

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

**Term-End Examination**

**December, 2012**

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

*Time : 3 hours*

*Maximum Marks : 100*

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

1. Describe the role of a Broker in the capital market and discuss the major activities of a broker or brokerage house.
2. Differentiate between a bank and a depository. Discuss the services provided by a depository and explain its main advantages.
3. What is an 'Offer Document' ? What are the various contents of an offer document/prospectus ? Discuss the qualities of a good prospectus.
4. What is venture capital ? Discuss the different steps involved in the investment process of venture capital.

5. "The promotional mix of a financial product has four main components." Discuss these components and compare them on the basis of their costs and characteristics.
  6. What is the significance of compliance function in a company ? Discuss the qualities of a good compliance officer.
  7. What are portfolio management services ? Discuss their significance and explain the advantages and disadvantages of the various strategies adopted in portfolio management.
  8. Why is Personal Financial Planning significant ? Discuss the different steps involved in the process of such financial planning.
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