

CERTIFICATE PROGRAMME ON MUTUAL FUNDS

2020-21

A. SYLLABUS

SYLLABUS

1. Concept & Role of a Mutual Fund

1.1 Introduction

1.2 Types of Funds

1.3 Key Developments over the Years

2. Fund Structure & Constituents

2.1 Legal Structure of Mutual Funds in India

2.2 Key Constituents of a Mutual Fund

2.3 Other Service Providers

3. Legal & Regulatory Environment

3.1 Role of Regulators in India

3.2 Investment Restrictions for Schemes

3.3 Investors' Rights & Obligations

3.4 Can a Mutual Fund Scheme go bust?

3.5 Appendix 1: AMFI Code of Ethics

3.6 Appendix 2: Code of Conduct for Intermediaries

4. Offer Document

4.1 Offer Document - NFO, SID, SAI

4.2 Key Information Memorandum

4.3 Appendix 3: Format of Scheme Information Document

4.4 Appendix 4: Format of Key Information Memorandum

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5. Fund Distribution & Channel Management Practices

5.1 Distribution Channels

5.2 Channel Management Practices

6. Accounting, Valuation & Taxation

6.1 Accounting and Expenses

6.2 Valuation

6.3 Taxation

7. Investor Services

7.1 Mutual Fund Investors

7.2 KYC Requirements for Mutual Fund Investors

7.3 PAN Requirements for Micro-SIPs

7.4 Additional Documentation Requirements applicable for Institutional Investors

7.5 Demat Account

7.6 Transactions with Mutual Funds

7.7 Transactions through the Stock Exchange

7.8 Investment Plans and Services

7.9 Appendix 5: KYC Form for Individuals

7.10 Appendix 6: KYC Form for Non-Individuals

8 Return, Risk & Performance of Funds

8.1 Drivers of Returns in a Scheme

8.2 Measures of Returns

8.3 Drivers of Risk in a Scheme

8.4 Measures of Risk

8.5 Benchmarks and Performance

8.6 Quantitative Measures of Fund Manager Performance

9 Scheme Selections

9.1 How to choose between Scheme Categories?


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9.2 How to select a Scheme within a Scheme Category?

9.3 Which is the Better Option within a Scheme?

9.4 Sources of Data to track Mutual Fund Performance

10 Selecting the Right Investment Products for Investors

10.1 Financial and Physical Assets

10.2 Gold – Physical or Financial?

10.3 Real Estate – Physical or Financial?

10.4 Fixed Deposit or Debt Scheme

10.5 New Pension Scheme

10.6 Other Financial Products

11 Helping Investors with Financial Planning

11.1 Introduction to Financial Planning

11.2 Alternate Financial Planning Approaches

11.3 Life Cycle and Wealth Cycle in Financial Planning

12 Recommending Model Portfolios & Financial Plans

12.1 Risk Profiling

12.2 Asset Allocation

12.3 Model Portfolios

B. RELEVANCE OBJECTIVE AND OUTCOME OF THE COURSE

The programme is scheduled and conducted by the collaborative effort of HEDGE :School of applied Economics and NISM(National Institute of Securities Management) an educational initiative of SEBI. The course is designed with 20 working hours and can accommodate a maximum of 60 candidates with a fee budget of Rs 1000/- per student. The certificate is accredited by NISM.

The programme aims to provide participants with useful and keen insights on various aspects of the functioning of the mutual funds.

The key objective of the programme are:

1. To provide participants with the knowledge of risks and rewards of
2. investing in mutual funds


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3. To equip participants to pass the NISM Certification Test
4. To develop professional skills and knowledge for the Commerce students
5. To provide an understanding of the complexities of mutual fund functions, both internally and externally

The topics discussed include Introduction to Mutual Funds Industry in India, Investment Objectives and Strategy, Pricing and Valuation of Assets of Mutual Fund Schemes, Credit Evaluation and Risk Management Mechanism at Mutual Funds, Regulatory Perspectives, Distribution Network - Strengths and Pitfalls, Investment Restrictions & investment Process Flow and Global Macro Economy & its Impact on Indian Financial Market.

