



MANGALMAY INSTITUTE OF MANAGEMENT & TECHNOLOGY
(Approved by AICTE, New Delhi & Affiliated to AKTU, Lucknow)
Knowledge Park-II, Greater Noida (U.P.)



MANGALMAY
INSTITUTE OF MANAGEMENT & TECHNOLOGY

CERTIFICATION PROGRAM

**NISM Series V-A: Mutual Fund Distribution-
Nifty Ki Pathshala**

From

5th - 27th October, 2021

Convener : Dr. Shruti Srivastava, Asst. Professor

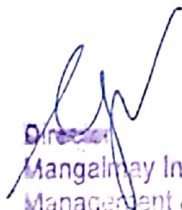
For MBA Ist Semester

Resource Person

Mr. CHANDRESH GUPTA

NISM Certified Trainer

www.mimt.org | Plot No. 8 & 9, Knowledge Park-II, Greater Noida, Delhi-NCR, India


Director
Mangalmay Institute of
Management & Technology
Greater Noida





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Dated: 4th October, 2021

NOTICE

This is to inform all MBA First Sem students of Management Department that an Add-on Certification Program on "NISM Series V-A: Mutual Fund Distribution-Nifty Ki Pathshala" is being scheduled from 5th-27th Oct'21 at classroom of Block B. The Resource Person for the program will be Mr. Chandresh Gupta, a certified trainer of NISM. The timing for the program will be 3:00pm to 6:00pm.

All interested students are required to enroll themselves to Dr. Shruti Srivastava, Assistant Professor, MIMT.


(HOD-MBA)
MIMT


Director
MIMT

Annexure:

Syllabus
Schedule

CC to:

IQAC Director
All Faculty members
All Students
Notice Board/ Digital Platform/ Students whatsapp Group
Office File





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SCHEDULE

Session	Content	Session Timing	Date
1.	Mutual Fund, Fund Structure & Constituent	3 pm to 6pm	5 th Oct, 2021
2.	Legal & Regulatory Environment	3 pm to 6pm	6 th Oct, 2021
3.	Legal & Regulatory Environment	3 pm to 6pm	7 th Oct, 2021
4.	Offer Document	3 pm to 6pm	8 th Oct, 2021
5.	Fund Distribution & Channel Management Practices	3 pm to 6pm	11 th Oct, 2021
6.	Accounting, Valuation & Taxation	3 pm to 6pm	12 th Oct, 2021
7.	Accounting, Valuation & Taxation	3 pm to 6pm	13 th Oct, 2021
8.	Investor Service	3 pm to 6pm	18 th Oct, 2021
9.	Investor Service	3 pm to 6pm	20 th Oct, 2021
10.	Return, Risk & Performance of Funds	3 pm to 6pm	21 th Oct, 2021
11.	Mutual Fund Scheme Selection	3 pm to 6pm	22 nd Oct, 2021
12.	Selecting the Right Investment Products for Investors	3 pm to 6pm	25 th Oct, 2021
13.	Helping Investors with Financial Planning	3 pm to 6pm	26 th Oct, 2021
14.	Recommending Model Portfolios & Financial Plans	3 pm to 6pm	27 th Oct, 2021

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SYLLABUS

NISM-Series-V-A: Mutual Fund Distributors Certification Examination

Course Code: NISM5A

Objective of the Examination

The examination seeks to create a common minimum knowledge benchmark for all persons involved in selling and distributing mutual funds including:

- Individual Mutual Fund Distributors
- Employees of organizations engaged in sales and distribution of Mutual Funds
- Employees of Asset Management Companies specially persons engaged in sales and distribution of Mutual Funds

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

On successful completion of the examination the candidate should:

- Know the basics of mutual funds, their role and structure, different kinds of mutual fund schemes and their features
- Understand how mutual funds are distributed in the market-place, how schemes are to be evaluated, and how suitable products and services can be recommended to investors and prospective investors in the market.
- Get oriented to the legalities, accounting, valuation and taxation aspects underlying mutual funds and their distribution.
- Get acquainted with financial planning as an approach to investing in mutual funds, as an aid for mutual fund distributors to develop long term relationships with their clients.

Examination Specifications

- This is a computer-based examination with multiple choice questions.
- The examination consists of 100 questions of 1 mark each adding to 100 marks.
- The examination should be completed in 2 hours.
- There shall be no negative marking.
- The passing score for the examination is 50 marks.

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	Report
Name of Activity	NISM Series V-A: Mutual Fund Distribution-Nifty Ki Pathshala (42 Hours)
Date	5 th - 27 th October, 2021 (3:00pm – 6:00pm)
Venue	Seminar Hall, Block A, MIMT
Organized by	Management Department
Name of Expert	Mr. Chandresh Gupta, NISM Certified Trainer
Beneficiary	Students of MBA 1 st Sem (25 students)
Activity -Convener	Dr. Shruti Srivastava, Asst. Professor, MIMT
Objective	The certification aims to enhance the quality of sales, distribution, and related support services in the mutual fund industry. Moreover, this certification also focuses on imparting sound knowledge regarding Mutual Funds, Mutual Fund schemes & its advantages as per investors prospects.
Content	<p>As per MOU signed between Nifty ki Pathshala & Mangalmay Institute of Management & Technology, Institute had organised a Value addition certification course on “Training on NISM Certification”. Expert started the session with some theoretical about the basics of Mutual funds, their role & structure & different kinds of mutual funds schemes & their features. Expert explained how the schemes of the mutual funds are to be evaluated. Expert explained the investor education, legal provision, valuation & taxation aspects underlying mutual funds & their distribution.</p> <p>Day 1: The session was introductory session on Mutual Fund. The resource person discussed the types of mutual funds schemes in the market.</p> <p>Day 2&3: These sessions were on legal & regulatory environment of the mutual fund industry. The guidelines given by SEBI for mutual fund was also discussed.</p>

Shruti

Director
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Day 4: In this session, the resource person shared his knowledge on procedure of applying for mutual fund. The resource person also explained the offer documents needed for mutual fund.

