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MFP-5

MANAGEMENT PROGRAMME (MP)

Term-End Examination

June, 2020

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

Time : 3 Hours

Maximum Marks : 100

Note : (i) Answer any five questions.

(ii) All questions carry equal marks.

1. What is a Clearing House ? What are its functions ? Describe the role played by clearing house in the trade flow. Discuss the code of conduct prescribed for custodians.

2. Write notes on the following :
 - (a) Disclosure under clause 49 of the listing agreement.
 - (b) Qualified institutional placements
3. Discuss the meaning and significance of 'venture capital' and 'private equity' and differentiate between them.
4. What are 'Financial Products' ? Discuss their important features. Differentiate between 'Financial Products' and 'Consumer Products'.
5. Discuss the need for regulation in financial markets and explain the different kinds of regulatory philosophy adopted in these markets.
6. What is 'Insider Trading' ? What are the strategies to prevent it ? What are the obligations of a compliance officer of the company in relation to insider trading ?

7. What is the need for Portfolio Management ?

Discuss the investment strategies in portfolio management.

8. Explain the various kinds of training

opportunities available for a professional trainer in financial markets training.