Participants

The participants are B.com and M.com students

Mode of Teaching- Online

Duration and Timing

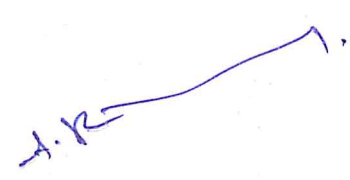
20 hours (15hrs+5hrs mocktest) only on Saturdays and sundays

Time -2pm to 4pm

Programme coordinator

PRESEEJA.P.J

Asst.Professor, Dept.of Commerce.



Prinhalilharayil
Principal
Sree Narayana College
Kollam



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**MEMORANDUM OF UNDERSTANDING
(MOU)**

BETWEEN

SREE NARAYANA COLLEGE KOLLAM



&

HEDGE SCHOOL OF APPLIED ECONOMICS



Bewas...
a

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MEMORANDUM OF UNDERSTANDING (MOU) BETWEEN SREE NARAYANA COLLEGE KOLLAM & HEDGE SCHOOL OF APPLIED ECONOMICS MEMORANDUM OF UNDERSTANDING (MOU) This Memorandum of Understanding (MOU) is executed between Sree Narayana College Kollam and HSAE (Hedge School of Applied Economics) for various industry training programmes. Sree Narayana College Kollam and Hedge School of Applied Economics Sree Narayana College Kollam , Kerala Represented By – Dr. R. Sunil Kumar Principal Hedge School of Applied & Economics (HSAE) Training & Knowledge Initiative – Hedge Group of Companies Hedge House Mamangalam P O Palarivattom –

Cochin, 682 017, Kerala – India Represented by: Benil Dani Alexander Managing Director The first party is an Educational Institution was founded in 1948 and is affiliated to the Kerala University. It is owned and managed by the Sree Narayana Trusts, Kollam. The collage offers 17 undergraduate, 14 postgraduate and 01 P.G Diploma programmes. 09 postgraduate Departments are approved as research center under University Of Kerala. At present the college is reaccredited with A grade by the National Assessment and Accreditation Council (NAAC). The second party is a knowledge initiative from Hedge Equities - a company engaged in Financial Services catering to the evolving needs and unique requirement to build, manage and grow wealth. HSAE provides a platform for spreading the concept of financial freedom and develop entrepreneurship among youth through imparting the importance of asset creation and its management by understanding the true concepts of risk and return. HSAE is the first ever educational venture dedicated to creating a class of high-end investment professionals across India.

OBJECTIVE OF THE PROGRAMME A good degree is no longer enough to guarantee students employment. More employers look for graduates/post graduates with key skills. It is well accepted that there is a growing need for Industry Institute tie-up to enable the students pursuing academics at various levels will have an Industry orientation and employability along with their academic career. The Skill Development Programmes by KASE, Kerala Academy for Skills Excellence (Skill development division of Kerala Government) is designed to deliver the key employability skills to your student who wants to pursue a career in the Financial Services Industry including Banking & Financial Markets. Developing in consultation with colleges and concerned institutions, it's a compact package of Govt of Kerala, Kerala Academy for Skills Excellence & Financial Services Industry This agreement is executed for various industry certification program based on the mutual understanding between the two parties. The Program as follows: o Gateway to Financial Freedom o Foundation Programme in Banking & Financial Services – Accredited by KASE o Test Drive your career in Financial Services & Live Internship o Technical Training o Project Guidance o Internship Assistance o Placement Assistance o NISM o CWM o CMA o CPFS Co-Operation Expected from First Party –

Sree Narayana College Kollam:

1. Providing students for the program which will be conducting upon mutual understanding
2. To provide necessary infrastructure, including equipments and materials.
3. The first party to pay the amount based on the program that we conduct at your esteemed organization.
4. As part of the evaluation, student presentations, written tests, and practical tests can be facilitated by the First Party.
5. The first party shall consider interested candidates for internship. Sl.No Programmes Hours Number of Students
1 Foundation Programme in Banking & Financial Services 20 Hrs Based on the Mutual Understanding
2 Test Drive your career in Financial Services & Live Internship 25 - 30 Hrs
3 Gateway to Financial Freedom 3 Hrs
4 NISM - Mutual Fund /Research Analyst / Investment Advisory 20 Hrs/ 30 Hrs/ 50 Hrs
5 Certified Personal Finance Specialist 10 Hrs
Cooperation Expected from Second Party –

Hedge School of Applied Economics: 1. The industry faculty from HSAE will engage in skill oriented classes on the basis of the mutually accepted curriculum
2. Imparting of industry oriented theoretical knowledge should be done by the Second Party.
3. Course modules of the program will be decided after mutual consideration of both parties.
4. As a part of the evaluation, student presentations, written tests, and practical tests should be conducted by the Second Party.
5. Awarding certificates: After the evaluation, co- branded certificates issued by KASE are to be awarded by Second Party.

