------------|----------------------|-----------------------|
| by Benjamin Graham (Author), David Dodd (Author) | Security Analysis | 2017/ 978-0070140653 | McGraw Hill Education |
| | | | |
| | | | |

**End Semester Examination Scheme. Maximum Marks-70.
Time allotted-3hrs.**

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| Group | Unit | Objective Questions (MCQ only with the correct answer) | | Subjective Questions | | | |
|---|--------------|--|-------------|--------------------------|-----------|--------------------|-------------|
| | | No of question to be set | Total Marks | No of question to be set | To answer | Marks per question | Total Marks |
| A B | 1,2,3, 4 | 10 | 18 | 3 | 2 | 4 | 52 |
| | 4,5, 6, 7, 8 | 10 | | 4 | 3 | | |
| <p>Only multiple choice type question (MCQ) with one correct answer are to be set in the objective part.</p> <p>Specific instruction to the students to maintain the order in answering objective questions should be given on top of the question paper.</p> | | | | | | | |

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| | | | |
|--|---|--|------------------|
| Name of the Course: Bachelors in Banking and Financial Services | | | |
| Subject: Taxation in Financial Markets | | | |
| Course Code: BBABFS603 - B | | Semester: 6 | |
| Duration: 30 | | Maximum Marks: 100 | |
| Teaching Scheme | | Examination Scheme | |
| Theory: 5 hours per week | | End Semester Exam: 40 | |
| Tutorial: 1 hours per week | | Teacher's Assessment: 20 | |
| Practical: | | Internal Assessment: 40 | |
| Credit: 6 | | Practical Sessional internal continuous evaluation: | |
| | | Practical Sessional external examination: | |
| Aim: | | | |
| Sl. No. | | | |
| 1 | Build a foundational understanding of the taxation applicable to the Financial Markets | | |
| | | | |
| | | | |
| Objective: | | | |
| Sl. No. | | | |
| | NA | | |
| | | | |
| | | | |
| Pre-Requisite: | | | |
| Sl. No. | | | |
| 1 | Basic knowledge of Economics | | |
| | | | |
| | | | |
| Contents | | | Hrs./week |
| Chapter | Name of the Topic | Hours | Marks |
| 01 Tax competition: policy and theory | <ul style="list-style-type: none"> • Policy issues <ul style="list-style-type: none"> ○ Direct taxes ○ Indirect taxes • A first look at the literature <ul style="list-style-type: none"> ○ Three important fiscal externalities ○ Symmetric vs. asymmetric countries ○ the set of tax instruments ○ Firm mobility and imperfect competition ○ Logistical economy aspects and alternative government | 8 | 18 |

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| | | | |
|---|--|--------------------------|------------------------------|
| | <ul style="list-style-type: none"> ○ objectives ○ Further issues | | |
| 02 Introduction to capital tax competition | <ul style="list-style-type: none"> • Residence- vs. source-based capital taxation • Capital and labour taxes in a small open economy • Tax competition with source-based capital taxes • Capital tax competition: empirical evidence | 8 | 18 |
| 03 Capital tax competition and country size | <ul style="list-style-type: none"> • A basic model of asymmetric capital tax competition • Asymmetric capital tax competition with two tax instruments • Numerical analysis • Asymmetric tariff competition • The 'third-country problem' and the regional coordination of capital income taxes | 8 | 18 |
| 04 Taxes impacting Equity Transactions in India | <ul style="list-style-type: none"> • Securities Transaction Tax (STT) • Capital Gains Tax • Dividend Distribution Tax (DDT) | 6 | 16 |
| | | | |
| | Sub Total: | 30 | 70 |
| | Internal Assessment Examination & Preparation of Semester Examination | | 30 |
| | Total: | | 100 |
| List of Books | | | |
| Text Books: | | | |
| Name of Author | Title of the Book | Edition/ISSN/ISBN | Name of the Publisher |
| Tony Rumble | Taxation of Equity Derivatives and Structured Products | 2002 / 978-1403903396 | Palgrave Macmillan |
| | | | |
| | | | |
| Reference Books: | | | |
| Paolo Roberti | Financial Markets and Capital Income Taxation in a Global Economy (| 2000/ 978-0444822062 | Elsilver |

