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MFP-005

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

Term-End Examination

December, 2021

**MFP-005 : PROFESSIONALS IN FINANCIAL
MARKETS PRACTICE**

Time : 3 Hours

Maximum Marks : 100

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

1. Discuss the role of Brokers and the major activities that they undertake. Explain the major changes in the arena of Brokerage Houses.

2. What do you understand by Dematerialisation of Securities ? Explain its advantages to the investors and the companies. How does a depository account differ from a bank account ? What services are rendered by a Depository ? Discuss.
3. What is meant by 'Due Diligence' ? What are its main benefits ? Describe the process of due diligence and constitution of the team for this purpose.
4. What is the importance of pricing decision to a firm ? Discuss the factors affecting such decisions.
5. What is a 'Mutual Fund' ? How are mutual funds categorised on the basis of their investment objectives ? Discuss the structure of mutual funds in India.
6. What are the various routes through which securities are issued in the equity and debt markets ? Discuss the various issues that are required to be taken care of while regulating the public issue of securities.

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7. Discuss the organisational structure of a typical 'Research Firm' and explain the qualities of a good research firm.
8. Why are Financial Advisors needed ? Discuss the qualities of a good financial advisor and explain the factors that affect their profession.