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Advantages for the First Party • Gain critical insights from the industry subject matter expert.
• Add respected credentials to the resume of the students. • Improve the adaptability of the students to the banking & financial services industry. Advantages for the Second Party • Improve visibility of the programs conducted by HSAE in association with various accredited certification programs –KASE/AAFM • Employer’s get an option for recruiting the best out of the trained pool of the students • More publicity through associating as a partner in the programme Location The programme will be conducted at the facilities provided by the first party. Commencement of the program The program will be conducted based on the mutual understanding between the first party and second party Payment 50% of the total program fees pay on the commencement day, balance to be paid on the final day of the session Certificates After conducting the program, evaluation will be conducted on the last day of each batch. Based on the assessment certificates will be issued by the second party.

EXECUTED AS AN AGREEMENT Signed for and on behalf of Sree Narayana College Kollam
Dr.R. Sunil Kumar - Principal (Signature)

(Seal):

Signed for and on behalf of Hedge School Applied Economics Benil Dani Alexander –
Managing Director (Signature)

(Seal).

S.R.



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LIST OF MEMBERS OF BOARD OF STUDIES

Members

Dr.R .Raveendran

(External member)

R.R.

Dr.G.Jayadevan

(External member)

G.J.

Sri.AnilRaj.V

(Internal member)

A.R.V.

Dr. A.Rajashekar

(Internal member)

A.R.

Smt. Preseeja.P.J

(Internal member)

P.P.J.

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KNOWLEDGE
BRINGS WEALTH!

NISM TRAINING

The National Institute of Securities Markets (NISM), which is the educational arm of the Securities Exchange Board of India (SEBI), has taken a major step in India since 2006 to develop the level of financial education in the country.

NISM helps the market participants of India to develop their financial skills to the right level and expertise. This helps them to provide high quality service and actions to anyone who wishes to invest in the financial markets. With the knowledge gathered through various courses and certifications conducted by NISM, they are able to help the investors to take informed decisions about how to invest their money.

 **Hedge** | School of Applied Economics

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The NISM, a public trust established in 2006 by SEBI, which is a regulatory authority for the Securities Market in India. It carries out a wide range of courses and offers certifications to market participants. Its goal is to improve the knowledge levels of anyone who wishes to participate in the Indian stock markets. The institute has six schools and educates people for the professionalism and standardization of the securities markets.

No.	Name of the exam	Duration
1	NISM Series – XII: Securities Market Foundation Certification Examination	10 Hours
2	NISM Series V A: Mutual Fund Distributors Certification Examination	20 Hours
3	NISM Series- XV: Research Analyst Certification Examination	25 Hours
4	NISM Series – X A: Investment Adviser (Level 1) Certification Examination	30 Hours
5	NISM Series – X B: Investment Adviser (Level 2) Certification Examination	35 Hours

For more details, please contact us at
 +91 9745742222 / 9388175053 / 8907368270
 email: info@schoolofhedge.com, training@schoolofhedge.com



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AGENDA: BOS TO BE HELD ON JULY 10,2020

NOTICE

SREE NARAYANA COLLEGE KOLLAM

P.G and Research department of Commerce

A meeting of the Board of Studies of the Department regarding Certificate course on Mutual fund will be held on 10.07.2021 at 10:00 AM in online mode

You are requested to make it convenient to attend the same.

AGENDA FOR PROPOSED BOARD OF STUDIES (BoS) MEETING

Item No. 1 : Regarding approval of the Certificate course

Item No. 2 : To consider the approval of scheme and syllabi of the certificate course

Item No. 3: Regarding the arrangements of Infra structure .

Smt.Preseeja.P.J

Board of studies Member Secretary

Dr.R.sunilkumar(Principal)

Board of studies Chairman

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Minutes of Meeting;

Time - 10 am.

HOD welcomed and briefed the members about the agenda.

1. To discuss about the importance of Medical fund.
2. To discuss about the admission procedure.
3. To present the scheme and syllabus.
4. To discuss the infra structure regard.

