

**MANAGEMENT PROGRAMME/
P. G. DIPLOMA IN FINANCIAL
MARKETS PRACTICE
(MP/PGDFMP)**

**Term-End Examination
June, 2025**

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

Time : 3 Hours

Maximum Marks : 100

Note : (i) Attempt any *five* questions.

(ii) All questions carry equal marks.

1. What is a Depository ? How is it different from a Bank ? Describe the different steps involved in deal process through a Depository.
2. Who is a Custodian ? What is the role of a Custodian ? Explain the Code of Conduct prescribed for Custodian.

3. What is the need for 'Prospectus' ? Describe the qualities of a good prospectus and explain the different parties involved in the preparation of a Prospectus.
4. What is 'Private Equity' ? What is its significance ? Compare and contrast between Venture Capital and Private Equity.
5. Discuss the pros and cons of a career in marketing financial products and explain the qualities of a good marketer.
6. What is the need for regulation of Financial Markets ? Discuss the different regulatory philosophies adopted in these markets.
7. Explain the need for 'Portfolio Management Services' (PMS). Discuss the investment strategies used for PMS bringing out their relative advantages and disadvantages.
8. What is the role of Financial Advisors ? Explain the factors affecting the Financial Advisory Profession.

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