

Financial Services management BBI Sem V

1. There are _____ parties involved in the contract of pledge.
2. The one who pledges the asset is called as _____.
3. The one who grants a loan against collateral is called as Pawnee :
4. A bank included in the _____ schedule of the RBI Act 1934, is eligible to become depository.
5. NSDL was inaugurated on November, 08 _____.
6. A depository system is governed by _____ act.
7. A depository company must have a minimum net worth of ` _____ crore.
8. Informal credit is type of _____
9. The person who is having goods in his/her possession known as _____
10. Cash and carry is the type of _____
11. The compensation given by the insurance company known as _____
12. The third copy of credit card is required to send to the _____
13. The entrance fee is necessary for _____
14. The person who work on the behalf of a principle known as _____
15. Breaking bulk is the function of _____
16. NHB stands for _____
17. National Housing Bank was set up on _____.
18. National Housing Bank was set up on July 9, 1988 under which among the following acts _____
19. HFC stands for : _____
20. _____ is an apex financial institution for housing.
21. The Head Office of National Housing Bank is at _____
22. The National Housing Bank (NHB) was set up in India as a wholly-owned subsidiary of _____
23. The markets in which the derivatives are traded are classified as _____
24. The situation in which the large portion of majority is borrowed from the broker of _____
25. The type of contract which involves the future exchange of assets at a specified price is classified as : _____
26. The type of unit which guarantees that all the buying and selling will be made by traders of exchange is called _____
27. The example of derivative securities is : _____
28. Financial derivatives include : _____
29. A contract that requires the investor to buy securities on a future date is called as : _____
30. The payoffs for financial derivatives are linked to _____
31. Hedging risk for a short position is accomplished by _____
32. _____ number of stages involved in securitization.
33. _____ type of structure is mostly prevalent in mortgage backed securities.
34. SPV stands for _____
35. _____ stocks are instruments issued by a subsidiary company against the trade debt and consumer receivables of the parent company.
36. _____ type of transaction defines two day delivery.
37. All bonds are _____.
38. _____ can be described as a tax levied on all documents of a commercial nature.
39. Duration of forward transaction _____
40. Swap, spot, futures etc. come under the category of _____
41. Factoring service is considered only in respect of receivables on account of _____
42. Maturing factoring involves _____
43. _____ is a short-term solution.
44. The grace period in bill discounting is _____ days
45. International forfeiting transactions are dominated in _____ countries
46. _____ is a Long-term solution.
47. A mutual fund is owned by _____
48. The NAV of a mutual fund _____
49. An open-ended mutual fund is one that has _____
50. An investor in a close-ended mutual fund can get his/her money back by selling his/her units :

51. A mutual fund is not
52. The NAV of each scheme should be updated on AMFI's website
53. Mutual funds are allowed to borrow
54. Who among the following are not eligible to invest in MF
55. What document Mutual Fund distributors need to refer for finding out eligible category of investors in a particular Mutual Fund Scheme
56. Investments made by a mutual fund on behalf of investors are accounted as
57. The type of funds whose main objective is to hold an optimal mix of investments among cash, equities, and income-producing securities is called as
58. The type of funds whose main objective is to concentrate its holdings in one particular sector, geographic region, or in one capital market is called as
59. Mutual Fund organisation does not involve
60. Which of the following is a type of Factoring
61. Which of the following is not a part of the factoring transaction
62. The type of fund whose main objective is to provide a steady stream of income, and holds bonds issued by either governments or corporations is called as
63. The type of fund whose main objective is to provide long-term growth through equity/stock investments is called as
64. Mutual fund organisations include
65. Which of the following is a type of factoring
66. Following is a party to factoring transaction
67. A merchant bank is a financial institution conducting money market activities and
68. Formal merchant banking activity in India was originated in _____.
69. In India, merchant-banking activity was originated with the merchant banking division set up by the _____
70. State Bank of India started merchant banking in _____
71. ICICI bank started merchant banking in _____
72. The early growth of merchant banking in the country is assigned to the _____.
73. The term 'Merchant Bank' is used in :
74. _____ is regarded as the fourth element of the financial system.
75. _____ number of parties are involved in forfeiting.
76. _____% of the GDP is domestic consumption-based.
77. There are _____ numbers of stages of venture in financing offered in venture capital.
78. In _____ there is no statutory requirement for registration.
79. Financial services is usually _____ focused.
80. Following is importance of Financial services.
81. Following is the Non fund based Service
82. Following is not the Fee based service
83. From the following who cannot act as a Merchant Banker
84. Four major constituents of Financial Service market does not include
85. NBFC is incorporated under
86. Following is a Fee based Service
87. Mutual Fund market is controlled by
88. Share Market is controlled by
89. Which of the following stock exchange is operational in India

90. NHB has been established with an objective to
1. Operate as a principal agency to promote housing finance institutions.
 2. promote housing finance institutions both at local and regional levels.
 3. provide financial and other support incidental to such institutions and for matters connected therewith.
 4. Give housing loans to urban poor
91. Which of the following is a Depository participant operating in India
1. ICICI Securities
 2. HDFC Securities
 3. JP Morgan Securities
 4. Religare Securities
 5. Zeroda
92. Which of the following Indian conglomerate has its presence in all , Banking, Insurance & Asset Management
1. ICICI
 2. HDFC
 3. Kotak
 4. Birla
93. Which of the following documents are required for completing the KYC process
1. Age proof
 2. Address Proof
 3. Photo ID
 4. Marriage certificate
94. KYC process is required for availing which of the following services.
1. Opening a Bank a/c
 2. Opening a Demat a/c
 3. Purchasing Gold ornaments worth INR 1 lakh
 4. Purchasing Units of a mutual fund scheme
 5. Purchasing Life Insurance policy
95. A permanent account number can be used for what of the following
1. Age proof
 2. Address proof
 3. Photo ID
96. A mutual fund scheme has INR 1 crore as total assets under management with zero liabilities. It has a total of 1,00,000 unit outstanding as of 31st march 2020. Calculate the NAV as on 31st march 2020.
97. Mr Natvarlal purchase 1000 units of a mutual fund scheme with INR 100 lakhs as total assets under management and a NAV of INR 10. What will be the total AUM of the scheme after the investment made by Mr. Natvarlal
98. Mr A is 36 years of Age and is the only earning member of his family consisting of his Parent (father aged 64 years & mother aged 59 years) , his wife Aarti aged 32 years. He also has a son, Raul aged 8 years. His total Annual income is 10 lakh P.A. as per you what should be the appropriate life Insurance cover Mr A should have
99. Which of the policies are offered by General Insurance companies operating in India
1. Motor Insurance policies
 2. Endowment policies
 3. Money back policies
 4. Fire Insurance policies

