

SYLLABI
For
Value Added Course
Certificate Course in NISM Mutual Fund
(Foundation Module)

Offered by
Department of Management Sciences
Masters of Business Administration
(Session: 2020-21)



TECNIA INSTITUTE OF ADVANCED STUDIES
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GURU GOBIND SINGH INDRAPRASTHA UNIVERSITY, DELHI

MASTERS OF BUSINESS ADMINISTRATION (MBA)

Certificate Course in NISM Mutual Fund

Course Code: MS 500

L-2, T-0Credits —2

Objectives:

The certification aims to enhance the quality of sales, distribution and related support services in the mutual fund industry.

Learning Outcomes:

- Understand the basics concepts of mutual funds such as their role, structure, different mutual fund schemes features
- Learn the role and support functions of service providers of mutual funds
- Discover about the legal ,accounting and taxation aspects of underlying mutual funds and their distribution
- Understand the objective behind investing in different asset classes through mutual funds

Course Contents:

Unit I

(7 Hours)

Concept and Role of a Mutual Fund, the basics concepts of mutual funds such as their role, structure, different mutual fund schemes features, Fund Structure and Constituents, role and support functions of service providers of mutual funds, Mutual Fund Products, classification of mutual fund schemes, Performance of Mutual Funds, the distribution of mutual funds, evaluation of mutual fund schemes , recommendation of suitable products and services to both existing investors and prospective investors in the market

Unit II

(8 Hours)

Performance of Mutual Funds, the distribution of mutual funds, evaluation of mutual fund schemes , recommendation of suitable products and services to both existing investors and prospective investors in the market, Mutual Funds Taxation, the legal ,accounting and taxation aspects of underlying mutual funds and their distribution, Offer Document, the key components of an offer document, Fund Distribution and Sales Practices,

Unit III

(7 Hours)

Distribution channels for mutual funds and the regulations and code of conduct for selling mutual fund schemes Investor Transactions, the compliance requirements for mutual fund

investors and different transaction medium, Investment Services, systematic transaction processes and the contents and periodicity of Statement of Account,

Unit IV

(8 Hours)

Financial Planning Concepts , concept of financial planning as an approach to investing in mutual funds as well as a tool for the mutual fund distributors to develop long term relationships with their clients Helping Investors with Financial Planning, steps of financial planning and the important parameters for selecting mutual fund schemes

Note: Latest Provisions to be taught.

Suggested Readings (All latest editions to be referred):

- David Sutton. "Cyber security: A practitioner's guide", BCS Learning.
- Development Limited, UK, 2017.
- Sankaran, S. (2018). *Indian mutual funds handbook: A guide for industry professionals and intelligent investors*. Vision Books.
- Kapadia, S. (2019). A perspective on financial literacy and inclusion in India. *Available at SSRN 3396241*.
- Introduction". Routledge Books, 2nd edition, 2021

Evaluation Pattern: On the basis of MCQ exam followed by Viva Voce