

00512

**PG DIPLOMA IN FINANCIAL MARKETS  
PRACTICE**

**Term-End Examination**

**June, 2011**

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

*Time : 3 hours*

*Maximum Marks : 100*

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

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1. What is due diligence ? Discuss the factors that need to be investigated and analysed for Financial and Accounting due diligence and legal due diligence.
2. What is promotion in the context of distribution and sales of financial products ? Discuss the objectives, characteristics and cost of promotional strategies.
3. What are broking services ? Explain how marketing and distribution of broking services is done ?

4. List the major laws, regulating the Indian Financial Markets. Explain the different kinds of regulatory philosophy adopted in financial markets.
  5. Explain the major activities of a brokerage house. Discuss the different deal processes involved in a brokerage house.
  6. Explain the compliance requirements for issue of Initial Public Offerings (IPO's).
  7. In context of Industry/Sector report, explain PEST Analysis and Porter's Five Forces Model.
  8. Explain the role of financial advisors and discuss the factors affecting financial advisory profession.
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