International banking & Finance

1. The market where dealing in currencies take place is called as _____
2. The artificial currency created by IMF to be used as supplementary reserve Assets is called as _____
3. Difference between the value of merchandise exports and imports is called _____
4. Broad measure of a country's international trade in goods & services are called _____
5. Account reflecting changes in country ownership of long term and short term financial assets are called _____
6. _____ is a sum of all invisible service receipts and payments in which the sum could be positive or negative or zero.
7. When a country experiences _____, its interest rates are likely to fall
8. Which of the following is not an advantage of full capital account convertibility?
9. Under a gold standard _____
10. International Bank for Reconstruction and development is also popularly called as _____
11. The _____ is an International reserve asset, created by the IMF in 1969 to supplement its member countries official reserves
12. _____ regulates SDRs which would accept as reserves and use for settlement of International payments.
13. The Smithsonian agreement was abandoned in March _____
14. The collapse of the following system is related to Triffins paradox
15. A floating exchange rate _____
16. The current system of International finance is _____
17. _____ is the act of trading different currencies
18. In a floating exchange rate system, the market clears itself through a _____ mechanism.
19. In a _____ exchange rate system the government or central bankers intervene to keep the exchange rate virtually fixed.
20. The exchange- rate system that best characterizes the present international monetary arrangement used by industrialized countries is _____
21. Which exchange rate system does not require monetary reserves for official exchange rate intervention?
22. In a _____ a foreign company issues Bond denominated in a currency which is not the home currency of the investors
23. _____ refers to a bond issued & sold outside the home country of currency.
24. _____ refers to an investment in or getting hold of foreign assets with the aim to control and manage them
25. _____ is an Investment that a parent company makes in a foreign country
26. _____ is an investment made by an investor in the markets of a foreign nation
27. _____ bonds are the bonds floated in the domestic market denominated in domestic currency by non – resident entities
28. GDR's can be converted into shares, Shares can be converted into GDR's. this is called _____
29. In the case of an _____ offerings the bonds convert into shares of the company that issued the bonds
30. In case of an _____ offering, the bonds are convertible into shares not of the issuer company, but that of another company forming part of its group.
31. _____ is a negotiable instrument issued by the international depository bank representing foreign company's stock trading globally.

32. _____ allows foreign companies to mobilize funds from Indian Market.
33. SEBI has set _____ as the lower limit for the IDRs to be issued by the Indian companies.
34. The minimum investment required in the IDR issue by the investors has been fixed at _____ by SEBI
35. _____ is issued locally by a domestic borrower usually denominated in the local currency.
36. A Japanese company issuing bonds in Yen currency in Japan is an example of _____
37. _____ is issued in a local market by a foreign borrower – usually denominated in the local currency.
38. A Japanese company issuing US dollar denominated bonds in the US market is example of _____
39. _____ placed mainly in countries other than the one in whose currency the bond is denominated
40. A Japanese company issuing Yen denominated bond in th US market is example of _____
41. The main risk associated with domestic bonds is the risk of _____
42. In case of _____ offering , the bonds convert into shares of the company that issued the bonds.
43. _____ are instruments issued by registered foreign institutional investors(FII) to overseas investors ,who wish to invest in the Indian stock markets without registering themselves with the market regulator, SEBI
44. Forex market play a critical role in facilitating _____
45. An act which is enacted to regulate payments and foreign exchange in India is _____
46. _____ an act initiated to facilitate external trade and payments and to promote orderly management of the forex market in the country.
47. All operational aspects of interbank market are governed by guidelines and code of conduct of _____
48. Function of FEDAI is _____
49. RBI and FEDAI issue guidelines to all banks regarding risk to risk to _____
50. If the bid points are higher than the ask points, the spot rate has to be made _____ to find the forward rates.
51. If the bid points are lower than the ask points , the spot rate has to be made _____ to arrive at the forward bid ask rate.
52. Bid – Ask spread of forward rate is always-_____ than the spot bid ask rates.
53. Sum of the bid- ask spreads of the spot rate and forward points should _____ the bid-ask spread of the forward rate.
54. This rate denotes the number of units of a currency a bank is willing to pay when it buys another currency is called_____
55. This rate denotes the number of units of currency a bank will want to be paid when it sells a currency is called _____
56. Price of foreign currency in terms of national currency is _____ quote
57. Price of national currency in terms of foreign currency is _____ quote
58. The risk of an exchange rate changing between the transaction date and the subsequent settlement date is called _____
59. When a country experiences _____ its interest rates are likely to fall
60. _____ is a financial risk that exists when a financial transactions is denominated in a currency other than that of a base currency of the company
61. _____ is where you can buy and sell a currency, at a fixed future date for a pre determined rate.