The meeting came to an end by 12.

Members Present: Do. R. Pavandran (Regular member)

Do. G. Jayadevan (Regular member)

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SELECTION LIST OF STUDENTS

NAME	CANDIDATE CODE	CLASS	DEPARTMENT
Akhil Raj R	15918132037	3rd Year	Commerce
Gokul Krishnan	15918132048	3rd Year	Commerce
Santhilal N R	15918132025	3rd Year	Commerce
Ananthakrishnan J R	15918132038	3rd Year	Commerce
Anand M S	15918132003	3rd Year	Commerce
Gaury krishna U	15918132047	3rd Year	Commerce
Athulya S	15918132007	3rd Year	Commerce
Arthana S	15918132042	3rd Year	Commerce
Dhanusree S	15918132046	3rd Year	Commerce
Nandana T	15918132061	3rd Year	Commerce
Greeshma M	15918132075	3rd Year	Commerce
Reshma Reghu	15918132076	3rd Year	Commerce
Adithya Krishnan L	15918132001	3rd Year	Commerce
Sreelekshmi G	15918132026	3rd Year	Commerce
Jasmin I	15918132054	3rd Year	Commerce
Meera M	15918132009	3rd Year	Commerce
Anjali Anand	15918132040	3rd Year	Commerce
Soorya A	15918132069	3rd Year	Commerce
Nandana Babu	15918132012	3rd Year	Commerce
Navina Jath	15918132062	3rd Year	Commerce
Gouri Nanda V	15918132049	3rd Year	Commerce
Sneha B	15918132067	3rd Year	Commerce
Namitha Wilson	15918132011	3rd Year	Commerce
Nandana S Vijayan	15918132013	3rd Year	Commerce
Sandra S Joy	15918132023	3rd Year	Commerce
Hima Manoj	15918132052	3rd Year	Commerce

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Lavanya S	15918132057	3rd Year	Commerce
Prince U	15918132017	3rd Year	Commerce
Revathy B	15918132021	3rd Year	Commerce
Megha S Gopan	15918132010	3rd Year	Commerce
Jithin Krishnan P R	15918132055	3rd Year	Commerce
Bismi Binu	15918132045	3rd Year	Commerce
Renjana Krishnan	15918132019	3rd Year	Commerce
Aiswarya S Kumar	15918132002	3rd Year	Commerce
Ashtamy Darsan k	15918132006	3rd Year	Commerce
Lenin M	15918132058	3rd Year	Commerce
Abhiram M S	15918132032	3rd Year	Commerce
Haritha Thampi R	15918132050	3rd Year	Commerce
Aparna M S	15918132005	3rd Year	Commerce
Parvathy S S	15918132014	3rd Year	Commerce
Athira M	15918132044	3rd Year	Commerce
Amrutha U	59019132003	2nd Year	M Com
Heena M	59019132011	2nd Year	M Com
Nikhil T G	59019132014	2nd Year	M Com
Arishna Suresh	59019132006	2nd Year	M Com
Arsha Kamal	59019132007	2nd Year	M Com
Archana S	59019132005	2nd Year	M Com
Sethulakshmi	59019132020	2nd Year	M Com
Gouri Nandhan	59019132010	2nd Year	M Com
Rini Johnson	59019132018	2nd Year	M Com
Unnimaya J	59019132023	2nd Year	M Com
Kavya S S	15919132058	2nd Year	Commerce
Meenakshy R	15919132063	2nd Year	Commerce
Adith Krishnan S	15919132028	2nd Year	Commerce
Vijitha V	15919132025	2nd Year	Commerce
Sanjana.S		2nd Year	Commerce
SANALDEV S,	15918132022	3rd Year	Commerce

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Surya Babu

15919132022 2nd Year

Commerce

Arjun.K

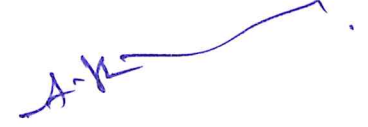
15919132040 2nd Year

Commerce

Indrajith.A

15919132057 2nd Year

Commerce



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SREE NARAYANA COLLEGE KOLLAM
CERTIFICATE COURSE 2020-21

No. of students passed:

