



**HSNC University, Mumbai**

**The Faculty of Commerce and Management**

Choice Based Credit system (CBCS)

Syllabus for  
**First Year Bachelors in Vocation- (Wealth Management)**

With effect from the Academic year 2020-2021



## **HSNC UNIVERSITY, MUMBAI**

### **Board of Studies in Faculties of Commerce & Management**

#### **Board of Studies in the Subject of Banking, Insurance and Financial Markets**

**1) Name of Chairperson/Co-Chairperson/Coordinator:-**

- a) **Dr. Tasneem Razmi**, Chairperson, Assistant Professor- Accounting and Finance, HR College, HSNC University Churchgate, Mumbai – 400 020. Email ID- [tasneemrazmi@gmail.com](mailto:tasneemrazmi@gmail.com) Mobile no- 9820478500
- b) **Ms. Ritika Pathak**, Co- Chairperson, Assistant Professor and Head- Department of BAF/BBI/BFM/BMS, KC College, HSNC University Churchgate, Mumbai –400 020. Email ID- [ritika.pathak@kccollege.edu.in](mailto:ritika.pathak@kccollege.edu.in), Mobile no- 9819690065.

**2) Two to five teachers each having minimum five years teaching experience amongst the full time teachers of the Departments, in the relevant subject.**

- a) **Dr Kulvinder Kaur**, Assistant Professor- KC College, HSNC University Churchgate, Mumbai – 400 020. Email ID [kulvinderkaur.batth@kccollege.edu.in](mailto:kulvinderkaur.batth@kccollege.edu.in), Mobile No- 9833060902
- b) **CA Tanzila Khan**, Assistant Professor-KC College, HSNC University, Email Id: [tanzila.khan@kccollege.edu.in](mailto:tanzila.khan@kccollege.edu.in), Mobile No- 9892151571

c) **Ms. Bharti Jethani**, Assistant Professor- HR College, HSNC University, Churchgate, Mumbai –400 020 Email ID- bharti\_jethani06@yahoo.co.in , Mobile No- 9665403944

d) **Mr Manish Malkani** , Assistant Professor, HR College, HSNC University Churchgate, Mumbai –400 020 Email ID- manish\_malkani@yahoo.com, Mobile No- 9820840241

**3) One Professor / Associate Professor from other Universities or professor / Associate Professor from colleges managed by Parent Body;**

a) **Prof. Sundar Ram Korivi**, Professor, Senior Consultant, NIFM, Email ID- sundfina9@gmail.com, Mobile No- 9987296128

**4) Four external experts from Industry / Research / eminent scholar in the field relevant to the subject nominated by the Parent Body;**

a) **Mr. Kunal Rambhia**,\_ Fund Manager, The Streets, Mumbai, Email ID – [kunal@thestreets.co.in](mailto:kunal@thestreets.co.in) Mobile no- 9820368847

b) **Mr. Madhukar Pant**, National Head, IDFC First Bank, Mumbai, Email ID – pantmadhukar1@gmail.com Mobile no-9833368048

c) **Dr Ajay Mittal**, Vice president research, training and development, SBI Funds, Mumbai, Email ID – ajay.mittal@sbif.com, Mobile no- 9833112390

5.) Top rankers of the Final Year Graduate and Final Year Post Graduate examination of previous year of the concerned subject as invitee members for discussions on framing or revision of syllabus of that subject or group of subjects for one year.

a) **Mr. Nizar Mesani**, Equity research analyst, Goldman Sachs, Email id- nizarmesani99@gmail.com , Mobile no- 9833988771

b) **Ms. Hetanshi Kamdar** , Director , ACK Capital Management Pvt Ltd, Email ID- hetanshi.kamdar@gmail.com, Mobile no- 9833590983

c) **Ms Mohini Mahadevia**, Proprietor, Solufin financial planners, Email ID- mohinimahadevia@gmail.com ,Mobile no- 983314032

# **HSNC University Mumbai**

**(Established by Government of Maharashtra vide notification dated 30<sup>th</sup> October  
2019 under section 3(6) of Maharashtra Public Universities Act)**



## **Ordinances and Regulations**

**With Respect to**

**Choice Based Credit System (CBCS)**

**For the**

**Programmes**

**Under**

**The Faculty of Arts & Commerce**

**With effect from the**

**Academic year 2020-21**

## Part I (Section A)

**R. \*\*\*\* :** The definitions of the key terms used in the Choice Based Credit System from the Academic Year 2020-2021 are as under:

**Outline of Choice Based Credit System as per University Grants Commission guidelines as under:**

1. **Core Course:** A course, which should compulsorily be studied by a candidate as a core requirement is termed as a Core course.

2. **Elective Course:** Generally, a course which can be chosen from a pool of courses and which may be very specific or specialized or advanced or supportive to the discipline/subject of study or which provides an extended scope or which enables an exposure to some other discipline/subject/domain or nurtures the candidate's proficiency/skill is called an Elective Course.

2.1 **Discipline Specific Elective (DSE) Course:** Elective courses may be offered by the main discipline/subject of study is referred to as Discipline Specific Elective.

The University/Institute may also offer discipline related Elective courses of **interdisciplinary** nature (to be offered by main discipline/subject of study).

2.2 **Dissertation/Project:** An elective course designed to acquire Special/advanced knowledge, such as supplement study/support study to a project work, and a candidate studies such a course on his own with an advisory support by a teacher/faculty member is called dissertation/project. **A Project/Dissertation work would be of 6 credits.** A Project/Dissertation work may be given in lieu of a discipline specific elective paper.

2.3 **Generic Elective (GE) Course:** An elective course chosen generally from an unrelated discipline/subject, with an intention to seek exposure is called a Generic Elective.

A core course offered in a discipline/subject may be treated as an elective by other discipline/subject and vice versa and such electives may also be referred to as Generic Elective.

3. **Ability Enhancement Courses (AEC):** The Ability Enhancement (AE)

Courses may be of two kinds: Ability Enhancement Compulsory Courses (AECC) and Skill Enhancement Courses (SEC).

"AECC" courses are the courses based upon the content that leads to Knowledge enhancement; SEC courses are value-based and/or skill-based and are aimed at providing hands-on-training, competencies, skills, etc.

4. **Choice Base Credit System (CBCS):**

CBCS allows students to choose inter-disciplinary, intra-disciplinary courses, skill oriented papers (even from other disciplines according to their learning needs, interests and aptitude) and more flexibility for students.

5. **Honours Program**

To enhance employability and entrepreneurship abilities among the learners, through aligning Inter Disciplinary / Intra Disciplinary courses with Degree Program. Honours Program will

have 40 additional credits to be undertaken by the learner across three years essentially in Inter / Intra Disciplinary course.

A learner who joins Regular Undergraduate Program can opt for Honours Program in the first year of the Program. However, the credits for Honours, though divided across three years can be completed within three years to become eligible for award of Honours Degree.

### **6. Program:**

A Program is a set of courses that are linked together in an academically meaningful way and generally ends with the award of a Degree Certificate depending on the level of knowledge attained and the total duration of study of Undergraduate Programs.

### **7. Course:**

A 'course' is essentially a constituent of a 'program' and may be conceived of as a composite of several learning topics taken from a certain knowledge domain, at a certain level. All the learning topics included in a course must necessarily have academic coherence, i.e. there must be a common thread linking the various components of a course. A number of linked courses considered together are in practice, a 'program'.

### **8. Bridge Course:**

Bridge course is visualized as Pre semester preparation by the learner before commencement of regular lectures. For each semester the topics, whose knowledge is considered as essential for effective and seamless learning of topics of the Semester, will be specified. The Bridge Course can be conducted in online mode. The Online content can be created for the Bridge Course Topics.

### **9. Module and Unit:**

A course which is generally an independent entity having its own separate identity, is also often referred to as a 'Module' in today's parlance, especially when we refer to a 'modular curricular structure'. A module may be studied in conjunction with other learning modules or studied independently. A topic within a course is treated as a Unit. Each course should have Units.

### **10. Self-Learning:**

**20% of the topics will be marked for Self-Learning.** Topics for Self-Learning are to be learned independently by the student, in a time-bound manner, using online and offline resources including online lectures, videos, library, discussion forums, field work, internships etc.

Evaluative sessions (physical/online), equivalent to the credit allocation of the Self Learning topics, shall be conducted, preferably, every week for each course. Learners are to be evaluated real time during evaluative sessions. The purpose of evaluative sessions is to assess the level of the students' learning achieved in the topics earmarked for Self-Learning.

The teacher's role in these evaluative sessions will be that of a Moderator and Mentor, who will guide and navigate the discussions in the sessions, and offer concluding remarks, with proper reasoning on the aspects which may have been missed by the students, in the course of the Self-Learning process.

The modes to evaluate self-learning can be a combination of the various methods such as written reports, hand-outs with gaps and MCQs, objective tests, case studies and Peer learning. Groups can be formed to present self-learning topics to peer groups, followed by Question and Answer sessions and open discussion. The marking scheme for Self Learning has been defined under Examination and Teaching.

The topics stipulated for self-learning can be increased or reduced as per the recommendations of the Board of Studies and Academic Council from time to time. All decisions regarding evaluation need to be taken and communicated to the stakeholders preferably before the commencement of a semester. Some exceptions may be made in exigencies, like the current situation arising from the lockdown, but such ad hoc decisions are to be kept to the minimum possible.

### **11. Credit Point:**

Credit Point refers to the 'Workload' of a learner and is an index of the number of learning hours deemed for a certain segment of learning. These learning hours may include a variety of learning activities like reading, reflecting, discussing, attending lectures / counselling sessions, watching especially prepared videos, writing assignments, preparing for examinations, etc. Credits assigned for a single course always pay attention to how many hours it would take for a learner to complete a single course successfully. A single course should have, by and large a course may be assigned anywhere between 1 to 4 credit points wherein 1 credit is construed as corresponding to approximately 12 to 15 hours.