62. The process through which the treasurers try to reduce/eliminate the loss that may result from an adverse movement of foreign exchange rates _____
63. The risk that a government may default on its debt obligation _____
64. Trade between companies in two different countries is called as _____
65. _____ play an important role in strengthen the banking Sector
66. The process of recording of transactions through the utilisation of processing power computer _____
67. Alternative virtual currency which is similar in functioning as Bitcoin
68. The first and the most popular virtual currency which can be stored in E – Wallet
69. The first virtual currency which was released for smooth peer to peer transaction _____
70. The crypto transactions are verified by network nodes and recorded in a public distributed ledger called as _____
71. The electronic payment system through which forex remittances are made is _____
72. _____ is an NRI account that can be opened by depositing foreign currency in the account.
73. _____ is a rupee denominated NRI ac
74. _____ are fixed deposit NRI a/c
75. Pre shipment finance is also called as _____ credit.
76. Assurance given by the importers bank about the financial credibility of the borrower is called as _____
77. A letter off credit that can be used for multiple transactions where the credit limit is not fixed is a _____ L/C
78. The bank which opens the letter of credit in favour of beneficiary is known as _____
79. There is a _____ loan agreement in case of a syndicated loan
80. The loan amount contributed by several lenders in a syndicated loan
81. Which of the following is /are disadvantages of Floating exchange rate
1. Increase volatility
 2. Increase the exchange rate risk
 3. Inflationary pressure
 4. Market forces of demand & supply
 5. Speculative capital movements
82. Which of the following are the features of Bretton Woods system
1. USD as a Universal reserve asset
 2. The Nixon Shock
 3. Fixing value of Gold in USD
 4. Unconditional guarantee by US federal Reserve Bank
 5. IMF assistance
83. Which of the following is a Type of Risk associated with International Investments.
1. Default risk
 2. Bank Risk
 3. Foreign Risk
 4. Interest rate risk
 5. Political Risk
84. Bond market is divided into which of the following three categories
1. Domestic Bonds
 2. Foreign Bonds
 3. Indian Bonds
 4. Euro Bonds
 5. Asian Bonds

85. Calculate Inverse quote
GBP 1= INR 99.1100/99.9900
86. If USD INR = 60.2530/60.2528
GBP/USD =1.6260/1.6265
Find GBP INR
87. EUR USD =1.5160/1.5220
Calculate Midrate & Spread
88. You are given the following USD quotes
Spot INR 60.50/60.60
2 month Forward 0.20/0.10
Calculate 2 months forward rate
89. Which of the following are advantages of using foreign currency swaps
1. Adjusting mismatch of Maturities
 2. Providing optimum borrowing arrangements
 3. Funding foreign currency accounts
 4. Give guaranteed returns
 5. Eliminate rate risk in Investment transactions
90. Which of the following influences profitability in International lending
1. Exchange rate
 2. Interest rate
 3. Hedging tools
 4. Investment avenues
 5. Forex regulations

RESEARCH METHODOLOGY

TYBBI SEM 5

1. Research is search for _____
2. _____ of research is to identify the problem
3. Applied research is _____ oriented.
4. _____ research establishes cause and effect relationship
5. Two variables are called _____ Variables.
6. Qualitative research is _____
7. Research design is a _____ of the whole research activity.
8. _____ hypotheses establish no relationship among variables.
9. Sampling involves both design choice and _____ size.
10. In _____ sampling method, sample units are selected at random.
11. _____ is obtained by selecting 'convenient' population unit.
12. _____ is a type of non-random sampling and is also called purposive sampling or deliberate sampling.
13. _____ is a non-probability samples in which selection of additional respondents is based on referrals from the initial respondents.
14. _____ methods are those in which every item in the universe has a known chance, or probability, of being chosen for the sample.
15. _____ creates the foundation of the entire research work.
16. _____ is determined before data are collected.
17. _____ is any process of preparing and collecting data.
18. _____ is research done simply to find out something by examining anything.
19. _____ is a specific type of research that involves critical thinking skills and the evaluation of facts and information relative to the research being conducted.
20. Primary data is _____
21. Observation method gathers _____ data.
22. In _____ observation subjects do not know they are being observed.
23. _____ is the procedure to test questionnaire.
24. _____ data is also known as recorded data from published sources.
25. Response rate is _____ in personal interview technique.
26. Too much dependence on secondary data is _____.
27. For telephone survey, the questionnaire should be _____.
28. Experimental method of data collection is _____ and _____.
29. Sample is a small representative of the _____ population.
30. In Multiple choice questions, choice given restricted to _____.
31. Pilot questionnaire is followed by _____ questionnaire.
32. Limitation of primary data is that it is _____.
33. Limitation of secondary data is that it is _____.
34. The method of collecting data through mailing of questionnaires to respondent is called _____.
35. Before using _____ method, it is always advisable to conduct 'pilot study'
36. _____ questionnaires are those in which the questions are definite.
37. In _____ fixed alternatives answers are given so respondent can choose appropriate one.

38. _____ questions are designed to allow free response on the subject where the issue is identified.
39. Dichotomous questions are also called as _____.
40. Data processing does not consist of _____.
41. _____ is an abbreviation - a number of an alphabet
42. While editing the following point must be scrutinized
- A. Whether the data is reliable and accurate
 - B. Whether all questions have been answered
 - C. Whether all the schedules are uniform
 - D. Whether the data is reliable and accurate, whether all questions have been answered, whether all the schedules are uniform.
43. One of the essentials of coding is _____
44. One of the essentials of table is _____
45. _____ refers to the task of drawing inferences from the collected facts after an experimental study.
46. Interpretation of the data has become a very important because of _____.
- A. More understanding
 - B. findings the reasons
 - C. in-depth knowledge
 - D. More understanding, findings the reasons, in-depth knowledge
47. _____ analysis refers to statistically describing, aggregating, and presenting the constructs of interest or associations between these constructs.
48. Coded data can be entered into _____.
49. _____ analysis refers to a set of statistical techniques that can describe the general properties of one variable.
50. _____ analysis examines how two variables are related to each other.
51. _____ compares a sample mean to a known population mean.
- A. Paired Samples T-Test
 - B. One-Sample T-Test
 - C. ANOVA technique
 - D. F-test
52. _____ compares two sample means from the same population regarding the same variable at two different times.
- A. Paired Samples T-Test
 - B. One-Sample T-Test
 - C. ANOVA technique
 - D. F-test
53. _____ is used to investigate any number of factors which are hypothesized or said to influence the dependent variable.
- A. Paired Samples T-Test
 - B. One-Sample T-Test
 - C. ANOVA technique
 - D. F-test
54. _____ can be used to test the hypothesis that the population variances are equal.
- A. Paired Samples T-Test
 - B. One-Sample T-Test
 - C. ANOVA technique
 - D. F-test

