

**MANAGEMENT PROGRAMME / P.G.  
DIPLOMA IN FINANCIAL MARKETS  
PRACTICE**

**Term-End Examination**

**June, 2016**

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

*Time : 3 hours*

*Maximum Marks : 100*

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

(ii) *All questions carry equal marks.*

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1. What is Electronic Trading ? Discuss the advantages of E-trading and also the technologies that are used by members to get connected to the exchange in E-trading.
2. Discuss the functions performed by merchant bankers in respect of issue management. Explain the steps involved in the process of an Initial Public Offering (IPO) through Book Building.
3. Explain the role of a custodian and the process of getting a certificate from SEBI to carry business as custodian. Discuss the code of conduct that the custodian has to abide by.
4. What are the major challenges confronting the financial service providers while marketing their products in Rural Markets ? Describe the strategies adopted by them for this purpose.

5. Who are 'Brokers' and 'Sub-brokers' ? What are the different activities undertaken by them ? How do the brokerage firms ensure that the investors get best services ?
  6. Discuss the Financial Advisory Services provided by a financial advisor. Describe the PEST analysis used by analysts for analysing the industry situation.
  7. Explain the meaning and benefits of Portfolio Management Services (PMS). What are the Regulatory requirements enforced by SEBI on providers of PMS ? Describe the process in which the PMS providers can act as financial advisors.
  8. Discuss the scope of 'Outsourcing' and 'Financial Journalism' as avenues of self-employment in the domain of financial markets.
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