### **12. Credit Completion and Credit Accumulation:**

Credit acquisition and Credit completion shall be considered to take place after the learner has successfully cleared all the evaluation criteria with respect to a single course. Thus, a learner who successfully completes required CP (Credit Point) course may be considered to have collected or acquired total credits. Learner level of performance above the minimum prescribed level (viz. grades / marks obtained) has no bearing on the number of credits collected or acquired. A learner keeps on adding more and more credits as he completes successfully more and more courses. Thus the learner 'accumulates' course wise credits.

### **13. Credit Bank:**

A Credit Bank refers to stored and dynamically updated information regarding the number of Credits obtained by any given learner along with details regarding the course/s for which Credit has been given, the course-level, nature, etc. In addition, all the information regarding the number of Credits transferred to different programs or credit exemptions given may also be stored with the individual's history.

### **14. Credit Transfer:**

(performance transfer) When a learner successfully completes a program, he/she is allowed to transfer his/her past performance to another academic program having some common courses and Performance transfer is said to have taken place.

### **15. Course Exemption:**

Occasionally, when two academic programs offered by a single university or by more than one university, may have some common or equivalent course-content, the learner who has already completed one of these academic programs is allowed to skip these 'equivalent' courses while registering for the new program. The Learner is 'exempted' from 'relearning' the common or equivalent content area and from re-appearing for the concerned

examinations. It is thus taken for granted that the learner has already collected in the past the credits corresponding to the exempted courses.



## Part II (Section B)

**Note: The Ordinances and Regulations given below are applicable to Undergraduate Program of Faculty of Commerce & Management and Faculty of Humanities, unless and otherwise specified.**

**O\*\*\*\*\***

Minimum duration of undergraduate programmes will be of 3 years in the Semester pattern i.e. from Sem. I to Sem. VI.

The degree will be awarded to a learner who successfully completes 120 credits of the programme in period of 3 to 6 years from the year of enrolment to Semester VI.

If a learner does not earn 120 credits in 12 semesters from the year of enrolment to semester I, he/she may at his/her option transfer his/her performance in the existing/new program after establishing equivalence between old and new syllabus. Such a performance transfer will be decided by the Board of Studies / Ad-hoc Board / Ad hoc Committee of the concerned subject. The admission to the program will be governed by the existing rules.

**O\*\*\*\*\* The fees for transfer of credits or performance will be based on number of credits that a learner has to complete for award of the degree.**

**R\*\*\*\*** Credits earned at one institution for one or more courses under a given program will be accepted under another program either by the same institution or another institution either through Direct Performance Transfer or Course exemption.

**R\*\*\*\* The Scheme of Teaching and Examination:**

The Scheme of Teaching and Examination shall be divided into **TWO** components, **internal assessment and External assessment** (semester-end examination) for each course of the program.

The performance of the learners shall be evaluated in two components: Internal Assessment with 40% marks by way of continuous evaluation and by Semester End Examination with 60% marks by conducting the theory examination.

**Internal Assessment:** - It is defined as the assessment of the learners based on continuous evaluation as envisaged in the credit-based system by way of participation of learners in various academic and correlated activities in the given semester of the programme.

**A). Internal Assessment – 40%**

**40 marks**

**1. For Theory Courses**

| Sr. No. | Particulars  | Marks    |
|---------|--|----------|
| 1       | <b>ONE</b> class test / online examination to be conducted in the given semester | 15 Marks |
| 2       | One assignment based on curriculum (to be assessed by the teacher Concerned      | 10 Marks |
| 3       | Self-Learning Evaluation   | 10 Marks |
| 4       | Active participation in routine class instructional deliveries                   | 05 Marks |

## 2. For Practical Courses

| Sr. No. | Particulars  | Marks    |          |
|---------|--|----------|----------|
| 1       | Semester End Practical Examination   | 15 Marks |          |
|         | Journal  |          | 05 Marks |
|         | Viva   |          | 05 Marks |
|         | Laboratory Work  |          | 05 Marks |
| 2.      | One assignment/project with the class presentation to be assessed by teacher concerned | 10 Marks |          |
|         | Presentation   |          | 05 Marks |
|         | Written Document   |          | 05 Marks |
| 3       | Self-Learning Evaluation   | 10 Marks |          |
| 4       | Active participation in routine class / Laboratory instructional deliveries            | 05 Marks |          |

### ➤ Project and Assignment:

- Project or Assignment, which can in the following forms
  - Case Studies
  - Videos
  - Blogs
  - Research paper (Presented in Seminar/Conference)
  - Field Visit Report
  - Presentations related to the subject (Moot Court, Youth Parliament, etc.)
  - Internships (Exposition of theory into practice)
  - Open Book Test
  - Any other innovative methods

### ➤ **Self-Learning Evaluation**

- 20% of the topics of the curriculum are learned by the student through self-learning using online/offline academic resource specified in the curriculum. hence 20% of the lectures shall be allocated for evaluation of students on self-learning topics.
- The identified topics in the syllabus shall be learnt independently by the students in a time-bound manner preferably from online resources. Evaluative sessions shall be conducted by the teachers and will carry 10 Marks.
- The self-learning topics can be evaluated into 3-4 student groups on the topics .
- Prescribe time duration (in days) for completion of each group of the topic and earmark self-learning evaluation lectures in the timetable. hence each group of the topic can be assigned 3 regular lectures for this evaluation for the entire class.

#### **3 Sub Topics**

Each evaluative session shall carry 3 Marks (3 x 3 Units = 9 Marks). Students who participate in all evaluative sessions shall be awarded 1 additional Mark.

#### **4 Sub Topics**

Each evaluative session shall carry 2.5 Marks (2.5 x 4 Units = 10 Marks).

- Evaluation of self-learning topics can commence in regular lectures assigned for self-learning evaluation in the timetable
- All students will actively participate in the presentation of each of the sub-topics.
- SUGGESTIVE Methods for Evaluation of Self-learning topics IN LECTURES:
  - Seminars/presentation (PPT or poster), followed by Q&A
  - Objective questions /Quiz / Framing of MCQ questions.
  - Debates
  - Group discussion
  - You-Tube videos (Marks shall be based on the quality and viewership)
  - Improvisation of videos
  - Role Play followed by question-answers
  - Viva Voce
  - Any other innovative method

Student can be evaluated based on the quality of presentation, quality of Q & A, the framing of the quiz, conduct of quiz, performance in debate etc
- Teachers can frame other methods of evaluation also, provided that the method, duly approved by the college examination committee, is notified to the students at least 7 days before the commencement of the evaluation session and is forwarded

for information and necessary action at least 3 days before the commencement of the evaluation session.

**SEMESTER END EXAMINATION:** - It is defined as the examination of the learners based on performance in the semester-end theory / written examinations.

**B. Semester End Examination- 60 %**

**60 Marks**

- 1) Duration – These examinations shall be of 2 hours duration.
- 2) Question Paper Pattern: -
  - i. There shall be four questions each of 15 marks.
  - ii. All questions shall be compulsory with internal choice within the questions.
  - iii. The question may be sub-divided into sub-questions a, b, c, d & e only and the allocation of marks depends on the weightage of the topic.

The marks of the internal assessment should not be disclosed to the students till the results of the corresponding semester is declared by the university.



**HSNC University, Mumbai**  
(2020-2021)

## **Ordinances and Regulations**

**With Respect to**

**Choice Based Credit System  
(CBCS)**

**For the Programmes Under**

**The Faculty of Commerce and Management**

**For the programme**

**Bachelors of Vocation (BVoc) in Wealth Management**

**Curriculum– First Year Semester-I and Semester -II**

# **INDEX**

## **Semester I**

| <b>Sr. No.</b> | <b>Subject</b>                    |
|----------------|-----------------------------------|
| 1.1            | Micro Economics                   |
| 1.2            | Business and Management           |
| 1.3            | Business Communication            |
| 1.4            | Mutual Fund Management -I         |
| 1.5            | Introduction to Financial Systems |
| 1.6            | Experiential/ E- learning         |

## **Semester II**

| <b>Sr. No.</b> | <b>Subject</b>                   |
|----------------|----------------------------------|
| 1.             | Computer Application In Business |
| 2.             | Foundation Course                |
| 3.             | Financial Accounting             |
| 4.             | Mutual Fund Management II        |
| 5.             | Securities Markets               |
| 6.             | Internship based project         |

## SECTION C

### **BACHELORS OF VOCATION (B.VOC) in Wealth Management**

#### **Part 1-Preamble**

The three year Bachelors of Vocation is a outcome of the Government of India, taking note of the requirement for skill development among students as per the National Vocational Education Qualification Framework (NVEQF) which was later on assimilated into National Skills Qualifications Framework (NSQF). The University Grants Commission (UGC) had launched a scheme on skills development based higher education as part of college/university education, leading to Bachelor of Vocation (B.Voc.) Degree with multiple exits such as Diploma/Advanced Diploma under the NSQF. The B.Voc. programme is focused on universities and colleges providing undergraduate studies which would also incorporate specific job roles and their National Occupation Standards' along with broad based general education. This would enable the graduates completing B.Voc. to make a meaningful participation in accelerating India's economy by gaining appropriate employment, becoming entrepreneurs and creating appropriate knowledge.

#### **1. Course objective:**

The B Voc in Wealth Management is a three year full time undergraduate program spread across six semesters, an ideal mix of general education and skill development components. Skill component of the courses have a minimum of 60% of the total credits and may go up to a maximum of 70% of the total credits, and the balanced credits shall be of general education component.