55. Data processing is the conversion of _____ data to meaningful information.
56. _____ is the process of eliminating errors.
57. _____ saves time during data analysis
58. Editing of data is a _____ job.
59. Interpretation is the _____ of the research process.
60. _____ is the middle value.
61. A statistical tool with the help of which we can find the degree of relationship that exists between two or more variables is technically called _____.
 - A. Correlation
 - B. Regression
 - C. Causation
 - D. Coefficient of determination
62. The correlation of a sample is represented by the letter _____.
63. If there is no correlation between the two variables, then it is called _____ correlation.
64. The range of possible values for a correlation is between _____.
 - A. -1 to +1
 - B. 0 to + 1
 - C. -1 to + 0
 - D. -2 to +1
65. _____ is a statistical method with the help of which we can estimate value of one variable for the given value of the other variable.
66. Application of regression is found in _____.
 - A. Predictive Analytics
 - B. Operation Efficiency
 - C. Supporting Decisions
 - D. Predictive Analytics, Operation Efficiency, Supporting Decisions
67. Factor analysis is a technique that requires a _____ sample size.
68. _____ analysis is used when we believe that the sample units come from an unknown number of distinct populations or sub-populations.
69. _____ analysis is a multivariate method which aims to classify a sample of subjects.
70. _____ analysis is a visual representation of distances or dissimilarities between sets of objects.
71. "Objects" can be _____.
72. _____ the last activity of the research process.
73. A research report provides _____ about a particular matter or subject.
74. A written format of a research work is known as _____.
75. A main body of report includes _____.
76. Title page includes _____.
 - A. Name of the candidate
 - B. Submission Month & Year
 - C. Title of the thesis
 - D. Name of the candidate, Submission Month & Year, Title of the thesis
77. Reference material includes _____.
78. _____ includes the acknowledgement to the persons and sources that have been helpful to the investigator.

79. _____ lists all the main chapter headings and the essential sub-heading in each with the appropriate page numbers against each.
80. _____ consists of the titles or captions of the tables included in the thesis along with the page number where these can be located.
81. _____ is the last section of the research report.
82. Technical report is _____ to understand.
83. _____ is designed for publications in a professional journal.
84. _____ constitute the heart of research report.
85. Research abstract is a summary of _____ report.
86. Match List-I (Interviews) with List-II (Meaning) and select the correct answer from the code given below:

List - I (Interviews)

- (a) structured interviews
- (b) Unstructured interviews
- (c) Focused interviews
- (d) Clinical interviews

List - II (Meaning)

- (i) greater flexibility approach
- (ii) attention on the questions to be answered
- (iii) individual life experience
- (iv) Pre determined question
- (v) non-directive

87. Which of the following options are the main tasks of research in modern society?
- (I) to keep pace with the advancement in knowledge.
 - (II) to discover new things.
 - (III) to write a critique on the earlier writings.
 - (IV) to systematically examine and critically analyse the investigations/sources with objectivity.
- a. IV, II and I
 - b. I, II and III
 - c. I and III
 - d. II, III and IV

88. From the list given below identify those which are called Non-probability sampling procedures':

- (i) Simple random sampling
- (ii) Dimensional sampling
- (iii) Snowball sampling
- (iv) Cluster sampling
- (v) Quota sampling
- (vi) Stratified sampling

89. The components of a research design are:

- (a) Comparison
- (b) Control
- (c) Reactivity
- (d) Manipulation
- (e) Non representativeness
- (f) Generalization

90. In the list given below, identify those statements which correctly describe the meaning and characteristics of research.

- (i) Research is a method of improving our common sense.
- (ii) Deductive and inductive methods get integrated in a research process.
- (iii) Research is creativity and charisma.
- (iv) Research is the use of scientific method to provide answers to meaningful questions.
- (v) Method of consulting and using experience is called research.
- (vi) The answers provided by research can be empirically verified.

Choose the correct answer from the code given below:

Code:

- a. (ii), (iv) and (vi)
- b. (i), (ii) and (iii)
- c. (iv), (v) and (vi)
- d. (i), (iii) and (v)

91. There are two sets given below. Set – I specifies the types of research, while Set –II indicates their characteristics. Match the two and given your answer by selecting the appropriate code.

Set – I (Research types)

- (a) Fundamental research
- (b) Applied research
- (c) Action research
- (d) Evaluative research

Set – II (Characteristics)

- (i) Finding out the extent of perceived impact of an intervention
- (ii) Developing an effective explanation through theory building
- (iii) Improving an existing situation through use of interventions
- (iv) Exploring the possibility of a theory for use in various situations
- (v) Enriching technological resources

92. Which of the sets of activities best indicate the cyclic nature of action research strategy?

- (1) Reflect, Observe, Plan, Act
- (2) Observe, Act, Reflect, Plan
- (3) Act, Plan, Observe, Reflect
- (4) Plan, Act, Observe, Reflect

93. In which of the following activities, potential for nurturing creative and critical thinking is relatively greater?

- (1) Preparing research summary
- (2) Presenting a seminar paper
- (3) Participation in research conference
- (4) Participation in a workshop

94. Which of the following is the most likely code book entry for a three point satisfaction scale?

- a. 1= satisfied, 10= very satisfied, 100= extremely satisfied
- b. 1= satisfied, 2= extremely satisfied, 3=extremely dissatisfied
- c. 1= dissatisfied, 3= satisfied, 5= very dissatisfied
- d. 1=dissatisfied, 2= neither dissatisfied or satisfied, 3= satisfied

95. 'Please circle your main mode of transport to university: 1: Walk, 2: Bicycle, 3: Bus; 4: Train; 5: Car, 6: Other'. This question is _____.

