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| **SESSION** | **AUG/SEP 2023** |
| **PROGRAM** | **MASTER OF BUSINESS ADMINISTRATION (MBA)** |
| **SEMESTER** | **III** |
| **COURSE CODE & NAME** | **DFIN403 – MERCHANT BANKING & FINANCIAL SERVICES** |
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**Assignment Set – 1**

**1. Describe the concept of merchant banking? Discuss the different functions performed by merchant banks along with suitable example?**

**Ans 1.**

**Merchant Banking:**

Merchant banking is a specialized financial service that plays a pivotal role in the world of finance. It is a unique combination of banking and consultancy services tailored to meet the diverse financial needs of businesses, primarily corporations. This essay delves into the concept of merchant banking, highlighting its multifaceted functions with relevant examples.

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

**Ans 2.**

**Brokerage Defined**

Brokerage, in the context of financial markets, refers to the intermediary role played by individuals or entities known as brokers. These brokers facilitate transactions between buyers and sellers of various financial instruments, such as stocks, bonds, commodities, and real estate. The key

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**3. Discuss the Depositories Act 1996, along with its provisions. 10**

**Ans 3.**

The Depositories Act of 1996 is a significant piece of legislation in India that was enacted to regulate and facilitate the holding, transfer, and dematerialization of securities in electronic form. This act was introduced to bring transparency and efficiency to the Indian securities market by replacing the traditional paper-based system of holding and trading securities with an electronic

**Assignment Set – 2**

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

**(a) Elements of lease**

**(b) Types of leases 5+5**

**Ans 4.**

**Elements of Lease:**

A lease agreement is a legally binding contract that outlines the terms and conditions governing the use of a property by a tenant. It typically consists of several key elements that are essential for a clear and comprehensive understanding of the arrangement. Here are the fundamental elements of a lease:

1. **Parties Involved:** The lease should identify the parties involved, namely the landlord (lessor) and the tenant (lessee). This section should include their full legal names and contact

**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. 10**

**Ans 5.**

**The Role of Credit Rating Agencies in Protecting Investors**

In today's complex financial landscape, investors, both small and large, rely heavily on Credit Rating Agencies (CRAs) to make informed investment decisions. CRAs play a crucial role in the financial markets by assessing the creditworthiness of issuers of debt instruments, such as bonds and other

**6. Discuss in detail different types of factoring contracts along with its advantages and limitations of factoring with suitable examples.**

**Ans 6.**

Factoring is a financial arrangement that allows businesses to convert their accounts receivable into immediate cash. It involves selling outstanding invoices to a third-party financial institution, known as the factor, at a discount. Factoring contracts come in various forms, each with its own set of advantages and limitations. In this discussion, we will delve into different types of