The broad objective of B.Voc in Wealth Management will be as follows:

- (i) To understand the financial environment and its functioning
- (ii) To learn the practical aspect of the wealth management industry

- (iii) To develop an objective thought-process and long term thinking
- (iv) To sensitise the student to the current financial system scenario and pave the way to adopt ethical practices to ensure an efficient and responsible professional
- (v) To get oriented to the different asset classes and the risk associated with each asset class
- (vi) To review the life cycle of an investor
- (vii) To understand and manage risks, understand their importance at the personal and institutional level
- (viii) To suggest appropriate methods to assess an individual's personal financial position
- (ix) To construct portfolio by asset allocation as per the client needs and the risk appetite.
- (x) To assimilate and analyse micro-events in the financial sector based on macro-understanding of the financial system.

## **2. Process adopted for curriculum designing:**

The members of the respective departments initially developed a draft syllabus after research on the existing curriculum from other Universities, studying the current needs of the industry and analysing the new trends in the subjects via multiple meetings conducted with academic and industry partners. After discussion with them, personally, via mail, via messages, the changes in the syllabus were introduced.

## **3. Salient features, how it has been made more relevant.**

The B. Voc Program allows the learner the following:

- Mobility between vocational and general education by alignment of degrees with NSQF.
- Recognition of Prior Learning (RPL), allowing transition from non-formal to organized job market.



- Standardized, consistent, nationally acceptable outcomes of training across the country through a national quality assurance framework.
- Global mobility of skilled workforce from India, through international equivalence of NSQF.
- Mapping of progression pathways within sectors and cross-sectorally.
- Approval of NOS/QPs as national standards for skill training.
- It shall consist of 33 modules of 100 marks each & 3 projects of 100 marks each.
- Projects, case studies, presentations, moot courts, mock stock and industrial visits ensure a good blend of theory and practical in the course.
- Industry endorsed program that provides the exposure of working in the industry during the Summer Internship which is a compulsory component.
- The department also conducts various seminars and workshops to make the students well-versed in vocational courses.
- The subject combinations are better suited to current environments, industry requirements and employment opportunities
- The structure of the course is holistic and is aimed at making students not just successful wealth managers but aware and responsible too
- The subject matrix aims at building the pyramid of their knowledge with a steady base of general subjects with each higher level adding precise specialisation
- Through various practical sessions and simulations, students will be shown what the first few weeks at the first job will look like. So, when they actually are at their job, they will be better prepared to take on challenges.

#### **4.Learning Outcomes.**

Indian Financial Market helps in promoting the savings of the economy - helping to adopt an effective channel to transmit various financial policies. The Indian financial sector is well-developed, competitive, efficient and integrated to face all shocks. In the India financial market there are various types of financial products whose prices are determined by the numerous buyers and sellers in the market. The other determinant factor of the prices of the financial products is the market forces of demand and supply. The various other types of Indian markets help in the functioning of the wide India financial sector.

This 3-year undergraduate course is a comprehensive program which covers all the different aspects of capital markets. While the course is primarily theoretical, there is a good blend of projects, case studies and industrial visits to enable a student to get well-versed with the functioning of the industry. There is also exposure to working in the industry during the Summer internship Programs. It helps the students to:

- To provide judicious mix of skills relating to a profession and appropriate content of General Education.
- To ensure that the students have adequate knowledge and skills, so that they are work ready at each exit point of the programme.
- To provide flexibility to the students by means of pre-defined entry and multiple exit points.
- To integrate NSQF within the undergraduate level of higher education in order to enhance employability of the graduates and meet industry requirements. Such graduates apart from meeting the needs of local and national industry are also expected to be equipped to become part of the global workforce.

- To attain the skills, knowledge, morals and mindset necessary to perform ethically and responsibly in the highly regulated financial services industry.
- To learn about the essential terms, concepts and theories of wealth management.
- To apply theoretical knowledge and skills in real-life practical situations for themselves as well as clients.
- To learn to establish and maintain long term client relationships.
- To be able to advise the client about what is suitable for them after understanding their individual situation.
- To fill the huge demand for well-skilled, responsible wealth managers in our country. Serve the general population, High Net Worth individuals and corporates who need employees who are ready to jump into challenging roles.

**To provide vertical mobility to students coming out of 10+2 with vocational subjects.**

#### **5. Input from stakeholders**

For drafting the syllabus, each department has taken inputs from industry experts, parents and notable alumni. The stakeholders have been impressed with the inclusion of e-learning options for the learners provided in the syllabus. They have suggested subsequently to add more practical hands on examples, learning through games and GIS certificate programs. For more advanced related topics, there can be sharing of video lectures and seminars, workshops, short term courses could be organized.

**PART 2 - The Scheme of Teaching and Examination is as under:**

**First Year Semester – I**

**Summary**

| Choice Based Credit System         | SUBJECT |                                   | SUBJECT CODE |
|------------------------------------|---------|-----------------------------------|--------------|
| General Component (core paper)     | 1.1     | Micro Economics                   | UV-FWM-101   |
| General Component (core paper)     | 1.2     | Business and Management           | UV-FWM-102   |
| General Component (Core paper)     | 1.3     | Business Communication            | UV-FWM-103   |
| Vocational Component (skill based) | 1.4     | Mutual Fund Management -I         | UV-FWM-104   |
| Vocational Component (skill based) | 1.5     | Introduction to Financial Systems | UV-FWM-105   |
| Vocational Component (skill based) |         | Experiential/ E- learning         |              |
|                                    |         |                                   |              |

### First Year Semester I Internal and External Detailed Scheme

| Sr<br>No.                   | Subject Code | Subject Title                     | Periods Per Week |     |   |   |   | Credit | SLE                | Internals |    |    |     | Total Marks |
|-----------------------------|--------------|-----------------------------------|------------------|-----|---|---|---|--------|--------------------|-----------|----|----|-----|-------------|
|                             |              |                                   | Units            | SL  | L | T | P |        |                    | CT        | AP | TA | SEE |             |
| 1                           | UV-FWM-101   | Micro Economics                   | 4                | 20% | 4 | 0 | 0 | 4      | 10                 | 15        | 5  | 10 | 60  | 100         |
| 2                           | UV-FWM-102   | Business and Management           | 4                | 20% | 4 | 0 | 0 | 4      | 10                 | 15        | 5  | 10 | 60  | 100         |
| 3                           | UV-FWM-103   | Business Communication            | 4                | 20% | 4 | 0 | 0 | 4      | 10                 | 15        | 5  | 10 | 60  | 100         |
| 4                           | UV-FWM-104   | Mutual Fund Management -I         | 4                | 20% | 4 | 0 | 0 | 8      | 10                 | 15        | 5  | 10 | 60  | 100         |
| 5                           | UV-FWM-105   | Introduction to Financial Systems | 4                | 20% | 4 | 0 | 0 | 4      | 10                 | 15        | 5  | 10 | 60  | 100         |
| 6                           |              | Experiential/ E-learning          |                  |     |   |   |   | 6      |                    |           |    |    |     | 100         |
| <b>Total Hours / Credit</b> |              |                                   |                  |     |   |   |   | 30     | <b>Total Marks</b> |           |    |    | 600 |             |

SL: Self Learning, L: Lecture, T: Tutorials, P: Practical, SLE- Self learning evaluation,

CT-Commutative Test, SEE- Semester End Examination, TA-Teacher Assessment

### First Year Semester – I Units – Topics – Teaching Hours

| S.N       | Subject Code      | Subject Unit Title                       |  | No. Of Lectures |
|-----------|-------------------|--|--|-----------------|
| <b>1.</b> | <b>UV-FWM-101</b> | <b>Micro-economics</b>                   |  |                 |
|           |                   | I  | Introduction to Micro Economics  | 15              |
|           |                   | II                                       | Demand and Supply analysis   | 15              |
|           |                   | III                                      | Production decisions, cost of production and revenue                           | 15              |
|           |                   | IV                                       | Market structures, short run and long run equilibrium of the firm and industry | 15              |
| <b>2.</b> | <b>UV-FWM-102</b> | <b>Business and Management</b>           |  |                 |
|           |                   | I  | Business and its environment   | 15              |
|           |                   | II                                       | Nature of Management   | 15              |
|           |                   | III                                      | Planning, Organizing and Staffing  | 15              |
|           |                   | IV                                       | Directing, leadership, co-ordination and controlling                           | 15              |
| <b>3.</b> | <b>UV-FWM-103</b> | <b>Business Communication</b>            |  |                 |
|           |                   | I  | Theory of Communication  | 15              |
|           |                   | II                                       | Business Writing and Language  | 15              |
|           |                   | III                                      | Presentation Skills  | 15              |
|           |                   | IV                                       | Personality Enhancement  | 15              |
| <b>4.</b> | <b>UV-FWM-104</b> | <b>Mutual Fund management 1</b>          |  |                 |
|           |                   | I  | Basics of mutual funds   | 15              |
|           |                   | II                                       | Regulations and Documentation  | 15              |
|           |                   | III                                      | Types of Mutual funds  | 15              |
|           |                   | IV                                       | Transactions and investing   | 15              |
| <b>5.</b> | <b>UV-FWM-105</b> | <b>Introduction to Financial Systems</b> |  |                 |
|           |                   | I  | Overview of Financial Systems  | 15              |
|           |                   | II                                       | Financial Markets  | 15              |
|           |                   | III                                      | Financial Regulators   | 15              |
|           |                   | IV                                       | Financial Instruments  | 15              |

**Lecture Duration – 60 Minutes = 1 Hours. (60 Lectures equivalent to 60 hours)**

**For 2 Credits subject- 1 credit = 30 hours**

**For 4 Credits subject- 1 credit= 15 hours**

**For 6 Credits subject-1 credit= 10 hours**

**For 8 Credits subject- 1 credit = 7.5 hours**

### **Part 3- Detailed Scheme**

#### **UV-FWM-101 Micro – Economics**

##### **Objectives**

- ◆ Students will be able to identify and explain economic concepts and theories related to the behaviour of economic agents, markets, industry and firm structures, legal institutions, social norms, and government policies at the micro level.
- ◆ Students will be able to integrate theoretical knowledge with quantitative and qualitative evidence in order to explain past economic events and to formulate predictions on future ones.
- ◆ Students will be able to evaluate the consequences of economic activities and institutions for individual and social welfare.
- ◆ Students will be able to identify the basic features of alternative representations of human behaviour in economics.
- ◆ The objective of this course is to develop the ability to apply the concepts, tools and techniques of economics in analysing and interpreting business decisions and investment decisions.
- ◆ Micro economics helps to analyze goods or services and make business decisions from the analysis. This form of studying can help identify themes and trends that could be the cause and effect of good and bad business decisions.

