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| **SESSION** | **JULY 2023** |
| **PROGRAM** | **MASTER of business administration (MBA)** |
| **SEMESTER** | **IV** |
| **course CODE & NAME** | **DFIN403 – MERCHANT BANKING & FINANCIAL SERVICES** |

**Assignment Set – 1**

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

**Ans 1.**

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 or businesses. For example, a payment system offered by the service provider, acceptance of that service, and transferring the funds between payer and receiver. Account

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**2. Define Brokerage with reference to functions performed by brokers. Discuss the difference between brokers and underwriters. 5 + 5 10**

**Ans 2.**

**Brokerage and the Distinction between Brokers and Underwriters**

Brokerage: Brokerage refers to the intermediary services provided by individuals or firms known as brokers in financial markets. Brokers facilitate the buying and selling of various financial assets, such as stocks, bonds, commodities, and currencies, on behalf of their clients, who could be individual investors, institutions, or corporations. Brokers play a pivotal role in enhancing market liquidity and efficiency by connecting buyers and sellers, executing

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

**Ans 3.**

The Depositories Act of 1996 was introduced to provide for regulation of depositories in securities and for matters connected therewith or incidental thereto. The act was designed to provide a legal framework for the establishment of depositories. The Act also made consequential amendments in the Companies Act, 1956; the Securities and Exchange Board of India Act, 1992; the Indian Stamp Act, 1899; the Income Tax Act, 1961; and the Benami

**Assignment Set – 2**

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

**(a) Elements of lease**

**(b) Types of leases 5+5 10**

**Ans 4a.**

**Elements of Lease:**

A lease is a contractual arrangement between a lessor (owner of an asset) and a lessee (user of the asset) that grants the lessee the right to use the asset in exchange for regular payments to the lessor. Several key elements constitute a lease agreement:

**Ans 4b.**

There are various types of leasing based on nature and the method of lease. The classification is as follows:

• Based on nature

1. Operating lease

2. Financial lease

• Based on the method of lease

1. Direct lease

2. Sale and leaseback

3. Leverage lease

**• Operating lease:** An operating lease is a cancellable contractual contract whereby the

**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 10**

**Ans 5.**

**Credit Rating: Safeguarding Investors and Markets**

In the ever-evolving landscape of financial markets, credit rating agencies (CRAs) play a pivotal role in assessing the creditworthiness of entities issuing debt securities. The statement that "Credit rating has emerged as a protector for the small investors as well as the bigger ones" holds significant truth, as credit ratings serve as a shield against potential risks for investors of all sizes. This assertion can be justified by delving into the essential functions

**6. Discuss in detail the emergence of VC in India. Describe the various types of VC and selection of VC.**

**Ans 6.**

Venture Capital (VC) has emerged as a critical component of India's financial landscape, playing a pivotal role in fostering innovation, entrepreneurship, and economic growth. The development of the VC ecosystem in India has been marked by several stages, each contributing to its growth and evolution.

**Emergence of VC in India:**

The emergence of VC in India can be traced back to the 1980s when early-stage investments