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MFP-005

**MASTER OF BUSINESS
ADMINISTRATION / P. G. DIPLOMA
IN FINANCIAL MARKETS
PRACTICE (MBA / PGDFMP)
Term-End Examination**

June, 2026

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

Time : 3 Hours

Maximum Marks : 100

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

(ii) All questions carry equal marks.

1. “A Broker is a Financial Intermediary who interfaces with the Investors to buy or sell securities on behalf of them and charges a fee for doing so.” Discuss this statement while bringing out the role played and

the major activities undertaken by the Brokers.

2. What is 'Due Diligence' ? Why is it carried out by the companies ? Discuss the different areas where due diligence is carried out in a company.
3. What are 'Financial Products' ? Explain the important features of these products. Differentiate financial products from other consumer products.
4. Discuss the scope and organisation of Compliance Function with regard to securities markets. Explain the qualities of a good Compliance Officer.
5. What is the rationale for regulation of Public Issues ? Discuss the issues that are required to be taken care while regulating the Public Issue of Securities.
6. What is the significance of 'Portfolio Management Services' ? Discuss the advantages and disadvantages of

investment strategies that are followed in portfolio management.

7. What is the need for Personal Financial Planning ? Describe the different steps involved in the process of Financial Planning.
8. Explain the concept of 'Training in Financial Markets' as an opportunity for self-employment and discuss the different training opportunities one may come across in the financial and non-financial sector.

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