##### **Learning Outcomes**

- To give knowledge to the learners regarding demand and changes in response to changes in price.
- To introduce the concept of consumer is supply and forecasting their purchases.
- To avail of different market structure and pricing of different goods including stock market.
- To impart proficiency in revenue and cost conditions of the firm and breakeven point.
- To introduce the concept of profit and run the business in a sound footing.
- To apply economic concepts to investment decisions

#### **Detailed Syllabus**

| <b>Unit</b> | <b>Content</b>  | <b>No. of Lectures</b> |
|-------------|---|------------------------|
| I           | <b>Introduction to Micro-Economics</b><br><b>A.</b> Scope and importance of business<br><b>B.</b> Basic tools: Opportunity Cost Principle, Incremental and Marginal | 15                     |

|     |  |    |
|-----|--|----|
|     | <p>concepts, Present and Future value, production possibility curve. Basic Economic Relations functional relations use of Marginal Analysis in decision making.</p> <p><b>C. Difference Between Micro and Macroeconomics</b></p>   |    |
| II  | <p style="text-align: center;"><b>Demand and Supply Analysis</b></p> <p><b>A. Demand function:</b><br/> Meaning, significance determinants types. Variation and change in demand. Measurement of elasticity of demand (price elasticity, income, cross and promotional) Uses of elasticity. Relationship between elasticity of demand and revenue concepts. Consumer surplus</p> <p><b>B. Supply function</b><br/> Meaning, significance determinants types. Variation and change in supply. Producer Surplus.</p> <p><b>C. Demand Estimation and forecasting</b><br/> Meaning and Significance methods of demand estimation survey and statistics method (only theory)</p> <p><b>D. Case Studies and numerical on Elasticity.</b></p>   | 15 |
| III | <p style="text-align: center;"><b>Production decisions, Cost of Production and Revenue</b></p> <p><b>A. Production Function: Meaning, types</b><br/> a. Short Run Analysis with law of Variable Proportions.<br/> b. Isoquants, ridge lines and least cost combination of inputs.<br/> c. Long Run Production Function: Law of Returns to scale expansion path. Economies and Diseconomies of scale. Economies of scope.</p> <p><b>B. Cost Concepts</b><br/> Accounting and economics cost, implicit and explicit cost, fixed and variable cost. Total, average and marginal cost. Cost output relationship in the short run and long run. LAC and learning curve. Break Even Analysis</p> <p><b>C. Revenue concepts: Types</b><br/> a. Average, marginal and total revenue (under perfect and imperfect competition)</p> <p><b>D. Profit concepts</b><br/> Supernormal, Normal, loss.</p> <p><b>E. Numericals on output, cost, revenue and profit</b></p> | 15 |



|    |   |    |
|----|---|----|
| IV | <p><b>Market Structure: Short run and Long equilibrium of a complete line firm and of industry</b></p> <p><b>A. Monopoly</b><br/>Short run and long equilibrium of the firm. Price Discrimination. Dumping (only theory)</p> <p><b>B. Monopolistic competition</b><br/>Equilibrium of the firm in short run and long run, role of advertisement</p> <p><b>C. Oligopoly</b><br/>Features, collusive and Non collusive Oligopoly. Price rigidity, kinked demand curve, cartel and price leadership models.</p> <p><b>D. Perfect Competition</b><br/>Equilibrium of the firm in short run and long run</p> | 15 |
|----|---|----|

#### Self-Learning topics (Unit wise):

| Sr. No | Unit | Topic  |
|--------|------|--|
| 1      | 1    | Difference between Micro and Macro Economics |
| 2      | 3    | Break even analysis                          |

#### Online Resources

<https://nptel.ac.in/courses/110/105/110105075/>

[http://ugcmoocs.inflibnet.ac.in/ugcmoocs/view\\_module\\_pg.php/720](http://ugcmoocs.inflibnet.ac.in/ugcmoocs/view_module_pg.php/720)

<https://nptel.ac.in/courses/110/105/110105075/>

#### References:

- Mehta, P.L.: Managerial Economics – Analysis, Problem and Cases (S. Chand & Sons, N. Delhi, 2000)
- Hirchey .M., Managerial Economics, Thomson South western (2003)
- Salvatore, D.: Managerial Economics in a global economy (Thomson South Western Singapore, 2001)
- Frank Robert.H, Bernanke. Ben S., Principles of Economics (Tata McGraw Hill (ed.3)
- Gregory Mankiw., Principles of Economics, Thomson South western (2002 reprint) • Samuelson & Nordhas.: Economics (Tata McGraw Hills, New Delhi, 2002)
- Pal Sumitra, Managerial Economics cases and concepts (Macmillan, New Delhi, 2004)

## UV-FWM-102 Business and Management

### Objectives:

- To enlighten the students as how management has evolved over period of time.
- To make students learn about the essential elements of management and its use in the practical way
- To provide clarity to the students about organization's vision, mission, objectives and goals.
- To help students in understanding the integration of individual goals with the organizational goals.

### Learning Outcomes:

- Learn about the various schools of thought that exist in management.
- Understand functions of management and utilising them for better productivity
- Learn to assess business environment and adapt to dynamic situations
- To understand the importance of finance in business management

### Detailed Syllabus

| Unit | MODULE/UNITS  | No. of Lectures |
|------|---|-----------------|
| 1.   | <b>Business and its environment</b>   | 15              |
|      | <ul style="list-style-type: none"><li>● Introduction to Business: concepts</li><li>● Functions of Business</li><li>● Scope and significance of Business</li><li>● Objectives of Business</li><li>● Dynamics of business and its environment.</li><li>● Types of business environment.</li><li>● Factors of Environmental analysis</li><li>● PESTEL</li><li>● SWOC</li><li>● Latest Trends in Business</li></ul>                                       |                 |
| 2.   | <b>Nature of Management</b>   | 15              |
|      | <ul style="list-style-type: none"><li>● Concept and significance of management</li><li>● Nature of management</li><li>● Process of Management</li><li>● Functional areas of management</li><li>● Evolution of management thoughts-contribution of F.W. Taylor, Henry Fayol</li><li>● Behavioral Science approach</li><li>● Contingency approach</li><li>● Management Functions - Planning, Organizing, Staffing, Directing and Controlling.</li></ul> |                 |

|    |  |    |
|----|--|----|
| 3. | <b>Planning, Organizing and Staffing</b> <ul style="list-style-type: none"> <li>● Planning – meaning and importance</li> <li>● Advantages and limitations of Planning</li> <li>● Decision making – Concept and Meaning</li> <li>● Importance of Decision Making</li> <li>● Meaning and concept of organizing</li> <li>● Nature and Significance of organizing</li> <li>● Delegation: Authority and responsibility relationship</li> <li>● Centralization v/s decentralization</li> <li>● Structure of an organization (formal and informal, line and staff and matrix)</li> </ul>  | 15 |
| 4. | <b>Directing, leadership, co-ordination and controlling</b> <ul style="list-style-type: none"> <li>● Directing: Meaning of Directing</li> <li>● Process of directing</li> <li>● Meaning , Concept and significance of motivation</li> <li>● Theories of Motivation (Maslow, Herzberg, Mc Gregor )</li> <li>● Meaning and concept of Leadership</li> <li>● Traits and Qualities of leader</li> <li>● Styles of Leadership</li> <li>● Co -ordination – Meaning and elements</li> <li>● Controlling: Meaning and Concept</li> <li>● Process of Controlling</li> <li>● Effective Control System</li> <li>● Techniques of Controlling ( TQM, Quality Circles, Brainstorming , Decision tree)</li> </ul> | 15 |

**Self-Learning topics (Unit wise)**

| Unit | Topics   |
|------|--|
| 2    | Concept and significance of management                                   |
| 2    | Evolution of management thoughts-contribution of F.W.Taylor, Henry Fayol |
| 3    | Planning – meaning and importance  |
| 3    | Elements of a plan   |
| 3    | Meaning and concepts of organizing                                       |
| 4    | Meaning of Leadership  |
| 4    | Traits of Leader   |

## Online Resources

[http://ugcmoocs.inflibnet.ac.in/ugcmoocs/view\\_module\\_pg.php/384](http://ugcmoocs.inflibnet.ac.in/ugcmoocs/view_module_pg.php/384) - (Select Evolution Theory and Elements of Management from drop down menu)

[http://ugcmoocs.inflibnet.ac.in/ugcmoocs/view\\_module\\_pg.php/384](http://ugcmoocs.inflibnet.ac.in/ugcmoocs/view_module_pg.php/384) (Select Elements of Planning from drop down menu)

[http://ugcmoocs.inflibnet.ac.in/ugcmoocs/view\\_module\\_pg.php/384](http://ugcmoocs.inflibnet.ac.in/ugcmoocs/view_module_pg.php/384) - (Select Organizing Concept from drop down menu)

<https://nptel.ac.in/courses/122/105/122105021/> (Introduction to Leadership and Traits of Leader)

## Reference Books:

- Principles of Management - P.C. Tripathi& P.N. Reddy.
- Essentials of Management - Weihrich and Koontz.
- Principles of Management - L.M. Prasad
- Principles of Management – DinkarPagare
- Business Management - C.B. Gupta
- Business Management - N. Premavathy
- Principles of Management - J. Jayasanka

## UV-FWM-103 Business Communication

### Objectives:

- ◆ To understand the relevance of presenting the messages with an intent of persuading or informing the audience
- ◆ To study types of obstacles in communication and the way it hinders the chances of personal and professional success
- ◆ To recall the importance of listening effectively and identify the difference between hearing and listening
- ◆ To learn Public Speaking and maintain interpersonal relationships with people in the business environment

### Learning Outcome:

- To learn the essential basics of English grammar and communication skills.
- To study the roles and functions of customer service management.
- To know the importance of personal hygiene and basic etiquettes.