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| End Semester Examination Scheme. | | | | Maximum Marks-70. | | | |
|--|------------------|--|-------------|-----------------------------|-----------|--------------------|-------------|
| Time allotted-3hrs. | | | | | | | |
| Group | Unit | Objective Questions (MCQ only with the correct answer) | | Subjective Questions | | | |
| | | No of question to be set | Total Marks | No of question to be set | To answer | Marks per question | Total Marks |
| A | 1,2,3,4 | 10 | 18 | 3 | 2 | 4 | 40 |
| B | 4,5,6,7,8 | 10 | | 4 | 3 | | |
| <input type="checkbox"/> Only multiple choice type question (MCQ) with one correct answer are to be set in the objective part. <input type="checkbox"/> Specific instruction to the students to maintain the order in answering objective questions should be given on top of the question paper. | | | | | | | |

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| | | | |
|--|--|--|------------------|
| Name of the Course: Bachelors in Banking and Financial Services | | | |
| Subject: Behavioral Finance | | | |
| Course Code: BBABFS603 - C | | Semester: 6 | |
| Duration: 30 | | Maximum Marks: 100 | |
| Teaching Scheme | | Examination Scheme | |
| Theory: 5 hours per week | | End Semester Exam: 70 | |
| Tutorial: 1 hours per week | | Teacher's Assessment: 10 | |
| Practical: | | Internal Assessment: 20 | |
| Credit: 6 | | Practical Sessional internal continuous evaluation: | |
| | | Practical Sessional external examination: | |
| Aim: | | | |
| Sl. No. | | | |
| 1 | Build a foundational understanding of Behavioral Finance | | |
| | | | |
| | | | |
| | | | |
| Objective: | | | |
| Sl. No. | | | |
| 1 | Explore the role of Cognitive Biases | | |
| | | | |
| | | | |
| | | | |
| Pre-Requisite: | | | |
| Sl. No. | | | |
| 1 | Basic knowledge of Investments | | |
| | | | |
| | | | |
| Contents | | | Hrs./week |
| Chapter | Name of the Topic | Hours | Marks |
| 01: Introduction to Behavioral Finance | <ul style="list-style-type: none"> • What Is Behavioral Finance? • The History of Behavioral Finance • Introduction to Behavioral Biases | 5 | 14 |
| 02: Belief Perseverance Biases | <ul style="list-style-type: none"> • Cognitive Dissonance Bias • Conservatism Bias • Confirmation Bias • Representativeness Bias | 5 | 14 |

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| | | | |
|---|--|-----------|------------|
| | <ul style="list-style-type: none"> • Illusion of Control Bias • Hindsight Bias | | |
| 03: Information Processing Biases | <ul style="list-style-type: none"> • Mental Accounting Bias • Anchoring and Adjustment Bias • Framing Bias • Availability Bias • Self-Attribution Bias • Outcome Bias • Recency Bias | 5 | 14 |
| 04: Emotional Biases | <ul style="list-style-type: none"> • Loss Aversion Bias • Overconfidence Bias • Self-Control Bias • Status Quo Bias • Endowment Bias • Regret Aversion Bias • Affinity Bias | 5 | 14 |
| 05: Application of Behavioral Finance to Asset Allocation | <ul style="list-style-type: none"> • Practical application of behavioral finance • Allocation Guidelines for determining best practical Asset allocation • Quantitative guidelines for incorporating Behavioral finance in asset allocation • Investment policy and asset allocation | 5 | 14 |
| | Sub Total: | 30 | 70 |
| | Internal Assessment Examination & Preparation of Semester Examination | | 30 |
| | Total: | | 100 |

List of Books

Text Books:

| Name of Author | Title of the Book | Edition/ISSN/ISBN | Name of the Publisher |
|-----------------------|--|--------------------------|------------------------------|
| James Montier | The Little Book of Behavioral Investing: How not to be your own worst enemy: | 2010 / 978-0470686027 | Wiley |
| | | | |
| | | | |

