

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

**Term-End Examination**

**December, 2016**

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

*Time : 3 hours*

*Maximum Marks : 100*

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- Note :** (i) *All questions carry equal marks.*  
(ii) *Attempt any five questions.*
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1. What is 'Electronic Trading System' ? How is it better than open outcry system ? Discuss the various channels of connectivity between the trading members and the Stock Exchanges.
2. What is a 'Clearing House' ? Discuss its role and functions in the process of Trade flow.
3. What is meant by 'Due Diligence' ? What are its main benefits ? Discuss the importance of 'Operational Due Diligence'.
4. Explain the reasons for corporate Mergers and Acquisitions and discuss the Regulatory and Statutory Framework governing them.

5. Why do Financial Products need promotion ? Discuss the different components of promotional mix of these products.
  6. What is meant by 'Insider Trading' ? What are the strategies adopted to prevent it ? Discuss the obligations of the Compliance Officer of a company relating to Insider Trading.
  7. What is the importance of a Research Firm in the Indian Financial Markets ? Discuss the different categories of Research Firms depending upon the business model and explain the qualities of a good research firm.
  8. Why do the individuals and families need financial planning ? Explain the different steps involved in the Financial Planning Process for them.
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