### Detailed Syllabus

| Sr. No. | Modules/Units  | No. of Lectures |
|---------|--|-----------------|
| 1.      | <b>Theory of communication</b><br>1.1 Concept of Communication: Meaning, definition, objectives, process, emergence and impact of technological advancements on communication<br>1.2 Channels of Communication: formal and informal, vertical, horizontal, diagonal, grapevine<br>1.3 Methods and Modes of Communication: Verbal and Non- Verbal<br>1.4 Barriers to Communication: Physical barriers, Language barriers, Socio-Cultural barriers, Psychological barriers<br>1.5 Listening: Importance of listening skills, cultivating good listening skills | 15              |
| 2       | <b>Business Writing and Language</b><br>2.1 Theory of Business Letter Writing: Parts, Structure, Layout of Letters- (Full block, Modified Block, Semi- Modified Block)<br>2.2 Business Letters - Letter of Job Application, Resume Writing, Resignation Letter, Statement of Purpose<br>2.3 Summarization: identification of main and supporting points, presenting these in a cohesive manner<br>2.4 Business Proposals   | 15              |

|    |   |    |
|----|---|----|
| 3. | <b>Presentation Skills</b><br>3.1 Meaning, Nature and Scope<br>3.2 Principles of Effective Oral communication<br>3.3 Techniques of Effective Speech<br>3.4 Effective Presentation Skills<br>3.5 Interview Skills and Group Discussion- Strategies to prepare for Selection interview and Group Discussion | 15 |
| 4. | <b>Personality Enhancement</b><br>4.1 The Art of Public Speaking<br>4.2 Voice Modulation<br>4.3 Grooming<br>4.4 Personal Branding   | 15 |

### Self Learning Topics

|  |
|--|
| Emergence and impact of technological advancements on communication                                |
| Summarization: identification of main and supporting points, presenting these in a cohesive manner |
| Business Proposals   |

### Online Resources

|   |
|---|
| <a href="https://files.eric.ed.gov/fulltext/ED557272.pdf">https://files.eric.ed.gov/fulltext/ED557272.pdf</a>   |
| <a href="https://2020science.org/2009/04/07/communication-science-and-technology-in-a-connected-world/">https://2020science.org/2009/04/07/communication-science-and-technology-in-a-connected-world/</a> |
| <a href="https://nptel.ac.in/content/storage2/courses/121106007/Assignments/Assignment%201.pdf">https://nptel.ac.in/content/storage2/courses/121106007/Assignments/Assignment%201.pdf</a>                 |
| <a href="http://www.laspositascollege.edu/raw/summaries.php">http://www.laspositascollege.edu/raw/summaries.php</a>   |
| <a href="https://www.youtube.com/watch?v=-zgKOGuRrRs">https://www.youtube.com/watch?v=-zgKOGuRrRs</a>   |
| <a href="https://youtu.be/mozVzcNZMGO">https://youtu.be/mozVzcNZMGO</a>   |

**Reference Books:**

| <b>Sr. No.</b> | <b>Title Author/s Publisher</b>   | <b>Edition Year</b> |
|----------------|---|---------------------|
| 1              | Modern Business Correspondence by Garlside, L.E., McDonald and Evans Ltd., Plymouth   | 1980                |
| 2              | Effective Communication Made Simple by Eyre, E.C., Rupa and Co., Calcutta   | 1985                |
| 3              | Excellence in Public Relations and Communication Management edited by James E. Grunig, Lawrence Eribaum Associates Hillsdale, NJ 1992 | 1992                |
| 4              | Making Meetings Work by Barkar, Alan, Sterling Publications Pvt. Ltd., New Delhi  | 1993                |
| 5              | How to Interview and be Interviewed by Brown, Michele and Gyles Brandreth, Sheldon Press, London                                      | 1994                |
| 6              | The Right Way to Conduct Meetings, Conferences and Discussions by H.M. Taylor and A.G. Mears, Elliot Right Way Books                  | 1994                |
| 7              | The Essence of Effective Communication by Ludlow, Ron, Prentice, New Delhi  | 1995                |
| 8              | Communication in Organisation by Fisher Dalmar, Jaico Publishing House, Delhi   | 1999                |
| 9              | <i>Effective Academic Writing</i> by Savage, Alice . Oxford:OUP   | 2005.               |
| 10             | Business Communication by Ramesh Tiwari, Pointer Publication, Jaipur  | 2006                |
| 11             | Business Communication II by Muktha M. Jacob, Chippy S.Bobby, Shefali Naranje, Himalaya Publishing House                              | 2008                |
| 12             | "What Is Public Relations?" by Roos, Dave, SAGE. New York   | 2014                |
| 13             | The Art of the Interview by James Storey, Create Space Publishing   | 2016                |

## UV-FWM-104 Mutual Fund Management -I

### Objectives

Understanding the world of mutual funds, and the functioning of the industry. To be able to understand all products available in the domain, their suitability, risk/return analysis, asset allocation, recommendation, processes, transaction modes and to be skill-ready to do various jobs associated with mutual fund distribution.

### Learning Outcomes

- Be skill-ready to be a mutual fund distributor
- Understand the back-office processes
- To be able to undertake necessary research
- To understand how to make basic product recommendations

### Detailed Syllabus

| Unit | MODULE/UNITS  | No. of Lectures |
|------|---|-----------------|
| 1.   | <b>Basics of Mutual Funds</b>   | 15              |
|      | <ul style="list-style-type: none"><li>• Financial markets, instruments and modes of investing</li><li>• Mutual fund industry structure in India</li><li>• Industry participants</li><li>• Advantage</li><li>• Disadvantages</li><li>• Asset Management Companies in India</li></ul>   |                 |
| 2.   | <b>Regulation and documentation</b>   | 15              |
|      | <ul style="list-style-type: none"><li>• Regulators and their role</li><li>• MF documents- KIM, SID,etc</li><li>• Code of ethics-AMFI</li><li>• Management Structure of Mutual Funds</li><li>• Need and importance of ethics in practice</li></ul>   |                 |
| 3.   | <b>Types of funds</b>   | 15              |
|      | <ul style="list-style-type: none"><li>• Open ended/close ended funds</li><li>• Active/passive funds</li><li>• Growth/Dividend funds</li><li>• Equity Funds</li><li>• Debt Funds</li><li>• Hybrid Funds</li><li>• International Funds</li><li>• Fund of Funds</li><li>• ETFs</li><li>• Systematic Investment Plans</li></ul> |                 |



|    |  |    |
|----|--|----|
|    | <ul style="list-style-type: none"> <li>• Systematic Transfer Plans</li> <li>• Systematic Withdrawal Plans</li> </ul>   |    |
| 4. | <b>Transactions and investing</b>  | 15 |
|    | <ul style="list-style-type: none"> <li>• Lumpsum investments</li> <li>• Purchase/repurchase</li> <li>• Listing of funds</li> <li>• Systematic Investment Plan</li> <li>• Systematic Transfer Plan</li> <li>• Systematic Withdrawal Plan</li> </ul> |    |

#### Self-Learning topics (Unit wise):

| Sr. No | Unit | Topic                 |
|--------|------|-----------------------|
| 1      | 1    | Types of mutual funds |
|        |      |                       |

#### Online Resources

<https://nptel.ac.in/courses/110/105/110105121/>

<https://swayam.gov.in/explorer?searchText=mutualfunds>

#### References

Indian Mutual Funds Handbook : Sundar Sankaran: Vision Books

Morningstar Guide to Mutual Funds: 5-Star Strategies for Success : Christine Benz.: Wiley

## **UV-FWM-105-Introduction to Financial Systems**

### **Objectives:**

To understand the functioning of the financial system and its component and to assess the depth of the impact a well-developed financial system on the development of an economy.

### **Learning Outcomes:**

- To understand the need, functions and structure of a financial system
- To understand the various classification criteria for financial markets
- To understand the role of financial regulators
- To understand the financial instruments available

| SR.No.    | MODULES/UNITS  | No. of Lectures |
|-----------|--|-----------------|
| <b>1.</b> | <b>Overview of Financial System</b>  | <b>15</b>       |
|           | <ul style="list-style-type: none"> <li>• Introduction and overview and functions</li> <li>• Evolution of financial systems</li> <li>• Structure of Indian financial system and financial c-sectors reforms in India</li> <li>• International financial</li> <li>• Overview on Risk and Returns</li> </ul>  |                 |
| <b>2.</b> | <b>Financial Markets</b>   | <b>15</b>       |
|           | <ul style="list-style-type: none"> <li>• Introduction</li> <li>• Classification of financial markets ( money + capital)</li> <li>• Money market(meaning, role, participants, features, components, reforms)</li> <li>• Capital markets (content same as MM)</li> </ul>   | 15              |
| <b>3.</b> | <b>Financial Regulators</b>  | <b>15</b>       |
|           | <ul style="list-style-type: none"> <li>• Introduction, features, functions</li> <li>• RBI-introduction, objectives and functions and structure, credit control measures</li> <li>• IRDA-introductions, objectives, functions and structure</li> <li>• SEBI-introduction, power, role in primary and secondary market</li> <li>• NABARD-introduction functions</li> </ul> |                 |

|           |  |           |
|-----------|--|-----------|
| <b>4.</b> | <b>Financial Instruments</b>   | <b>15</b> |
|           | <ul style="list-style-type: none"> <li>• Introduction, Types(money markets, debit instruments, capital markets)</li> <li>• Money markets-T-bills, commercial paper, certificate of deposits call money, commercial bills, gilts, bankers acceptance, inter corporate deposits, bill discounting mutual funds, REPO &amp; REVERSE RATE and, TREPs</li> <li>• Debt instruments-government securities, bonds and debentures</li> <li>• Equity capital/instrument-equity, preference, derivatives</li> <li>• Mutual funds-features, advantages, disadvantages</li> </ul> |           |

#### **Self-Learning topics (Unit wise):**

| <b>Sr. No</b> | <b>Unit</b> | <b>Topic</b>                      |
|---------------|-------------|-----------------------------------|
| 1             | 1           | Overview of Financial System      |
| 2             | 2           | Introduction to Financial Markets |

#### **Online Resources**

<https://nptel.ac.in/courses/110/105/110105121/>

<https://swayam.gov.in/explorer?searchText=financial+markets>

#### **References**

- Gordon E. & Natarajan K. Financial Markets & Services, Himalaya Publishing House.
- Indian Financial System, Machiraju.R.H, Vikas Publishing House.
- Indian Financial System, Khan M.Y Tata Mcgraw Hill.
- Financial Institutions and Markets, BholeL.M,TataMcgraw Hill.
- The Indian Financial System, Desai, Vasantha Himalaya Publishing House.