Sl No.	Candidate Code	Name of Candidate	Department	signature
1	15918132037	Akhil Raj R	COMMERCE	Akhil Raj
2	15918132048	Gokul Krishnan	COMMERCE	Gokul
3	15918132025	Santhilal N R	COMMERCE	Santhilal
4	15918132038	Ananthakrishnan J R	COMMERCE	Ananthans
5	15918132003	Anand M S	COMMERCE	Anand M
6	15918132047	Gaurya krishna U	COMMERCE	Gaurya
7	15918132007	Athulya S	COMMERCE	Athulya S
8	15918132042	Arthana S	COMMERCE	Arthana
9	15918132046	Dhanusree S	COMMERCE	Dhanusree S
10	15918132061	Nandana T	COMMERCE	Nandhana
11	15918132075	Greeshma M	COMMERCE	Ukreeghna
12	15918132076	Reshma Reghu	COMMERCE	Rashma
13	15918132001	Adithya Krishnan L	COMMERCE	Adithya Krishnan
14	15918132026	Sreelekshmi G	COMMERCE	Sreelekshmi
15	15918132054	Jasmin I	COMMERCE	Jasmin
16	15918132009	Meera M	COMMERCE	Meera
17	15918132040	Anjali Anand	COMMERCE	Anjali
18	15918132069	Soorya A	COMMERCE	Soorya A
19	15918132012	Nandana Babu	COMMERCE	Nandana
20	15918132062	Navina Jath	COMMERCE	Navina
21	15918132049	Gouri Nanda V	COMMERCE	Gouri Nanda
22	15918132067	Sneha B	COMMERCE	Sneha
23	15918132011	Namitha Wilson	COMMERCE	Namitha
24	15918132013	Nandana S Vijayan	COMMERCE	Nandana
25	15918132023	Sandra S Joy	COMMERCE	Sandra
26	15918132052	Hima Manoj	COMMERCE	Hima
27	15918132057	Lavanya S	COMMERCE	Lavanya
28	15918132017	Prince U	COMMERCE	Prince
29	15918132021	Revathy B	COMMERCE	Revathy
30	15918132010	Megha S Gopan	COMMERCE	Megha
31	15918132055	Jithin Krishnan P R	COMMERCE	Jithin
32	15918132045	Bismi Binu	COMMERCE	Bismi
33	15918132019	Renjana Krishnan	COMMERCE	Renjana
34	15918132002	Aiswarya S Kumar	COMMERCE	Aiswarya
35	15918132006	Ashtamy Darsan k	COMMERCE	Ashtamy
36	15918132058	Lenin M	COMMERCE	Lenin
37	15918132032	Abhiram M S	COMMERCE	Abhiram
38	15918132050	Haritha Thampi R	COMMERCE	Haritha
39	15918132005	Aparna M S	COMMERCE	Aparna


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40	15918132014	Parvathy S S	COMMERCE	Parvathy.S.S
41	15918132044	Athira M	COMMERCE	Athira
42	59019132003	Amrutha U	COMMERCE	Amrutha.U
43	59019132011	Heena M	COMMERCE	Heena
44	59019132014	Nikhil T G	COMMERCE	Nikhil
45	59019132006	Arishna Suresh	COMMERCE	Arishna
46	59019132007	Arsha Kamal	COMMERCE	Arsha
47	59019132005	Archana S	COMMERCE	Archana
48	59019132020	Sethulakshmi	COMMERCE	Sethulakshmi
49	59019132010	Gouri Nandhan	COMMERCE	Gouri
50	59019132018	Rini Johnson	COMMERCE	Rini
51	59019132023	Unnimaya J	COMMERCE	Unnimaya
52	15919132058	Kavya S S	COMMERCE	Kavya
53	15919132063	Meenakshy R	COMMERCE	Meenakshy
54	15919132028	Adith Krishnan S	COMMERCE	Adith Krishnan
55	15919132025	Vijitha V	COMMERCE	Vijitha
56	15918132022	Sanjana.S	COMMERCE	Sanjana
57	15919132022	SANALDEV S,	COMMERCE	Sanaldev
58	15919132040	Surya Babu	COMMERCE	Surya Babu
59	15919132057	Arjun.K	COMMERCE	Arjun
60	59019132014	Indrajith.A	COMMERCE	Indrajith.A

A.K

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LIST OF STUDENTS PASSED THE COURSE

