

**MANAGEMENT PROGRAMME/
P. G. DIPLOMA IN FINANCIAL
MARKETS PRACTICE
(MP/PGDFMP)**

**Term-End Examination
December, 2025**

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

Time : 3 Hours

Maximum Marks : 100

Note : (i) *Attempt any five questions.*

(ii) *All questions carry equal marks.*

1. What is 'Electronic Trading' ? What are the advantages of this system over 'Open Outcry System' ? Differentiate between Electronic Trading System and Internet Trading System.
2. Explain the role played by the Registrar and Share Transfer Agents (RTAs) in the Securities Market. Discuss the Code of Conduct prescribed by SEBI to be followed by these RTAs.

3. What is venture capital financing ? How is it different from traditional financing ? Discuss the different stages of venture capital funding.
4. Why is marketing of financial products significant in rural India ? Discuss the issues and concerns in marketing of financial products in rural markets.
5. What do you mean by 'Conflict of Interest' with reference to securities markets ? Discuss the different conflicts of interest situations usually faced by different intermediaries in the securities markets while performing their roles and responsibilities.
6. Why do companies prepare Research Reports ? Explain different types of research reports used by the firms while carrying out their businesses.

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7. Explain the different options/models of branch expansion and make a critical comparison of these models. Discuss the distinctive advantages of the Authorised Person model over other models of branch expansion.
8. What is the need for Financial Advisors in investment process ? Discuss the factors affecting the Financial Advisory Profession.

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