## Part 4 - The Scheme of Teaching and Examination

### First year Semester II

#### Summary

| Choice Based Credit System         | SUBJECT |                                  | SUBJECT CODE |
|------------------------------------|---------|----------------------------------|--------------|
| General Ccomponent (Core paper)    | 2.1     | Computer Application In Business | UV-FWM-201   |
| General Copponent (Core paper)     | 2.2     | Foundation Course                | UV-FWM-202   |
| General Ccomponent (Core paper)    | 2.3     | Financial Accounting             | UV-FWM-203   |
| Vocational Component (Skill based) | 2.4     | Mutual Fund Management II        | UV-FWM-204   |
| Vocational Component (Skill based) | 2.5     | Securities Markets               | UV-FWM-205   |
| Vocational component (Skill based) |         | Internship based project         |              |
|                                    |         |                                  |              |

### First Year Semester II Internal and External Detailed Scheme

| Sr<br>No.            | Subject Code | Subject Title                    | Periods Per Week |         |   |   |   | Credit | SLE | CT          | Internals |    |     | Total Marks |
|----------------------|--------------|----------------------------------|------------------|---------|---|---|---|--------|-----|-------------|-----------|----|-----|-------------|
|                      |              |                                  | U<br>ni<br>ts    | SL<br>% | L | T | P |        |     |             | AP        | TA | SEE |             |
| 1                    | UV-FWM-201   | Computer Application In Business | 4                | 20%*    | 4 | 0 | 0 | 4      | 10  | 15          | 5         | 10 | 60  | 100         |
| 2                    | UV-FWM-202   | Foundation Course                | 4                | 20%*    | 4 | 0 | 0 | 4      | 10  | 15          | 5         | 10 | 60  | 100         |
| 3                    | UV-FWM-203   | Financial Accounting             | 4                | 20%*    | 4 | 0 | 0 | 4      | 10  | 15          | 5         | 10 | 60  | 100         |
| 4                    | UV-FWM-204   | Mutual Fund Management II        | 4                | 20%*    | 4 | 0 | 0 | 8      | 10  | 15          | 5         | 10 | 60  | 100         |
| 5                    | UV-FWM-205   | Securities Markets               | 4                | 20%*    | 4 | 0 | 0 | 4      | 10  | 15          | 5         | 10 | 60  | 100         |
| 6                    |              | Internship based project         |                  |         |   |   |   | 6      |     |             |           |    |     | 100         |
| Total Hours / Credit |              |                                  |                  |         |   |   |   | 30     |     | Total Marks |           |    | 600 |             |

SL: Self Learning, L: Lecture, T: Tutorials, P: Practical, SLE- Self learning evaluation,

CT-Commutative Test, SEE- Semester End Examination, TA-Teacher Assessment

## First Year Semester – II Units – Topics – Teaching Hours

| S.N | Subject Code | Subject Unit Title |  | No. Of Lectures |
|-----|--------------|--------------------|--|-----------------|
| 1.  | UV-FWM-201   |                    | <b>Computer Application in Business</b>                        |                 |
|     |              | I                  | Office Productivity Software                                   | 15              |
|     |              | II                 | Presentation Tools   | 15              |
|     |              | III                | Spread Sheets  | 15              |
|     |              | IV                 | Data Analysis  | 15              |
| 2.  | UV-FWM-202   |                    | <b>Foundation Course</b>                                       |                 |
|     |              | I                  | Overview of Indian Society                                     | 15              |
|     |              | II                 | Indian Constitution and Human Rights and disparity             | 15              |
|     |              | III                | Understanding Of Human Nature and Group Behavior               | 15              |
|     |              | IV                 | Environment management   | 15              |
| 3.  | UV-FWM-203   |                    | <b>Financial Accounting</b>                                    |                 |
|     |              | I                  | Introduction to Accounting                                     | 15              |
|     |              | II                 | Preparation of Final Accounts                                  | 15              |
|     |              | III                | Reading and Interpretation of Accounts                         | 15              |
|     |              | IV                 | Accounting Policies and Standards                              | 15              |
| 4.  | UV-FWM-204   |                    | <b>Mutual Fund</b>   |                 |
|     |              | I                  | KYC, declarations and forms                                    | 15              |
|     |              | II                 | Online Transactions and execution options                      | 15              |
|     |              | III                | Risk/returns, scheme selection and taxation                    | 15              |
|     |              | IV                 | Asset allocation and Portfolio Construction                    | 15              |
| 5.  | UV-FWM-205   |                    | <b>Securities Markets</b>                                      |                 |
|     |              | I                  | Understanding securities markets and performance               | 15              |
|     |              | II                 | Securities: Features and types, asset allocation and investing | 15              |
|     |              | III                | Primary and secondary markets                                  | 15              |
|     |              | IV                 | Derivative markets   | 15              |

**Lecture Duration – 60 Minutes = 1 Hours. (60 Lectures equivalent to 60 hours)**

**For 4 Credits subject- 1 credit= 15 hours**

**For 6 Credits subject- 1 credit = 10 hours**

**For 8 Credits subject- 1 credit = 7.5 hours**

## UV-FWM-201 Computer Application in Business

### Objectives

- To acquaint the students with the art of Professionalism which include professional style of making presentation using keyboard shortcuts and presenting the same to a large number of audiences.
- Documentation is another aspect where we want student to emphasize on how to select the correct format, layers and alignment in the documents,
- We also provide hands on working experience with working with spreadsheet (DATABASE ) basic skills in terms of Practical
- As far as theory student must be acquainted with the knowledge of Computer, software
- Students will be able to evaluate the consequences of Database for corporate world and for individual and social welfare.

### Learning outcomes:

- To understand how computer systems work
- To understand applications that help to expedite and perform business tasks better
- Practice data management, word processing and presentation skills.
- Understand

| Unit | Content   | No. of Lectures |
|------|---|-----------------|
| 1.   | <b>Office Productivity Software:</b>  | 15              |
|      | <b>Basic Elements</b><br>Computers and its types<br>Working of computers<br>Hardware and software<br>Types of input devices and Output devices<br>Software and its types<br>operating system .<br><br><b>Microsoft Word :</b><br>Creating, editing, saving and printing text documents<br>Font and paragraph formatting<br>Simple character formatting<br>Inserting tables, smart art, page breaks<br>Using lists and styles<br>Working with images<br>Using Spelling and Grammar check |                 |



|    |  |           |
|----|--|-----------|
|    | <p>Understanding document properties</p> <p>Mail Merge</p>   |           |
| 2. | <b>Presentation Tools and Internet</b>   | <b>15</b> |
|    | <p><b>Microsoft PowerPoint</b></p> <p>Opening, viewing, creating, and printing slides</p> <p>Applying auto layouts</p> <p>Master slide concept</p> <p>Adding custom animation</p> <p>Using slide transitions</p> <p>Introduction to latest presentation software's.</p> <p>Insert and edit animations and slide transitions</p> <p>Insert and modify table and charts</p> <p>Add sound and video to a slide presentation</p> <p>Insert clip art images and shapes to slides</p> <p>How to create a puzzle in PowerPoint</p> <p><b>Internet Technology:</b></p> <p>Introduction to Internet</p> <p>Types of internet connections</p> <p>Surfing the World Wide Web</p> <p>Using search engines</p> <p>Sending and receiving email</p> <p>Attaching and downloading Attached files</p> <p>Protocol used</p>                                  |           |
| 3  | <b>Spread Sheet:</b>   | <b>15</b> |
|    | <p>Spreadsheet basics</p> <p>Creating, editing, saving and printing spreadsheets</p> <p>Working with functions &amp; formulas</p> <p>Modifying worksheets with color &amp; auto formats</p> <p>Graphically representing data: Charts &amp; Graphs</p> <p>Speeding data entry: Using Data Forms</p> <p>Analyzing data: Data Menu, Subtotal, Filtering Data</p> <p>Formatting worksheets</p> <p>Securing &amp; Protecting spreadsheets</p> <p>Formulas &amp; Macros Formulas:</p> <p>Use the Function Wizard, Common functions (AVERAGE, MIN, MAX, COUNT, COUNTA, ROUND, INT)</p> <p>Nested functions, Name cells /ranges /constants</p> <p>Relative, Absolute, Mixed cell references: &gt;,&lt;&gt;= operators</p> <p>Logical functions using IF, AND, OR, NOT</p> <p>The LOOKUP function, Date and time functions, Annotating formulas</p> |           |
| 4  | <b>Data Analysis</b>   | <b>15</b> |

|  |   |  |
|--|---|--|
|  | <p>Sub Total Reports, Auto Filter</p> <p>Password Protecting Worksheets</p> <p>Linking Multiple Sheets</p> <p>Sheet Referencing</p> <p>Linking Between Word/Excel/Ppt</p> <p>Functions:- LOOKUP, VLOOKUP, HLOOKUP, COUNTIF, SUMIF</p> <p>What-if-analysis, GOAL SEEK</p> <p>Pivot Tables, NESTED IF</p> <p>Reporting Consolidation of Data Data Validation</p> <p>Macros- Definition and use, Record a macro Assign a macro, Run a macro Store a macro,</p> <p>Introduction to VBA Prog.</p> <p><i>Develop the Worksheet:</i></p> <p>Plan a worksheet , Row and Column labels Split worksheet /box /bar, Copy data and formulas</p> <p>Display /move toolbars , Enhance worksheet Appearance</p> <p><i>Special Operations:</i></p> <p>Use multiple windows : Copy/ paste between Worksheets Link worksheets , Consolidate worksheets Import and link from other Applications Use AutoFormat : Create, use and modify styles and templates</p> <p>Print features : Create /edit an outline</p> <p><i>Graphic Operations:</i></p> <p>Create charts , Enhance charts, Drawing toolbar features</p> |  |
|--|---|--|