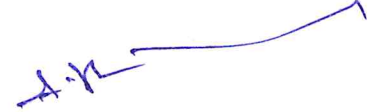
SL NO	NAME	CANDIDATE CODE	CLASS	DEPARTMENT
1	Akhil Raj R	15918132037	3rd Year	Commerce
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26	Hima Manoj	15918132052	3rd Year	Commerce
27	Lavanya S	15918132057	3rd Year	Commerce


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28	Prince U	15918132017	3rd Year	Commerce
29	Revathy B	15918132021	3rd Year	Commerce
30	Megha S Gopan	15918132010	3rd Year	Commerce
31	Jithin Krishnan P R	15918132055	3rd Year	Commerce
32	Bismi Binu	15918132045	3rd Year	Commerce
33	Renjana Krishnan	15918132019	3rd Year	Commerce
34	Aiswarya S Kumar	15918132002	3rd Year	Commerce
35	Ashtamy Darsan k	15918132006	3rd Year	Commerce
36	Lenin M	15918132058	3rd Year	Commerce
37	Abhiram M S	15918132032	3rd Year	Commerce
38	Haritha Thampi R	15918132050	3rd Year	Commerce
39	Aparna M S	15918132005	3rd Year	Commerce
40	Parvathy S S	15918132014	3rd Year	Commerce
41	Athira M	15918132044	3rd Year	Commerce
42	Amrutha U	59019132003	2nd Year	M Com
43	Heena M	59019132011	2nd Year	M Com
44	Nikhil T G	59019132014	2nd Year	M Com
45	Arishna Suresh	59019132006	2nd Year	M Com
46	Arsha Kamal	59019132007	2nd Year	M Com
47	Archana S	59019132005	2nd Year	M Com
48	Sethulakshmi	59019132020	2nd Year	M Com
49	Gouri Nandhan	59019132010	2nd Year	M Com
50	Rini Johnson	59019132018	2nd Year	M Com
51	Unnimaya J	59019132023	2nd Year	M Com
52	Kavya S S	15919132058	2nd Year	Commerce
53	Meenakshy R	15919132063	2nd Year	Commerce
54	Adith Krishnan S	15919132028	2nd Year	Commerce
55	Vijitha V	15919132025	2nd Year	Commerce
56	Sanjana.S		2nd Year	Commerce
57	SANALDEV S,	15918132022	3rd Year	Commerce
58	Surya Babu	15919132022	2nd Year	Commerce


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59	Arjun.K	15919132040	2nd Year	Commerce
60	Indrajith.A	15919132057	2nd Year	Commerce



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SREE NARAYANA COLLEGE, KOLLAM

PG AND RESEARCH DEPARTMENT OF COMMERCE

MARKLIST

The marks obtained by the student HARITHA APARNA.M.S, Second sem Mcom in the examination for the certificate course of Mutual fund conducted by the college in association with Hedge school of Applied Economics

MARK ATTENDED	MINIMUM FOR PASS	MAXIMUM MARKS
80	50	100


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PG AND RESEARCH DEPARTMENT OF COMMERCE

MARKLIST

The marks obtained by the student HARITHA LENIN.M, Second sem Mcom in the examination for the certificate course of Mutual fund conducted by the college in association with Hedge school of Applied Economics

MARK ATTENDED	MINIMUM FOR PASS	MAXIMUM MARKS
76	50	100



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PG AND RESEARCH DEPARTMENT OF COMMERCE

MARKLIST

The marks obtained by the student HARITHA THAMPI.R, Second sem Mcom in the examination for the certificate course of Mutual fund conducted by the college in association with Hedge school of Applied Economics

MARK ATTENDED	MINIMUM FOR PASS	MAXIMUM MARKS
83	50	100


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PG AND RESEARCH DEPARTMENT OF COMMERCE

MARKLIST

The marks obtained by the student BISMI BINU, Second sem Mcom in the examination for the certificate course of Mutual fund conducted by the college in association with Hedge school of Applied Economics

MARK ATTENDED	MINIMUM FOR PASS	MAXIMUM MARKS
83	50	100



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PG AND RESEARCH DEPARTMENT OF COMMERCE

MARKLIST

The marks obtained by the student SOORYA.A, Second sem Mcom in the examination for the certificate course of Mutual fund conducted by the college in association with Hedge school of Applied Economics

MARK ATTENDED	MINIMUM FOR PASS	MAXIMUM MARKS
84	50	100



A. Rajasekaran

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