Day 5: In this session, the resource person discussed channel management practice and fund distribution process and procedure. Further, he discussed the role of Asset Management Companies specially persons engaged in sales and distribution of Mutual Fund

Day 6&7: The session was on valuation & taxation. In these sessions, the resource person shared mutual fund accounting and also covered a wide range of basic functions are which are performed by internal staff or assigned to other providers, such as supervisor banks.

Day 8&9: In these sessions, some interesting topics of mutual funds were discussed such as investor services, record keeping and other administrative services provided by Product Distributor or a Selling Broker-Dealer, an Insurer, a third-party administrator for an Insurer.

Day 10: In this session, the resource person discussed the concept of risk and return. Some examples were discussed with the students regarding risk and return element.

Day 11&12: In this session, resource person discussed how one can select best suited mutual fund and criteria of selecting best mutual fund.

Day 13: In this session, the resource person discussed the use of mutual funds for long term financial planning from the perspective of investors.

Day 14: In this session, the resource person discussed about the model portfolio that provide a combination of managed investments. Further, he shared how to blend various asset classes and develop investment styles to achieve diversification.

Shanti

[Signature]
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Outcome of Activity	Students learned the basics of mutual funds, their role and structure. different kinds of mutual fund schemes and their features. They also understood how mutual funds are distributed in the market-place and on what parameters various mutual fund schemes are to be evaluated. Further, the students get acquainted with financial planning as an approach to investing in mutual funds. They also got oriented to the legalities, accounting, valuation, and taxation aspects related to mutual funds and their distribution in the market.
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List of Beneficiary

S. No.	Students
1.	Ayush Dev
2.	Akansha Tanwar
3.	Akash
4.	Akshay Dubey
5.	Aman Dubey
6.	Aman Tripathi
7.	Anil Maurya
8.	Ashutosh Mishra
9.	Bhawna
10.	Deepali Thakur
11.	Deepanshu
12.	Divya Prakash Singh
13.	Hritik
14.	Jamshed
15.	Manisha Singh
16.	Ruchi Barnwal
17.	Shikhar Mishra
18.	Shivangi
19.	Shrikrishan Gautam
20.	Somansh Gautam
21.	Sumit Tiwari
22.	Sundithi Singh

Shanti

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23.	Utkarsh
24.	Vansh Jain
25.	Vanshita

RESOURCE PERSON PROFILE



Mr. Chandresh Gupta
Trainer of NISM and ICAI

Mr. Chandresh Gupta has qualified more than 25 certification courses of NISM, NCFM & BCFM. Having 20 Years of work experience in Securities market, Education & stock broking & Wealth management. He has been the Branch manager in IL&FS & in HSBC Invest Direct in 2009. Empanelled with SEBI as SMART (Securities market Trainer) for conducting Investor Awareness training programs on subjects of Securities & Financial Market & also associated with NSE, BSE, CIEL, SRE & other corporate Institutions. Imparts training of Business development employees' program & NISM Certifications for Banking & Broking Houses & Management colleges (Visiting faculty in Amity, Jaipuria, GNIOT, AMU, K.V). Has also delivered Financial Literacy Awareness programs in Govt. areas like NDRF, RPF.

He is also empanelled with NISM as a Trainer for CPE Programs. He has delivered more than 200 NISM CPE programs & 250IAP Program North India. His Forte lies inequity Derivatives & Mutual funds.

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NISM

REGULATED ACADEMY IN
SECURITIES MARKETS
AS ESTABLISHED UNDER SEBI



Provisional Certificate

Registration Number : NISM-202100122802
 Enrolment Number : 2100259285
 Candidate Name : VANSH JAIN
 PAN : BHPJ3690P
 Examination Name : NISM Series V-A: Mutual Fund Distributors Certification Examination
 Language : English
 Testing Centre : EXAM FROM ANYWHERE
 Examination Date : 28-Oct-2021
 Examination Time : 15.00 - 17.00



Marks Scored	Out of Total Marks	Percentage	Passing Percentage	No. of Questions attempted	Questions answered Correctly	Questions answered Incorrectly	Result
79	100	79	50	0	0	0	Pass

PGCM (DSFM)
AICTE Approved

Post Graduate Certificate In Management

Data Science

In Financial Markets

NISM REGULATED ACADEMY IN SECURITIES MARKETS AS ESTABLISHED UNDER SEBI

For more information
Admission Helpdesk
Email: pgcm@nism.ac.in

Download Prospectus from:
<http://www.nism.ac.in/pgcm/>

14 Month Regular Weekend Programme
Academic Year 2021-22

Shanti

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