

Name: _____

Case Study Assignment

Mr. Sourav Ganguly is a world famous cricket player and he has saved up about \$7 million dollars over the past few years. In a conversation with one of his friends, the subject of investments came up. Mr. Ganguly told his friend that he has never invested any money anywhere. His friend was surprised and provided him your name and contact information. You are a full-service broker and Mr. Ganguly wants to meet you.

Required:

Assume the role of a full-service broker. After your meeting with Mr. Sourav Ganguly, he has asked you to prepare a report for him. So, prepare a report and ensure that all of the following issues are addressed.

Marking Scheme

Category	Issues	Marks
Knowledge	1. Differentiate between direct and indirect investing using examples.	0 1 2 3 4
	2. Define an investment fund and describe the 2 types of funds.	0 1 2 3
	3. Describe the 4 different types of markets and how they operate.	0 1 2 3 4
	4. What is the importance of a prospectus ?	0 1
	5. List and explain all brokerage accounts .	0 1 2 3 4
	6. Explain the importance of margin trading and short-selling to Mr. Ganguly.	0 1 2 3 4
Thinking	7. Why should Mr. Ganguly invest in financial assets ? Provide 5 different reasons.	0 1 2 3 4 5
	8. Explain 8 different types of mutual funds . Which ones would you recommend for him and why? Provide an example of each type of mutual fund.	0 1 2 3 4 5 6 7 8 9 10
	9. Describe the role of the CSI .	0 1 2 3
	10. How does the OSC help investors?	0 1 2
Application	11. Which market or markets would be important for Mr. Ganguly? Why?	0 1 2 3 4
	12. Describe the role of a full-service broker and how that differs from a discount broker.	0 1 2 3
	13. Describe the concept of NAV to Mr. Ganguly and explain using an example.	0 1 2 3 4 5
	14. How do you as a broker generate income ? Explain this to Mr. Ganguly. Why is it important for him to know?	0 1 2 3
	15. What is a short sale ? Clearly describe how a short sale works using an example.	0 1 2 3 4 5
Communication	▪ Report structure	0 1 2 3 4 5
	▪ Spelling and grammar	0 1 2 3 4 5
	▪ Overall impressions	0 1 2 3 4 5