Strategic Management TYBBI Sem V: Sample Questions

Unit 1:

- 1) The elements of strategic Management are ----
- 2) _____ in one of the three parts of Strategic Choice.
- 3) BCG matrix quadrant has the following quadrants---
- 4) The element not in the list of the McKinsey 7S model are ----
- 5) -----are units or products that have both a low market share and a low growth rate.
- 6)_____ factor affects Industry attractiveness.
- 7) McKinsey 7 –S Framework was developed by -----
- 8) In McKinsey 7Ss models hard elements include ----
- 9) Porter's five forces includes ----
- 10) The business units or products that have the best market share and generate the most cash are considered as -----
- 11) Horizontal Integration is considered with _____
- 12) _____ refers to formal & informal rules, regulations that complement the company structure.
- 13) Micro environment is the __ environment of a company.
- 14) _____ enables the strategists to take corrective action at the right time.
- 15) _____ is the direction & scope of an organization over the long term.
- 16) The highest level of strategic decisions is taken at _____ level.
- 17) The first step in the process of Strategic Management is _____.

Unit 2 :

- 1) The process of collecting scrutinizing and providing information for strategic
- 2) ----- is a part of consumer protection Act.
- 3) To ensure fair and regular return on investments is the social responsibility of business towards—
- 4) ----- is a law to protect workers.
- 5) Reduce carbon emissions -----is part of Business Environment
- 6) -----is formulated at the top level by the top management.
- 7) _____ factor affects Business Unit Strength.
- 8)----- is an action that managers take to attain one or more of the organization's goals.
- 9) Changes in the government policy is the ----- factor Affecting Business.
- 10) To provide fair and just wages and allowances is the social responsibility of business towards—
- 11) Like roots of a tree, _____ of organization is hidden from direct view.
- 12) Changes in Company _____ also necessitates changes in the system in various degrees.
- 13) Criteria making an evaluation is _____.
- 14) The major issue of appraisal system is _____
- 15) _____ is the process by which a firm manages the formulation & implementation of its strategy
- 16) Which is not a part of strategy formulation?
- 17) _____ is not a part of International Strategy life cycle.

UNIT 3

1. The fundamental purpose of an organization's mission statement is to _____.
2. The acronym SWOT stands for _____.
3. Which of the following is an issue considered in developing corporate strategies?
4. Competitive advantage can best be described as:
5. _____ is the foundation of blue ocean strategy.

6. The primary focus of strategic management is:

7. Which of the following defines what business or businesses the firm is in or should be in?
8. Which of the following focuses on supporting the corporate and business strategies?
9. Which one of the following is at the core of strategic management?
10. The corporate level is where top management directs:
11. _____ strategy is a Corporate level strategy.
12. _____ strategy involves redefining the business
13. The reasons for acquisitions are _____
14. Market Research is conducted by _____
15. Vertical Integration is concerned with _____
16. ETOP stands for _____.
17. _____ cost accounting measures the cost of producing & ignores the cost of non-producing.

Unit 4:

1. Sudden change in government, natural calamities, terrorist attacks, industrial disasters can be controlled through _____.
2. Which of these requires combination among many people?
3. Which is not the criteria for strategic audit?
4. Process pertaining to development & delivery of product(s) and/or services does not include _____.
5. Programmes lead to the formulation of _____.
6. _____ is meant for replacement of the old process by altogether new one to achieve dramatic improvement in the performance.
7. Which of these focuses on effectiveness?
8. Which is not the type of organizational control?
9. _____ are the desired end results of the redesign process which the management and organization attempts to realize.

_____ helps in improving performance by learning from the best practices & the processes by which they are achieved.
10. Financial environment is concerned with _____

11. Harvest strategy is used for _____.
12. Which step of the process model is about consumers?
13. How many different levels of strategy are there?
14. Where does feedback occur?
15. Which level is about business units?
16. _____ is the process of seeking information about relationship & events in the external environment.

Unit 5

1. What is happening to strategy evaluation with the passage of time?
2. The process of finding out the effectiveness of strategic control is through _____
3. Control can be exercised with the help of _____.
4. Evaluation of plan, policies and programmes is done through _____
5. The first step in the Strategic evaluation process is _____
6. Company's ability to follow a plan is a _____ factor.
7. The primary external force for a company is _____
8. Adjusting strategic operations is an essential technique of _____
9. _____ controls may be either manual or automated, and can involve people, processes, and technology.
10. The _____ is a strategic planning and management system that organizations use.
11. The _____ perspective looks at your overall corporate culture
12. The _____ perspective focuses on the people who actually buy your products and services.
13. The _____ perspective looks at how smoothly your business is running.
14. _____ is the barrier for which strategic evaluation and control (SEC) system fails
15. According to Kaplan and Norton, what should be the main perspective of the balanced scorecard?

16 _____ proposed the concept of Balanced Score card.

