

00905

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

**Term-End Examination**

**December, 2013**

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

*Time : 3 hours*

*Maximum Marks : 100*

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

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1. What is 'Electronic Trading' ? Explain the different technology platforms used for electronic trading. Discuss the various channels used for establishing connectivity between various constituents of electronic trading system.
2. What is a Clearing House ? Explain the functions of Clearing Corporation / Clearing House and give a chart showing its key role in trade flow.
3. Who is a 'Custodian' ? Discuss the role of custodian in foreign institutional trading and explain the linkage of custodian with depository participant and clearing house.
4. What is 'Due Diligence' ? What are the contents of a financial and accounting and legal due diligence report ?

5. What is 'Venture Capital' ? Describe the stages of Venture Capital funding and the process of Venture Capital investment.
  6. What is the need for promotion of an issue. What are its objectives ? Explain the characteristics of promotional strategies.
  7. What is 'employees stock option plan' ? List the compliance requirement for issue of employees stock option (ESOP).
  8. Discuss the various types of research reports prepared by a research and analysis firm ? Explain the various contents of a 'company report'.
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