Reference Books:

| | | | |
|--------------------|------------------------|----------------------|-------|
| Michael M. Pompian | Behavioral Finance and | 2012/ 978-1118014325 | Wiley |
|--------------------|------------------------|----------------------|-------|

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| | | Wealth Management: How to Build Investment Strategies That Account for Investor Biases | | | | | |
|--|------------------|--|-------------|--------------------------|-----------|--------------------|-------------|
| | | | | | | | |
| End Semester Examination Scheme. | | | | Maximum Marks-70. | | | |
| Time allotted-3hrs. | | | | | | | |
| Group | Unit | Objective Questions (MCQ only with the correct answer) | | Subjective Questions | | | |
| | | No of question to be set | Total Marks | No of question to be set | To answer | Marks per question | Total Marks |
| A | 1,2,3,4 | 10 | 18 | 3 | 2 | 4 | 52 |
| B | 4,5,6,7,8 | 10 | | 4 | 3 | | |
| <input type="checkbox"/> Only multiple choice type question (MCQ) with one correct answer are to be set in the objective part. <input type="checkbox"/> Specific instruction to the students to maintain the order in answering objective questions should be given on top of the question paper. | | | | | | | |

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| | | | |
|--|---|--|------------------|
| Name of the Course: Bachelors in Banking and Financial Services | | | |
| Subject: Introduction to Robo-Advisory | | | |
| Course Code: BBABFS604 - A | | Semester: 6 | |
| Duration: 30 | | Maximum Marks: 100 | |
| Teaching Scheme | | Examination Scheme | |
| Theory: 5 hours per week | | End Semester Exam: 70 | |
| Tutorial: 1 hours per week | | Teacher's Assessment: 10 | |
| Practical: | | Internal Assessment: 20 | |
| Credit: 6 | | Practical Sessional internal continuous evaluation: | |
| | | Practical Sessional external examination: | |
| Aim: | | | |
| Sl. No. | | | |
| 1 | Build a foundational understanding of the functioning of Robo Advisory Services | | |
| | | | |
| | | | |
| Objective: | | | |
| Sl. No. | | | |
| 1 | Describing the functioning of Robo Advisory Services | | |
| | | | |
| | | | |
| Pre-Requisite: | | | |
| Sl. No. | | | |
| 1 | Basic knowledge of Investments | | |
| | | | |
| | | | |
| Contents | | | Hrs./week |
| Chapter | Name of the Topic | Hours | Marks |
| 01 Introduction to Robo Advisory | <ul style="list-style-type: none"> • Smart beta and Robo advisors • Signal, noise, randomness • Markets and basic measurements of performance, direction and volatility • Comparing strategies | 8 | 18 |
| 02 Systematic Trading | <ul style="list-style-type: none"> • Systematic Trading: Trend Following Systems & Futures Markets • Systematic trading: Trend and Counter-trend systems • Systematic trading: Trend and Counter-trend systems | 8 | 18 |

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| | | | | | | | |
|--|-------------------------|-----------|-----------|----------|----------|----------|-----------|
| A | 1,2,3, 4 | 10 | 18 | 3 | 2 | 4 | 52 |
| B | 4,5, 6, 7, 8 | 10 | | 4 | 3 | | |
| <ul style="list-style-type: none"><input type="checkbox"/> Only multiple choice type question (MCQ) with one correct answer are to be set in the objective part.<input type="checkbox"/> Specific instruction to the students to maintain the order in answering objective questions should be given on top of the questionpaper. | | | | | | | |