17. Norton and Kaplan recommend that a separate balanced scorecard be developed for

-
-
1. Choose the correct sequence Decision making process.
 2. Choose the correct sequence of the Strategic Management Process
 3. Choose the correct option regarding the Micro External Environment
 4. Choose the correct option regarding strengths in SWOT Analysis.
 5. Choose the correct sequence for strategic choice
 6. Choose the correct option regarding vertical integration
 7. Choose the correct sequence of strategy implementation
 8. Choose the correct option regarding advantages of Matrix Structure
 9. Choose the correct sequence of Benchmarking
 10. Choose the correct sequence of strategic control

Auditing

- (1) _____ means the auditor should not disclose this information of the client anywhere outside India
- (2) When the transaction has been entered in the books wrongly it is called as error of _____.
- (3) Audit of small enterprise is generally known as _____
- (4) Audit conducted between two annual audits is called as _____.
- (5) _____ means showing the books of accounts attractive
- (6) Auditor must inform the registrar in writing of his acceptance or refusal of the appointment within _____ from the days from the receipt of appointment of letter
 - a. 30 days
 - b. 45 days
 - c. 35 days
 - d. 20 days
- (7) _____ is a book, which is maintained by audit staff
 - a. Audit note
 - b. Working Paper
 - c. Audit Programme
 - d. Client's book
- (8) Audit Planning refers to developing an overall plan for _____.
 - a. Scope & conduct of audit
 - b. Potential Problems
 - c. Resources
 - d. Financial Planning
- (9) _____ % of total deposits should be covered under concurrent audit
 - a. 50
 - b. 60
 - c. 70
 - d. 80
- (10) _____ is refer to record of observing, summaries, and comments of auditor

- a. Working Paper Annual Report b. Audit Programme c. Audit notebook d.

(11) _____ means part of profit kept aside for future use

- a. Window dressing Working papers b. Secret reserve c. confidentiality d.

(12) When the same transaction is recorded twice in the book it is called as Error of _____.

(13) Statutory Auditor is responsible for _____

(14) Audit Conducted continuously as transaction takes place is _____.

(15) The primary objective of Audit is _____

(16) Information about client's business can be collected from _____.

(17) Trial balance is part of _____ audit file

(18) MOA is the part of _____ audit file

19) Before the work of Audit is commenced, the auditor plans out the whole of audit work is called _____

(20) In large organizations it is impossible to check each transaction and it is known as _____

(21) Which of the following is not one of the three main reasons why the auditor should properly plan engagements?

22. The main object of an audit is ____

23. A sale of Rs. 50,000 to A was entered as a sale to B. This is an example of _

24. As per AAS-4 if auditor detects an error then_____

25. The most difficult type of misstatement to detect fraud is based on:

26. In India, balance sheet audit is synonymous to-

- a) Annual audit
- b) Continuous audit
- c) Detailed audit
- d) Statutory audit

27. Balance sheet audit includes verification of_

28. Balance sheet does not include-

29. Of the following, which is the least persuasive type of audit evidence?

The working papers which auditor prepares for financial statements audit are : _

30. The quantity of audit working papers compiled on engagement would most be affected by-

31. The current file of the auditor's working papers, generally, should include-

32. Which of the following methods of sample selection is least suitable for extrapolating results to the population?

33. Who is responsible for the appointment of statutory auditor of a limited company?

34. Auditing ends when _____ starts

35. Auditor should be dutiful like a _____

36. **The independent auditor's primary responsibility is to_____**

37. Which of the following are you unlikely to see in the current file of auditors' working papers_____

38. _____ followed by the enterprise affect the audit plan.

- a) Accounting policies
- b) Audit policies
- c) Accounting and Audit policies**
- d) Management policies

39, _____ contains information pertaining to financial history, memorandum of association, articles of association of a company.

- a) Permanent audit file**
- b) Current audit file
- c) Test audit file
- d) Permanent and Current file

40. _____ is the cash purchase related voucher.

- a) Cash bill
- b) Cash memo
- c) Goods inward book
- d) Cashbill , Cash memo and Goods inward book**

41. The auditor has a right to-----

- _____.
- a) Take legal & technical advice
 - b) Sign the audit report
 - c) Receive remuneration
 - d) Legal, Technical and Receive remuneration**

42. Essentials of good audit report includes----- _____.

- a) Simplicity
- b) Clarity
- c) Firmness

d) All of the above

43. _____ is a type of voucher.

- a) Template voucher
- b) Adjustment voucher
- c) Reversal voucher
- d) All of the above**

44. Misstatements can arise from _____.

- a) Error
- b) Fraud
- c) Both (a) and (b)**
- d) None of the above

45. Vouching is done _____.

- a) End of the year
- b) Throughout the year**
- c) Beginning of the year
- d) None of the above

46. _____ contains information pertaining to financial history, memorandum of association, articles of association of a company.

- a) Permanent audit file**
- b) Current audit file
- c) Test audit file
- d) None of the above

47. A reason to establish internal control is to_____

- a. Have a basis for planning the audit
- b. Encourage compliance , reliability and timelessness of information
- c. Ensure the accuracy, reliability and timelessness of information
- d. Provide reasonable assurance that the objectives of the organizations are achieved.**

48. The following is a component of Internal control

- a. Legal environment
- b. Organisational structure

- c. Control Environment
- d. Risk assessment process

49. In an audit of financial statements, an auditor's primary consideration regarding a control is whether it

- a. **Affects managements financial statement assertions**
- b. Enhance Management' decision making processes
- c. Provide adequate safeguards over access to assets
- d. Reflect management's philosophy and operating cycle

50. **Internal controls are grouped into the following categories:**

- a. **Efficient operations, financial analysis, and management reporting**
- a. Effective operations, financial reporting, and compliance.
- b. Efficient operations, financial analysis, and compliance.
- c. Production and operations, financial reporting, and management reporting.

