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**MFP-5**

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

**Term-End Examination**

**June, 2022**

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

*Time : 3 Hours*

*Maximum Marks : 100*

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

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1. What is a Trading Platform ? Describe the various modes of executing the trades and compare open outcry system with electronic trading platform.

**P. T. O.**

2. Describe the process of preparation of prospectus and discuss the core functions performed by an investment banker.
3. Discuss the code of conduct prescribed by SEBI for the registrar to an issue and share transfer agents.
4. What is 'Venture Capital' ? Discuss its significance. Explain the different stages of venture capital financing.
5. What is 'Promotion' of a Public Issue ? What are its objectives ? Discuss the characteristics of promotional strategies of financial products.
6. What is 'Insider Trading' ? What are the strategies to prevent it ? Discuss the obligations of the compliance officer of a company in relation to insider trading.
7. Briefly discuss the different types of 'Research Reports' prepared by the research firms for different sets of people and different time horizons and explain the qualities of a good research report.
8. Discuss the need and significance of financial planning for individuals and explain the different steps to be taken for financial planning by an individual.