**MAULANA ABUL KALAM AZAD UNIVERSITY OF TECHNOLOGY, WEST BENGAL
NH-12 (Old NH-34), Simhat, Haringhata, Nadia -741249**

**Syllabus of BBA Banking and Financial Services
(Effective from academic session 2021-22)**

| | | | |
|--|--|--|------------------|
| Name of the Course: Bachelors in Banking and Financial Services | | | |
| Subject: Professional Skills Development & Ethical and professional standards | | | |
| Course Code: BBABFS604 - B | | Semester: 6 | |
| Duration: 30 | | Maximum Marks: 100 | |
| Teaching Scheme | | Examination Scheme | |
| Theory: 5 hours per week | | End Semester Exam: 70 | |
| Tutorial: 1 hours per week | | Teacher's Assessment: 10 | |
| Practical: | | Internal Assessment: 20 | |
| Credit: 6 | | Practical Sessional internal continuous evaluation: | |
| | | Practical Sessional external examination: | |
| Aim: | | | |
| Sl. No. | | | |
| 1 | Appreciate the need for Professional Skills & Ethical and professional standards | | |
| | | | |
| | | | |
| Objective: | | | |
| Sl. No. | | | |
| 1 | Demonstrating Professional Skills & Ethical and professional standards | | |
| | | | |
| | | | |
| Pre-Requisite: | | | |
| Sl. No. | | | |
| 1 | Basic knowledge of Economics | | |
| | | | |
| | | | |
| Contents | | | Hrs./week |
| Chapter | Name of the Topic | Hours | Marks |
| 01 Ethics and Trust in the Investment Profession | <ul style="list-style-type: none"> • Introduction • Ethics • Ethics and Professionalism • Challenges to Ethical Conduct • The Importance of Ethical Conduct in the Investment Industry • Ethical vs. Legal Standards • Ethical Decision-Making Frameworks | 4 | 9 |

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| | | | |
|---|---|-----------|------------|
| | <ul style="list-style-type: none"> Applying the Framework | | |
| 02 Code of Ethics and Standards of Professional Conduct | <ul style="list-style-type: none"> Professionalism and integrity of the capital markets Duties to clients and employers Investment analysis and recommendations Conflicts of interest and your responsibilities | 4 | 9 |
| 03 Professionalism | <ul style="list-style-type: none"> Knowledge of the Law Independence and Objectivity Misrepresentation Misconduct | 4 | 9 |
| 04 Integrity of Capital Markets | <ul style="list-style-type: none"> Material Non-public Information Market Manipulation | 4 | 9 |
| 05 Duties to Clients | <ul style="list-style-type: none"> Loyalty, Prudence, and Care Fair Dealing Suitability Performance Presentation Preservation of Confidentiality | 4 | 9 |
| 06 Duties to Employers | <ul style="list-style-type: none"> Loyalty Additional Compensation Arrangements Responsibilities of Supervisors | 4 | 9 |
| 07 Investment Analysis, Recommendations, and Actions | <ul style="list-style-type: none"> Diligence and Reasonable Basis Communication with Clients and Prospective Clients Record Retention | 4 | 9 |
| 08 Conflicts of Interest | <ul style="list-style-type: none"> Disclosure of Conflicts Priority of Transactions Referral Fees | 2 | 7 |
| | | | |
| | Sub Total: | 30 | 70 |
| | Internal Assessment Examination & Preparation of Semester Examination | | 30 |
| | Total: | | 100 |

**List of Books
Text Books:**

| Name of Author | Title of the Book | Edition/ISSN/ISBN | Name of the Publisher |
|------------------------|--|--------------------------|------------------------------|
| Havels Learning System | Ethical and Professional Standards, Quantitative Methods & Economics | 2019 / 978-1671355217 | Havels Learning System |

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| Reference Books: | | | | | | | |
|--|------------------|---|-------------|--------------------------|-----------|--------------------|-------------|
| | | | | | | | |
| | | | | | | | |
| End Semester Examination Scheme. Time allotted-3hrs. | | | | Maximum Marks-70. | | | |
| Group | Unit | Objective Questions (MCQ only with the correct answer) | | Subjective Questions | | | |
| | | No of question to be set | Total Marks | No of question to be set | To answer | Marks per question | Total Marks |
| A | 1,2,3,4 | 10 | 18 | 3 | 2 | 4 | 52 |
| B | 4,5,6,7,8 | 10 | | 4 | 3 | | |
| <input type="checkbox"/> Only multiple choice type question (MCQ) with one correct answer are to be set in the objective part. <input type="checkbox"/> Specific instruction to the students to maintain the order in answering objective questions should be given on top of the question paper. | | | | | | | |