51. The purpose of audit and investigation is

- a) Same
- b) Different
- c) Sometimes same and sometimes different
- d) **Truthfulness and fact**

52. The objective of tax audit is to assist the ----- in making the correct income tax assessment of the assessee concerned

53. Balance sheet audit is also known as _-----_

54. Which type of audit is conducted by the Internal audit staff____

55. Which of the following is an importance of vouching?
56. Checking the head of account debited or credited during vouching helps the auditor to
57. Process of checking the evidence of the entries called _____.
58. Serial number of vouchers should be _____.
59. Voucher should be addressed to the _____.
60. Vouching helps the auditors to ascertain whether the entries in the book _____, this is the basic objective of auditing.
61. Which of the following documents is not relevant for vouching cash sales?
62. To test whether sales have been recorded, the auditor should draw a sample from a file of
63. In order to vouch, which of the expenses, the auditor will examine Bill of Entry?
64. In case of unclaimed wages, the auditor should examine whether-
65. In case of sales return, the auditor should examine which documents?
66. Which of the following is most crucial to a purchase department?
67. The creditors accounts, generally, have credit balance. Debit balance may be due to-
68. Which of the following is not true about verification of assets?
69. Which of the following assets is least likely to be subjected to lien?
70. When counting cash on hand the auditor should ____

71. Inspection report/receiving report supports entries in
72. ----- of the companies Act 1956 prescribes the duty of preparing a report by an auditor
73. Which among the following is an example of intangible asset?
74. _____section of Companies Act deals with share Capital
75. Verification of assets involves a critical examination of -----
.
- 76.** The balance of petty cash is _____
77. Which of the following payment is made from petty cash_____
78. When cash is drawn from bank for business use the entry type will be?
- 79. Depreciation in spirit is like?**
80. Which o **f the following is not a primary function of a Bank?**
81. KYC means
- 82.** Which type of deposits earns higher interest rate?
- a) Current account
 - b) Savings Account
 - c) Fixed Deposits

d) Recurring account

83. Maximum tenure of Fixed Deposit is

- a) 5 years
- b) 7 years
- c) 8 years
- d) 10 year

84. Which shareholders are returned their capital after some specified time:

- (A) **Redeemable Preference Shares**
- (B) Irredeemable Preference Shares
- (C) Cumulative Preference Shares
- (D) Participating Preference Shares

85. Reserve Capital is a part of -----

- (A) Paid-up Capital
- (B) Forfeited Share Capital
- (C) Assets
- (D) Capital to be called up only on liquidation of company

86. The independence of an internal auditor will most likely be assured if he reports to the ----

- a) President Finance
- b) President System
- c) Managing Director
- d) CEO

87. For which of the following , Audit is optional

- a. Trusts
- b. Joint Stock Companies

- c. Proprietorship concern
- d. Sole trader

88. _Expenses incidental to purchase of fixed assets are_

- a . Debited to fixed asset
- a. Credited to fixed asset
- b. Debited to plant & Machinery
- c. Credited to Plant & Machinery

89. Auditor should see that the company concerned is the----- ____ __of the concern

- a. Register owner
- b. Owner
- c. Management
- d. Employee

90. Auditor Should verify_----- system while checking all the balance sheet

- a. Current assets
- b. Fixed Liabilities
- c. Current Liabilities
- d. Assets

91. Auditor should obtain list of ---- while verifying proposed dividend

- a. Shareholders
- b. Directors
- c. Suppliers
- d. Distributors

92. Auditor should confirm that any ----- are not shown as reserves

- a. Losses
- b. Provisions**

- c. Depreciation
- d. Profit

93. In case of calls in arrears , any calls due from ----- are shown separately in balance sheet

- a. Directors
- b. Shareholders
- c. Suppliers

- d. distributors

94. Realization from Debtor's should be as per the ----- of the concern

- a. Credit policy
- b. Debit policy
- c. Purchase policy
- d. Sales policy

95. Auditor should ensure that the ----- life of the patent has not yet been expired

- a. Legal
- b. Illegal
- c. Document
- d. Proof

96. In case of sale of furniture, auditor should ascertain that the----- on such sale has been correctly calculated

- a. Profit or loss
- b. Balance sheet
- c. Liabilities
- d. Assets.

97. Fictitious assets are to be -----

- a . **Written off**

- b . bad debts
- c . Reserve for bad and doubtful debts
- d . Profit & loss

98. Sales commission is generally calculated as a ----- of total sales made by ascertain

- a. Percentage**
- b. Commission
- c. Factor
- d. Discount

99. Salary is vouched based on -----

- a. Salary register
- b. Cash book
- c. Logbook
- d. Accounts.

100. Auditor should check the position of amount deposited in the bank which were----- at the close of the year.

- a. Outstanding
- b. Prepaid
- c. Interest
- d. Salary

BUSINESS ETHICS AND CORPORATE GOVERNANCE

TY BBI- Semester V- Sample Questions

UNIT I

1. Who propounded Utilitarian Approach?
2. The word Ethics is coined from _____ word 'Ethikos' which means character.
3. Which ethics affect family, relations, and finances ?
4. _____ ethics are the principles which are introduced to an individual in a professional Organization.
5. To carry out the transaction, the parties must accept the principles of _____
6. _____ is about obeying and adhering to rules and authority.
7. For business _____, business ethics is compulsory.
8. Business should not co-operate with any one for doing any _____ act.
9. Business Ethics is a _____ term
10. _____ is any creative work or invention considered to be the property of its creators .
11. In making ethical decisions, it is necessary to perceive and eliminate _____ options and select the best ethical alternative.
12. Professional ethics means _____
13. Rules and principles set by management is termed as _____
14. Which type of the Ethics harm others?
15. The meaning of transactional ethics is _____

16. Which one of the following is not related to professional work?
17. Handling of conflicting situations or problematic situation is an example of _____
18. Which one of the following is not a principle of ' Business Ethics? '
19. Following Rules and Regulations is an example of _____
20. Window dressing is an example of _____
21. Issues affecting privacy of employees- Workplace surveillance comes under _____ ethics.
- 22.. ' Black and Gray market' is a term used in _____ Ethics.
23. Ethics in Production is nothing but use of _____.

