

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

Term-End Examination

December, 2022

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

Time : 3 hours

Maximum Marks : 100

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

1. What is a 'Clearing House' and what are its functions ? Discuss the role played by the Clearing House in the trade flow.
2. What is a 'Prospectus' ? What are the qualities of a good Prospectus ? Discuss the parties involved in preparation of a Prospectus.
3. What is 'Venture Capital Funding' ? Discuss the different stages of Venture Capital Funding.
4. What is the need and significance of marketing of Insurance Products ? Discuss the different distribution channels of Insurance Products.

5. What is 'Insider Trading' ? What are its preventive strategies ? What are the obligations of the compliance officer of a company in relation to Insider Trading ?

 6. Discuss the role and powers of Audit Committee in relation to compliance function in an organisation.

 7. Explain the concept and significance of Portfolio Management Services (PMS). Discuss the advantages and disadvantages of different Portfolio Management Strategies.

 8. Explain the role of Financial Advisors and discuss the factors affecting the Financial Advisory profession.
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