

**MANAGEMENT PROGRAMME / P.G.  
DIPLOMA IN FINANCIAL MARKETS  
PRACTICE**

**Term-End Examination  
December, 2015**

**MFP-5 : PROFESSIONALS IN FINANCIAL  
MARKET PRACTICE**

*Time : 3 hours*

*Maximum Marks : 100*

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**Note :** (i) Attempt *any five* questions.  
(ii) *All* questions carry *equal* marks.

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1. What is a Brokerage House ? Describe the different types of brokerage houses and the activities undertaken by them.
2. Explain 'Due-diligence' and the benefits accruing from a well conceived and effectively executed due-diligence process. Describe the different documents that are required for financial and accounting due-diligence.
3. Define Venture Capital Undertaking. What are the activities undertaken by a venture capitalist in the whole investment process right from receiving a reference to exiting from the Venture Capital Undertaking ?
4. What are the important features of financial products ? Describe the process of designing, creating and marketing a financial product.

5. Explain the term 'Money Laundering'. Discuss the process of Money Laundering. What are the avenues which have been recently tried by Money Launderers ?
  6. What are the qualities of a good equity research firm ? Discuss the rules and regulations enforced by SEBI on these houses.
  7. Explain the rationale behind having a 'Financial Advisor'. What are the factors affecting the growth of financial planners as an independent profession ?
  8. Write short notes on :
    - (a) Internet Trading
    - (b) National Securities Depository Limited (NSDL)
    - (c) Qualities of a Good Marketer
    - (d) Remisier
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