

No. of Printed Pages : 2

MFP-005

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

Term-End Examination

June, 2023

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

Time : 3 Hours

Maximum Marks : 100

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

1. Explain the role of a 'Broker' in security market. Discuss the major activities of a Broker. Describe the qualities of a good Brokerage house.
2. Who is 'share transfer agent' ? Discuss the obligations and responsibilities laid down by the SEBI regulations in relation to registrar and share transfer agents.

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3. What is 'Due Diligence' ? What are its main benefits ? Discuss the qualities of a good Due Diligence.
4. What is the meaning of 'Private Equity' ? Explain its significance. Compare and contrast between venture capital and private equity.
5. Explain the importance of 'pricing' a product. Discuss the factors affecting the pricing decision of a firm.
6. What is the importance of a 'Research Firm' ? Discuss the different types of research firms.
7. "There are different types of research reports catering to different sets of people and also different time horizons." Discuss this statement and briefly explain the different types of research reports.
8. What is the significance of 'Financial Planning' ? Discuss the various steps involved in the financial planning process.