**SESSION AUG/SEP 2022**

**PROGRAM MASTER OF BUSINESS ADMINISTRATION (MBA)**

**SEMESTER III**

**COURSE CODE &amp; NAME DFIN403 – MERCHANT BANKING &amp; FINANCIAL SERVICES**

**CREDITS 4**

**Assignment Set – 1**

**1. Illustrate concept of financial services? Discuss the different types of financial services with suitable example?**

**Ans:** Services provided by the financial industry to the clients are called financial services. In general, activities that are of a financial nature are financial services. As per the International Monetary Fund, a process of the financial sector is to provide financial goods to the consumers

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**2. Define Brokerage with reference to functions performed by brokers. Discuss the difference between brokers and underwriters.**

**Ans: Functions of a Broker**

The main function of a broker is to facilitate a client’s requirements by acting as an intermediary between the client and vendor for a fee or commission. However, the broker’s functions have expanded today.

**A brokerage can also:**

• Execute trades on

**3. Discuss the various players in depository system. Describe the advantages of depository system.**

**Ans: There are four players in the depository system:**

A. Depository

B. Participant

C. Beneficial Owner, and

D. Issuer

**Figure has taken the example of NSDL for clearing the transactions between the various participants of the depository system:**

**Assignment Set – 2**

**4. Write short note on the following:**

**(a) Elements of lease**

**Ans:** A few of the compulsory elements on a lease agreement are as follows:

• Names of the parties to the contract.

• The starting date and duration of the contract.

• Identifies the specific

**5. “Credit rating has emerged as a protector for the small investors as well as the bigger ones.” Justify the statement with reference to functions performed by CRAs.**

**Ans:** At present, credit rating has emerged as a protector for the small investors as well as the bigger ones. India was the first among the developing countries to set up a CRA in 1988.

1. The function of credit rating was institutionalised when credit rating was made mandatory for the issue of commercial papers (CPs) by the Reserve Bank of India (RBI) and subsequently by the

**6. Summarize the process of securitization.**

**Ans:** The steps involved in the process of securitization are shown in figure given below: