

**Uka Tarsadia University**



**B.B.A.**

**Management of Financial Services (030030610)**

**6<sup>th</sup> Semester**

**Effective from January-2014**

# Uka Tarsadia University

## Management of Financial Services (030030610)

### BBA (Sem.-6) Syllabus, effective from January -2014

**Course Objective and Outcome:** To provide management students an insight into the principles, operational policies and practices of the financial services sector to meet the growing needs of the economy.

**Total Hours: 52**

**[4 hrs. per week]**

#### Unit-1 Introduction: Financial Services and Market

**[Weightage 25%]**

- 1.1. Concept and Nature of Financial Services
- 1.2. Indian Financial System
- 1.3. Functions of the Financial System
- 1.4. Recent Trends in the Financial Sector
- 1.5. Introduction and Role of Financial Market
- 1.6. Capital Market Instruments
- 1.7. Money Market: Concept, Structure and Participants
- 1.8. Money Market Securities
- 1.9. Role of SEBI in the Indian Capital Market

#### Unit-2 Financial Services-I

**[Weightage 25%]**

- 2.1. Merchant Banking
  - 2.1.1. Introduction and Concept of Merchant Banking
  - 2.1.2. Merchant Bankers Functions
  - 2.1.3. SEBI Regulations
- 2.2. Factoring
  - 2.2.1. Introduction and Concept of Factoring
  - 2.2.2. Forms of Factoring
  - 2.2.3. Benefits of Factoring
- 2.3. Credit Rating
  - 2.3.1. Introduction and Rating Service
  - 2.3.2. What is Credit Rating? Features, Symbol, Validity and Need
  - 2.3.3. Rating Methodology

## Unit-3 Financial Services-II

[Weightage 25%]

- 3.1. Leasing
  - 3.1.1. Introduction and Definition
  - 3.1.2. Types of Lease
- 3.2. Mutual Funds
  - 3.2.1. Introduction and Concept
  - 3.2.2. Types of Mutual Fund Schemes
  - 3.2.3. Benefits of Investing in Mutual Fund
- 3.3. Insurance
  - 3.3.1. Introduction and Definition
  - 3.3.2. Types of Insurance: Life Insurance and General Insurance

## Unit-4 Financial Services-III

[Weightage 25%]

- 4.1. Non Banking Financial Companies (NBFC)
  - 4.1.1. NBFCs: Definition, Structure, Reclassification and Silent Features
  - 4.1.2. Types of Activities of NBFCs
  - 4.1.3. Regulation of NBFCs
  - 4.1.4. Prudential Regulations
- 4.2. Other Financial Services
  - 4.2.1. Stock Broking Services: Stock Broker and Sub Broker, SEBI Guidelines, Capital Adequacy Requirements, Function of Stock Broker, Code of Conduct for Stock Broker and Select Documents and Charges
  - 4.2.2. Custodial Services: Custodian, Custodial Service Definition, Obligation and Responsibilities and Custodial Service Providers in India
  - 4.2.3. Registrars and Share Transfer Agents: Definition, Functions, Transfer Agents, Role of Registrar in Public Issue, Capital Adequacy Requirements and Obligation and Responsibility

### Text Book:

1. Dr. R. Shanmugham. *Financial Services*. New Delhi: Wiley India Pvt. Ltd.