

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

Term-End Examination

December, 2024

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

Time : 3 Hours

Maximum Marks : 100

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

1. Who is a Broker ? What role does a broker play in the Securities Market ? Explain the major activities performed by a Broker.
2. Describe is the role of Registrar and Transfer Agent (RTA) in issue management. Discuss the Code of Conduct prescribed for the RTAs.
3. What is the purpose of Due Diligence ? What are its main benefits ? Explain the qualities of a good Due Diligence.

4. What are Financial Products ? Explain the important features of these products. Differentiate these products from other consumer products.
5. What is 'Insider Trading' ? How is it prevented ? What are the obligations of Compliance Officer of the Company relating to Insider Trading ?
6. Write notes on the following :
 - (i) PEST Analysis
 - (ii) Porter's Five Forces Model
7. What is the significance of Personal Financial Planning ? Explain the different steps involved in the process of Financial Planning.
8. Discuss the different job opportunities that are available with regard to the Content Development and Training Needs in Financial Markets.

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