

**MANAGEMENT PROGRAMME/
POST GRADUATE DIPLOMA IN
FINANCIAL MARKETS PRACTICE**

Term-End Examination

June, 2021

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

Time : 3 hours

Maximum Marks : 100

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

1. Describe the role of a Broker as a Financial Intermediary. Discuss the major activities of a Brokerage House and the qualities of a good Brokerage House.
2. Discuss the role of Registrars and Transfer Agents in the Indian Stock Markets and the regulations governing them.
3. What is an Offer Document ? What other documents are required to be submitted along with it ? Describe the contents of an Offer Document.

4. Explain the importance of pricing of Financial Products and discuss the various factors affecting their pricing.
 5. What are the objectives of promotion of a Financial Product ? Discuss the characteristics of promotional strategies of these products.
 6. What is 'Insider Trading' ? Discuss different categories of insiders. Describe the various strategies adopted to prevent insider trading.
 7. Discuss the role of Research Reports in Financial Markets and explain the distinguishing features of such reports on various asset classes.
 8. Discuss the various kinds of training opportunities that are available in the Financial Markets.
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