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

Term-End Examination

June, 2012

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

Time : 3 hours

Maximum Marks : 100

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

1. What are brokerage houses ? Explain the major activities of a broker with reference to various types of brokerage houses. Discuss the major changes that have taken place in the operations of brokerage houses.

2. What do you mean by Custodian and Clearing house ? Explain the settlement process of trading through Custodian and Clearing Corporation.

3. What is meant by Due Diligence ? Explain the main aspects of Financial and Accounting due diligence and Operational Process due diligence.

4. Explain pricing in the context of financial services. Discuss the factors that affect the pricing decisions.
 5. What do you understand by sales promotion process ? Explain the characteristics of promotional strategies and the factors that determine the choice of promotional strategy.
 6. What is meant by insider trading ? Discuss the major obligations of a listed company to prevent trading on the basis of insider information.
 7. What are sector reports ? Discuss the main contents of a sector report and explain the tools used for preparing sector reports .
 8. What is Personal Financial Planning ? Why is it required ? Explain the steps involved in financial planning process for individual investors.
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