

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

**Term-End Examination**

**June, 2018**

**MFP-005 : PROFESSIONALS IN FINANCIAL  
MARKET PRACTICE**

*Time : 3 hours*

*Maximum Marks : 100*

*Note : Attempt any five questions. All questions carry equal marks.*

1. What is the role of a 'Registrar and Transfer Agent (RTA) in financial markets ? Discuss the Pre-issue and Post-issue activities which RTAs perform.
2. What is a Brokerage House ? Describe the different types of brokerage houses and the activities undertaken by them. Discuss the situations of conflict of interest in a brokerage house.
3. What is a 'Prospectus' ? Briefly explain the important contents of a prospectus and list the various parties involved in preparation of a prospectus.
4. What do you understand by 'Venture Capital' ? In what form such capital is provided and at what stage ? Explain the activities undertaken by a venture capitalist in the whole investment process right from receiving reference to exiting from the venture capital undertaking.

5. What are 'Financial Products and Services' ? Describe the different channels for distribution of Banking products and discuss the emerging trends in marketing and distribution of these products.
  6. What is insider trading ? Discuss the major obligations of the compliance officer and the senior management under SEBI regulation on insider trading.
  7. What is Portfolio Management Services (PMS) ? Explain the investment process and discuss the investment strategies in portfolio management.
  8. What is the regulatory framework for financial advisors in India ? Discuss the major provisions of code of conduct for financial advisors.
-