

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

Term-End Examination

June, 2013

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

Time : 3 hours

Maximum Marks : 100

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

1. (a) What is a 'Trading Platform' ? Identify the requirements of a good trading platform.
(b) Compare open outcry share trading system with electronic trading system.
2. What is a 'Clearing House' ? Discuss its functions and explain its role in the trade flow.
3. What is 'Due Diligence' ? Why is it done ? Describe the process of Due Diligence. Explain the qualities of a good Due Diligence.
4. What is a 'Financial Product' ? Explain the major types of financial products sold in Indian markets and discuss their important features.

5. What is the importance of marketing and distribution system of financial products ? Discuss some of the strategies adopted in this connection.
 6. What is 'Insider Trading' ? Discuss the preventive strategies for insider trading and the obligations of the compliance officer of the company in this regard.
 7. What is a 'Research Firm' ? Explain the organisational structure of a typical research firm. Bring out the qualities of a good research firm.
 8. What do you mean by a Sub - Broker , a Remisier and an Authorised person ? Explain their roles in the current scenario.
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