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MFP-5

**MANAGEMENT PROGRAMME/POST
GRADUATE DIPLOMA IN FINANCIAL
MARKETS PRACTICE (MP/PGDFMP)**

Term-End Examination

December, 2023

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

Time : 3 Hours

Maximum Marks : 100

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

1. Describe the role of a 'Broker' in a stock exchange and explain the major activities of a Brokerage House.
2. What is a 'Clearing House' ? What are its functions ? Discuss the role played by the Clearing House in the trade flow.

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3. What is 'Due Diligence' ? What are its benefits ? Describe the process of Due Diligence.
4. What is Venture Capital ? Differentiate between the Traditional Financing and Venture Capital Financing. Explain the different stages of Venture Capital funding.
5. What are the objectives of promotion of public issues ? Discuss the promotional strategies employed in this regard.
6. What is the need for regulation of Financial Markets ? Explain the regulatory philosophies adopted in financial market.
7. What is a Research Firm ? Explain the different categories of research firms in the context of financial markets.
8. Explain the significance of Personal Financial Planning and describe the different steps of financial planning process.