**Self-Learning topics (Unit wise):**

| Sr. No | Unit | Topic               |
|--------|------|---------------------|
| 1      | 1    | Internet Technology |

**Online Resources**

|   |
|---|
| <a href="https://www.tutorialspoint.com/internet_technologies/index.htm">https://www.tutorialspoint.com/internet_technologies/index.htm</a>   |
| <a href="https://www.websydian.com/olddoc/websydian_v60/knowledgebase/whitepapers/basicinternettechnology.htm">https://www.websydian.com/olddoc/websydian_v60/knowledgebase/whitepapers/basicinternettechnology.htm</a> |

**Reference Books:**

1. Introduction to Computers, Peter Norton, Sixth Edition McGraw Hill
2. Introduction to information Technology, V. Rajaraman, Prentice Hall India
3. Computers and Commonsense, Hunt .L Shelley, Prentice Hall of India
4. Fundamentals of Information Technology, A and Leon M. Leon, Vikas 2002
5. A first Course in Computers, Saxena, Sanjay, Vikas Publishing 1998
6. Fundamentals of Information Technology, Bharioke Deepak, Excel Book 2000

## UV-FWM-202 Foundation Course

### Objectives:

To support the academic mission of the nation by producing good citizens with healthy body and sound mind having human values with civic responsibility. Sensitising them to ethics, opinions, social causes, etc

### Learning outcomes:

- Understanding the social fabric of India
- Understanding the constitution
- Understanding Human behavior, interpersonal relationships and impacts

### Detailed Syllabus

| Unit | MODULE/UNITS   | No. of Lectures |
|------|--|-----------------|
| 1.   | <b>Overview Of Indian Society</b>  | 15              |
|      | <ul style="list-style-type: none"><li>• Understanding the diversity of Indian society as difference: Culture , Religion , Caste. Linguistic, Regional variations according to rural, urban and tribal characteristics, Inter-group conflicts</li><li>• Communalism</li><li>• Regionalism</li><li>• Linguism</li><li>• Gender inequality</li><li>• Inequalities faced by people with disabilities and understand the issues of people with physical and mental disabilities</li><li>• Social issues in the society: Case Studies</li></ul>  |                 |
| 2.   | <b>Indian Constitution And Human Rights</b>  | 15              |
|      | <ul style="list-style-type: none"><li>➤ Indian Constitution<ul style="list-style-type: none"><li>• Basic features of the Constitution</li><li>• Philosophy of the constitution as set out in the Preamble.</li><li>• Structure of the constitution: Preamble, main body, schedule</li><li>• Fundamental duties of the indian citizens</li><li>• 73<sup>rd</sup> and 74<sup>th</sup> Amendment and their implications for inclusive politics</li><li>• Role and Significance of Women in Politics</li></ul></li><li>➤ Human rights<ul style="list-style-type: none"><li>• Concepts of human rights</li><li>• UDHR</li><li>• Fundamental rights</li></ul></li><li>➤ Concept of disparity<ul style="list-style-type: none"><li>• Gender inequality</li><li>• Understanding issues of people with physical and mental disability</li></ul></li></ul> |                 |

|           |   |    |
|-----------|---|----|
|           | <ul style="list-style-type: none"> <li>• Social issues</li> </ul>   |    |
| <b>3.</b> | <b>Understanding Of Human Nature And Group Behaviour</b>  | 15 |
|           | <ul style="list-style-type: none"> <li>• Individual Behavior:- Concepts of a man, pre and post-natal environment, individual difference, factors affecting individual differences, influence of environment</li> <li>• Personality and attitude:- Determinants of personality, personality traits theory, personality traits important for organizational behavior like authoritarianism, locus of control, Machiavellianism, introversion risk taking, self- monitoring and type A and through JOHARI WINDOWS , nature and components of attitude , reading emotions .</li> <li>• Thinking, learning and perceptions:- Thinking skills, thinking styles and thinking hat, learning characteristics, theories of learning (classical conditioning, operant conditioning and social learning approaches ), intelligence , type (IQ,EQ,SQ,at work place ) , perception features and factor influencing individual perception, efforts of perceptual error in managerial decision making at work place. (Errors such as halo effect, stereotyping, prejudice attributional)</li> <li>• Group dynamics:- nature, types, group behavior model (role norms , status , structures)</li> <li>• Team effectiveness:- nature, types of team , ways of forming an effective team</li> <li>• Power politics: - nature, bases of power, politics nature, types, causes of organizational politics, political games.</li> </ul> |    |
| <b>4.</b> | <b>Environment management</b>   | 15 |
|           | <ul style="list-style-type: none"> <li>• . Meaning and relevance.</li> <li>• . Sustainable development: meaning, concept and components.</li> <li>• Environmental movements in India: case studies</li> </ul>   |    |

**Self-Learning topics (Unit wise):**

| <b>Sr. No</b> | <b>Unit</b> | <b>Topic</b>                          |
|---------------|-------------|---------------------------------------|
| 1             | 1           | Cultural diversity                    |
|               | 2           | Universal Declaration of Human Rights |
|               | 3           | Gender differences and gender roles   |

|  |   |                             |
|--|---|-----------------------------|
|  | 4 | Environmental Balance Sheet |
|--|---|-----------------------------|

### Online Resources

<http://ndl.iitkgp.ac.in/document/QUFaeXV6Um80MWE2ampEOTNJZEIGQjVkRXFRVFI1Z3FwMDhobVIBMkZsYnFHZkh6OWFxcWo4VVAyUnJ1Nnhvcg15>

[http://ugcmoocs.inflibnet.ac.in/ugcmoocs/view\\_module\\_pg/53](http://ugcmoocs.inflibnet.ac.in/ugcmoocs/view_module_pg/53)

<http://ndl.iitkgp.ac.in/document/QUFaeXV6Um80MWE2ampEOTNJZEIGQjVkRXFRVFI1Z3FwMDhobVIBMkZsYURIMXB0bFBSZmEzRFpjL2lsN3VOcA>

[http://ugcmoocs.inflibnet.ac.in/ugcmoocs/view\\_module\\_ug.php/241](http://ugcmoocs.inflibnet.ac.in/ugcmoocs/view_module_ug.php/241)

### List of reference books:

1. Ahuja Ram (2014), *Social Problems in India*, Jaipur:Rawat Publication.
2. Bennet, C.J. (1980), "The Morphology of Language Boundaries: Indo-Aryan and Dravidian in peninsular India", *Journal of Borderland Studies*, Issue 3, Vol.16, Taylor and Francis.
3. Chandra Bipan (1984), *Communalism in Modern India*, Delhi: Vikas Publishing House.
4. Chatterjee Sushma (2000) *Indian Women from Darkness to Light*, Calcutta: Parumita Publications.
5. Desai, A.R. (1959), *Social Background of Indian Nationalism*, Bombay: Popular Prakashan.
6. Deshta Sunil, Kashyap Sunita (2014), *Fundamental Duties of Citizens*. Delhi: Regal Publications.
7. Dubey S.C. (2018), '*Indian Society*', National Book Trust.
8. Furer Christoph Von-Haimendorf (1992), *Tribes of India The Struggle for Survival*, Berkely: University of California Press.
9. Ganesh, Kamala, Thakkar (2005), "*Culture and the making of Identity in contemporary India*" Usha, Sage Publication, New Delhi,
10. Harvey Carol P and Allard June M (2005), *Understanding and managing Diversity Readings Cases, and Exercises*; New Delhi: Prentice Hall of India.

## UV-FWM-203-Financial Accounting

### Objectives:

The main objective of financial accounting is to accurately prepare an organization's financial accounts for a specific period, otherwise known as financial statements. The primary objective of financial accounting and analysis is to understand and diagnose the information contained in financial statement with a view to judge the profitability and financial soundness of the firm, and to make forecast about future prospects of the firm.

### Learning Outcome:

- State the uses and users of accounting information
- Explain and apply accounting concepts, principles and conventions
- Record basic accounting transactions and prepare annual financial statements
- Analyse, interpret and communicate the information contained in basic financial statements and explain the limitations of such statements.