Unit II – Application of Ethical Theories in Business

1. For business survival _____ ethics is necessary.
2. Holders of ethical dilemmas are called _____
3. _____ is a moral situation where a choice has to be made between two equally undesirable alternatives .
4. Marketing Mix means _____
5. Highlighting the performance of the product more than its actual means _____
6. The Greek word 'Deon ' means _____.
7. 'Deontology ' is an ethical theory proposed by _____ philosopher.
8. Virtue Ethical theories are _____.
9. Aristotle identifies approximately _____ virtues that enable a person to perform their human function well.
10. _____ is a socio-economic philosophy that was propounded by Mahatma Gandhi..
11. The fundamental concept of Trusteeship is about _____, _____.
12. Which one of the following is not a part of '**Gandhian approach to management** philosophy?

13. Kant's Theory that we have an obligation to act in a way that we would only concede that every one else could act as well.

14. Who said " We should behave with others as we wish others to behave with us ?"

15. An example of an unethical advertisement would be _____

16. GAAP / IFRS comes under ethical issues in _____.

17. Which one of the following belongs to Ethical Issues in Business ..

Unit III- Introduction to Corporate Governance

1. Which of the following would most effectively act as the primary objective of a business organization?

2. Which one of the following does not belong to Ethics relating to Copy Rights..

3. What is the full form of WIPO?.

4. Ethics in Free and Perfect Market means _____.

5. Industrial designs are an example of _____.

6. International Financial Crisis of 2007-2008 is also known as _____

7. _____ committee belongs to Corporate Governance history of India.

8. CII was established in the year _____.

9. Disclosure and Transparency is one of the principle of _____.

10. The full form of CII is _____.

11. Which one of the following is termed as unethical practice in marketing.

12... Which one of the following does not belong to 'Ethics in Marketing ?'

13.. _____ is the system by which companies are directed and controlled .

14.. Short term profit at the cost of losing a customer is long term death for the _____.

15. Which one of the following does not belong to the theories of Corporate Governance ?

16. Which of the following is NOT an example of a genuine business innovation?

17. What is meant by 'Separation of ownership and control?'

Unit IV – Genesis and Implementation of Corporate Governance in India

1. The _____ is the Title of a handbook for running an empire written by Kautilya.
2. The title 'Arthashastra' is a _____ which is normally translated as the 'Science of Material Gain'.
3. _____ philosophy is based on the principles of "Sam, Dam, Dand, Bhed"
4. Principles of _____ Niti are still practiced by some top corporate houses.
5. 'The end justifies the means' this is supposed to be the basis of _____ Machiavellian philosophy.
6. '_____ ' or 'the welfare of the people was the ultimate goal of any ruler or government.
7. CII code for desirable Corporate Governance developed by a Committee chaired by _____.
8. SEBI to constitute a Committee under the chairmanship of _____ to suggest changes in the Listing Agreements.
9. 'The Agency gap' in western economies represents the gap between the _____ of Management and dispersed shareholders.
10. Board meetings shall be held at least _____ times a year , with a maximum gap of _____ months between any two meetings.
11. The Chairman of the audit committee will be an _____ director.
12. The Company's Act , 2013, requires an independent Director to review the performance of the _____ Directors
13. _____ which is an Apex Body for the development of Accountancy in India.
14. _____ is preached in the battle of Kurukshetra by Lord Krishna.
15. _____ issues are concerned with performance of the Management.
16. As per the revised clause 9, the company through the Board of Directors shall constitute a _____ committee.

17. The new CSR regime is based on _____ approach to stringently push big corporate giants to take initiative towards their duty to contribute towards their CSR activities .

Unit V – Global Scenario- Business Ethics in Global Economy

1. Government of India has introduced the negotiable Instruments Act 1881, which provides for provisions to deal with cases of _____ under section 138 to 142.

2. _____ is defined as any behavior by which a person intended to gain a dishonest advantage over another.

3. _____ exploits a system in which , when a cheque is deposited to a bank account , the money is made available immediately even though it is not removed from the account on which the Cheque is drawn until the Cheque actually clears.

4. Surrender is a voluntary terminating the _____ policy by the insured before maturity or the insured event occurs .

5. Cut the Red Tape' - is one of the measures to overcome _____.

6. _____ was facilitated by UNGC. It was introduced in 2018 to employees with a procurement or sales role.

7. To ensure best practice , organizations need both to measure their _____ performance and to foster open _____.

8. _____ is a confident trick or confident game , which is an attempt to intentionally mislead a person or persons usually with the goal of financial or other gain.

9. _____ is a widely publicized allegation or set of allegations that damage (or tries to damage) the reputation of an Institution ., individual or creed .

10. During _____ the politicians try to lure the people by offering money and other things.

11. Due to corruption India is unable to eradicate _____.

12. Business is extremely a wide term in the business world at _____ as well as _____ level.

13.Ethics are important not only in business but in all aspects of life because it is an essential part of the foundation on which a _____society is build

14._____ business is the oldest and most common mode of economic organization.

15.Punishing corruption is a vital component of any effective _____ effort.

16.To make concept of Zero Tolerance of Corruption meaningful it was decided to convert it

17.India has no _____ detective agency which can investigate with full power and freedom to expose the corrupt individuals.

Q2. Answer the following questions : (Each question carries 2 mark)

1. Professional ethics means _____

2.Ethics in compliance means_____, _____ , _____.

3. Marketing Mix means_____

4.Which one of the following is not a key tenet of a Trusteeship?

5.What is the full form of WIPO?.

6.According to clause 49 on Independent Directors . What should be minimum age of Independent Director?

7.Match the following

A Group	B Group
A. CII	i.20007-8
B. International Financial Crisis	ii.2009
C. Disclosure and Transparency	iii. OEDC
D. Unethical Practice	iv. Misinterpretation

7.Board meetings shall be held at least _____times a year , with a maximum gap of _____months between any two meetings.

8.Challenges frequently encountered by family business involves :

9. Mandatory recommendations of Kumar Mangalam Committee.

10. What is the meaning of Fraud?
