

00614

**P.G. DIPLOMA IN FINANCIAL MARKETS
PRACTICE**

Term-End Examination

December, 2011

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

Time : 3 hours

Maximum Marks : 100

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

1. What are brokerage houses ? Discuss their sources of income and explain the deal process followed in a brokerage house.
2. What is a Depository ? Explain the various services provided by it and the deal process followed by it.
3. What is Venture Capital ? Explain the various stages involved in a typical venture capital process.
4. Discuss the key features of financial products. Explain the various determinants of purchase decisions with reference to financial products.

5. What do you understand by sales promotion process of financial products ? Discuss the components of promotional mix.
 6. Explain in detail the compliance requirement for the issuance of Employees Stock Option Plan (ESOP).
 7. What types of reports are prepared by Research and Analysis firms ? Discuss the main contents of a company report.
 8. What do you mean by a sub - broker, Remisier and Authorised person ? Explain their role in the financial markets.
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