### Detailed Syllabus

| Unit | MODULE/UNITS  | No. of Lectures |
|------|---|-----------------|
| 1    | <b>Introduction to Accounts</b>   | 15              |
|      | <ul style="list-style-type: none"><li>• Definition of book keeping and accounting</li><li>• Preparation of journal and ledgers</li><li>• Preparation of trial balance</li><li>• Preparation of bank reconciliation statement.</li></ul> |                 |
| 2    | <b>Preparation of Final Accounts</b>  | 15              |
|      | <ul style="list-style-type: none"><li>• Treatment of capital and revenue</li><li>• Adjustment and closing entries</li><li>• Final accounts for sole proprietary/partnership</li></ul>   |                 |
| 3    | <b>Company Final Accounts</b>   | 15              |
|      | <ul style="list-style-type: none"><li>• Understanding adjustment entries and their effects</li><li>• Preparation of company Trading and P&amp;L account</li><li>• Preparation of Company Balance Sheet</li></ul>                        |                 |
| 4    | <b>Accounting policies and Standards.</b>   | 15              |
|      | <ul style="list-style-type: none"><li>• Introduction to Indian Accounting Standards.</li><li>• IND AS 1, 2 and 8</li></ul>  |                 |

### Self-Learning topics (Unit wise):

| Sr. No | Unit | Topic                     |
|--------|------|---------------------------|
| 1      | 4    | Introduction to Indian AS |
| 2      | 4    | IND AS 1,2,8              |

### Online Resources

<https://nptel.ac.in/courses/110/101/110101131/>

### **Reference Books**

- Introduction to Accountancy by T.S. Grewal, S. Chand and Company (P) Ltd., New Delhi
- Advance Accounts by Shukla and Grewal, S. Chand and Company (P) Ltd., New Delhi
- Advanced Accountancy by R.L Gupta and M. Radhaswamy, S. Chand and Company (P) Ltd., New Delhi
- Modern Accountancy by Mukherjee and Hanif, Tata Mc. Grow Hill and Co. Ltd., Mumbai
- Financial Accounting by LesileChandwichk, Pentice Hall of India AdinBakley (P) Ltd., New Delhi
- Financial Accounting for Management by Dr. Dinesh Harsalekar, Multi-Tech. Publishing Co. Ltd., Mumbai
- Financial Accounting by P.C. Tulsian, Pearson Publications, New Delhi
- Accounting Principles by R.N. Anthony and J.S. Reece, Richard Irwin, Inc
- Financial Accounting by Monga, J.R. Ahuja, GirishAhuja and Ashok Shehgal, Mayur Paper Back, Noida
- Compendium of Statement and Standard of Accounting, ICAI
- Indian Accounting Standards, Ashish Bhattacharya, Tata Mc. Grow Hill and Co. Ltd., Mumbai
- Financial Accounting by Williams, Tata Mc. Grow Hill and Co. Ltd., Mumbai
- Company Accounting Standards by ShrinivasanAnand, Taxman, New Delhi
- Financial Accounting by V. Rajasekaran, Pearson Publications, New Delhi
- Introduction to Financial Accounting by Horngren, Pearson Publications, New Delhi

## UV-FWM-204 Mutual Fund Management -II

### Objectives

Understanding the world of mutual funds, and the functioning of the industry. To be able to understand all products available in the domain, their suitability, risk/return analysis, asset allocation, recommendation, processes, transaction modes and to be skill-ready to do various jobs associated with mutual fund distribution.

### Learning Outcomes

- Be skill-ready to be a mutual fund distributor/work for one
- Understand the back-office processes
- To be able to undertake necessary research
- To understand how to make basic product recommendations

### Detailed Syllabus

| Unit | MODULE/UNITS   | No. of Lectures |
|------|--|-----------------|
| 1.   | <b>KYC, Declarations and forms</b>   | 15              |
|      | <ul style="list-style-type: none"><li>• KYC: KYC, CKYC, E-KYC, Aadhar based KYC</li><li>• Cut off timings</li><li>• Form filling</li><li>• Third Party transactions</li><li>• FATCA</li><li>• Modes of Payment</li></ul>   |                 |
| 2.   | <b>Online Transactions and execution options</b>   | 15              |
|      | <ul style="list-style-type: none"><li>• Online transactions</li><li>• Transaction Platforms</li><li>• Mobile investing</li><li>• Direct v/s Regular Plans</li></ul>  |                 |
| 3.   | <b>Risk/return, scheme selection, taxation</b>   | 15              |
|      | <ul style="list-style-type: none"><li>• Measures and types of return: Simple, compounded, CAGR, annual, rolling returns, point-to-point returns</li><li>• Types of risk associated with Mutual Fund returns</li><li>• Alpha, Beta, Standard Deviation</li><li>• Risk Adjusted performance</li><li>• Risk Profiling</li><li>• Scheme selection</li><li>• Taxation of mutual Funds</li></ul> |                 |



|    |  |           |
|----|--|-----------|
| 4. | <b>Asset allocation and portfolio construction</b>   | <b>15</b> |
|    | <ul style="list-style-type: none"> <li>• Asset allocation and portfolio creation</li> <li>• Valuation: NAV and its calculation</li> <li>• Basic financial planning and goal setting</li> <li>• Types of portfolios</li> <li>• Strategic and tactical allocation</li> <li>• Core and Satellite portfolios</li> <li>• Review and assessment</li> </ul> |           |

#### Self-Learning topics (Unit wise):

| Sr. No | Unit | Topic                              |
|--------|------|------------------------------------|
| 1      | 4    | Structure of mutual funds in India |

#### Online Resources

<https://nptel.ac.in/courses/110/105/110105121/>

#### REFERENCE BOOKS

- **Working of Mutual Fund Organisations in India: P Mohana Rao: Kanishka Publications**
- **Mutual Funds in India: Amitabh Gupta: Anmol Publications**
- **Bogle on Mutual Funds: New Perspectives for The Intelligent Investor: Jogn C Bogle: Wiley**

## UV-FWM-205 Securities markets

### Objectives

To understand the structure of the securities markets, their participants, types of issues and other related aspects and to understand its functioning.

### Learning Outcomes

- To be able to identify various securities markets' instruments and their features
- To be able to understand types of issues
- To understand asset allocation to make investing decisions
- To understand regulations
- To understand derivatives' markets' basics

### Detailed Syllabus

| Unit | MODULE/UNITS  | No. of Lectures |
|------|---|-----------------|
| 1    | <b>Understanding securities markets and performance</b>   | 15              |
|      | <ul style="list-style-type: none"><li>• Securities Markets</li><li>• Securities</li><li>• Securities Markets: Structure and Participants</li><li>• Role of Securities Markets</li><li>• Technological advancements in the securities market</li></ul>   |                 |
| 2    | <b>Securities: Features and types, asset allocation and investing</b>   | 15              |
|      | <ul style="list-style-type: none"><li>• Securities available in the securities market</li><li>• Choice between Equity and Debt Financing for Issuers</li><li>• Characteristics and role of equity capital</li><li>• Characteristics and role of Debt securities</li><li>• Choosing between Debt and Equity Investment Avenues</li><li>• Hybrid Instruments</li><li>• Characteristics and role of Commodities as an asset class</li><li>• Derivatives as investments</li><li>• Asset Allocation and Diversification</li><li>• Understanding the factors underlying the investment process</li><li>• Various aspects of investing in Equity</li><li>• Equity Investing Process</li><li>• Various aspects of investing in Debt securities</li><li>• Debt Investing Process</li></ul> |                 |
| 3    | <b>Primary and Secondary Markets</b>  | 15              |
|      | <ul style="list-style-type: none"><li>• Primary Market: Definition and Functions</li><li>• Primary Vs Secondary Markets</li><li>• Intermediaries in Primary Market</li><li>• Types of Issues, issuers and investors</li><li>• Regulatory Framework for Primary Markets</li></ul>  |                 |

|   |  |    |
|---|--|----|
|   | <ul style="list-style-type: none"> <li>● Types of Public Issue of Equity Shares</li> <li>● Pricing a Public Issue of Shares</li> <li>● Public Issue Process of equities</li> <li>● Applying to a Public Issue and listing</li> <li>● Rights Issue of Shares</li> <li>● Regulatory requirements for a Public Issue of Debt Securities</li> <li>● Public issue process for debt securities</li> <li>● Private Placements in Equity and Debt</li> <li>● Role and Function of the Secondary Market</li> <li>● Types of secondary markets for different securities</li> <li>● Market Structure and Participants</li> <li>● Brokers and Client Acquisition</li> <li>● Trade Execution</li> <li>● Clearing and Settlement of Trades</li> <li>● Trading and settlement process from investor's point of view</li> <li>● Market Information and Regulation</li> <li>● Risk Management Systems</li> <li>● Rights, Obligations and Grievance Redressal</li> <li>● Secondary market trading and reporting for debt securities</li> </ul> |    |
| 4 | <b>Derivatives Markets</b>   | 15 |
|   | <ul style="list-style-type: none"> <li>● Derivatives</li> <li>● Underlying concepts in Derivatives</li> <li>● Types of Derivative Products</li> <li>● Structure of Derivative Markets</li> <li>● Trading and Settlement Process: Equity Futures</li> <li>● Risk Management in Derivative Markets</li> <li>● Application of Derivatives Products in Risk Management</li> <li>● Market Indicators</li> </ul>   |    |

**Self-Learning topics (Unit wise):**

| Sr. No | Unit | Topic  |
|--------|------|--|
| 1      | 1    | Introduction to Financial system, <u>Financial markets</u> |
| 2      | 2    | Investment Classification                                  |

**Online Resources**

|   |
|---|
| <a href="https://nptel.ac.in/courses/110/105/110105121/">https://nptel.ac.in/courses/110/105/110105121/</a>   |
| <a href="https://swayam.gov.in/explorer?searchText=financial+markets">https://swayam.gov.in/explorer?searchText=financial+markets</a>   |
| <a href="https://www.classcentral.com/course/swayam-financial-institutions-and-markets-12986">https://www.classcentral.com/course/swayam-financial-institutions-and-markets-12986</a> |

**References:**

- Essentials of Business Finance: R H Srivastava,Himalaya
- Management of Financial Institution: R N Srivastava,Himalaya
- Investment Management:,Preeti Singh ,Himalaya
- Modern Banking: R Sayers
- Investment Analysis and Securities in India . V A Avadhani
- Capital Market in Planned Economy, NCAERT,Delhi
- The Intelligent Investor by Benjamin Graham
- Common Stocks & Uncommon Profits by Philip A. Fisher
- Learn To Earn by Peter Lynch
- The Warren Buffet Way by Robert Hagstrom
- One Up on Wall Street by Peter Lynch