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**Syllabus of BBA Banking and Financial Services
(Effective from academic session 2021-22)**

| | | | |
|--|---|--|------------------|
| Name of the Course: Bachelors in Banking and Financial Services | | | |
| Subject: Alternative Investments | | | |
| Course Code: BBABFS604 - C | | Semester: 6 | |
| Duration: 30 | | Maximum Marks: 100 | |
| Teaching Scheme | | Examination Scheme | |
| Theory: 5 hours per week | | End Semester Exam: 70 | |
| Tutorial: 1 hours per week | | Teacher's Assessment: 10 | |
| Practical: | | Internal Assessment: 20 | |
| Credit: 6 | | Practical Sessional internal continuous evaluation: | |
| | | Practical Sessional external examination: | |
| Aim: | | | |
| Sl. No. | | | |
| 1 | | Appreciate the need for Alternative Investments | |
| | | | |
| | | | |
| Objective: | | | |
| Sl. No. | | | |
| 1 | | Demonstrating Professional Skills & Ethical and professional standards | |
| | | | |
| | | | |
| Pre-Requisite: | | | |
| Sl. No. | | | |
| 1 | | Basic knowledge of Economics | |
| | | | |
| | | | |
| Contents | | | Hrs./week |
| Chapter | Name of the Topic | | Hour s |
| | | | Marks |
| O1 What Is an Alternative Investment? | <ul style="list-style-type: none"> • Alternative Investments by Exclusion • Alternative Investments by Inclusion • Structures among Alternative Investments • Investments Are Distinguished by Return Characteristics • Investments Are Distinguished by Methods of Analysis • Investments Are Distinguished by Other Factors • Goals of Alternative Investing | | 6 |
| | | | 14 |

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| | | | |
|---|---|--------------------------|------------------------------|
| 02 The Environment of Alternative Investments | <ul style="list-style-type: none"> • The Participants • Financial Markets • Regulatory Environment • Liquid Alternative Investments • Taxation | 6 | 14 |
| 03 Quantitative Foundations | <ul style="list-style-type: none"> • Return and Rate Mathematics • Returns Based on Notional Principal • Internal Rate of Return • Problems with Internal Rate of Return • Distribution of Cash Waterfall | 6 | 14 |
| 04 Real Assets | <ul style="list-style-type: none"> • Natural Resources and Land • Commodity Forward Pricing • Commodities: Applications and Evidence • Operationally Intensive Real Assets • Liquid and Fixed-Income Real Estate • Real Estate Equity Investments | 6 | 14 |
| 05 Hedge Funds | <ul style="list-style-type: none"> • Structure of the Hedge Fund Industry • Macro and Managed Futures Funds • Event-Driven Hedge Funds • Relative Value Hedge Funds • Equity Hedge Funds | 6 | 14 |
| 06 Private Equity | <ul style="list-style-type: none"> • Introduction to Private Equity • Equity Types of Private Equity • Debt Types of Private Equity | 6 | 14 |
| | Sub Total: | 30 | 70 |
| | Internal Assessment Examination & Preparation of Semester Examination | | 30 |
| | Total: | | 100 |
| List of Books | | | |
| Text Books: | | | |
| Name of Author | Title of the Book | Edition/ISSN/ISBN | Name of the Publisher |
| H. Kent Baker, Greg Filbeck | Alternative Investments: Instruments, Performance, Benchmarks, and Strategies | 2013 / 978-1-118-24112-7 | Wiley |

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(Effective from academic session 2021-22)**

| Reference Books: | | | | | | | |
|--|--|--|-------------|--------------------------|-----------|--------------------|-------------|
| Stuart R. Veale | The Investor's Guidebook to Alternative Investments: The Role of Alternative Investments in Portfolio Design | 2013 / 978-0735205307 | | Penguin | | | |
| | | | | | | | |
| End Semester Examination Scheme. | | | | Maximum Marks-70. | | | |
| Time allotted-3hrs. | | | | | | | |
| Group | Unit | Objective Questions (MCQ only with the correct answer) | | Subjective Questions | | | |
| | | No of question to be set | Total Marks | No of question to be set | To answer | Marks per question | Total Marks |
| A | 1,2,3, 4 | 10 | 18 | 3 | 2 | 4 | 52 |
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