MUTUAL FUNDS

Module1: CONCEPT AND ROLE OF A MUTUAL FUND

- 1.1 Introduction....
- 1.2 Types of Funds
- 1.3 Key Developments over the Years.

Module 2: FUND STRUCTURE AND CONSTITUENTS

- 2.1 Legal Structure of Mutual Funds in India
- 2.2 Key Constituents of a Mutual Fund
- 2.3 Other Service Providers.

Module 3: LEGAL AND REGULATORY ENVIRONMENT.

- 3.1 Role of Regulators in India
- **3.2 Investment Restrictions for Schemes**
- 3.3 Investors' Rights & Obligations
- 3.4 Can a Mutual Fund Scheme go bust?
- 3.5 Appendix 1: AMFI Code of Ethics
- 3.6 Appendix 2: AMFI's Code of Conduct for Intermediaries of Mutual

Module 4: OFFER DOCUMENT

- 4.1 Offer Document NFO, SID, SAI
- **4.2 Key Information Memorandum**
- 4.3 Appendix 3: Format of Scheme Information Document (SID)
- 4.4 Appendix 4: Statement of Additional Information (SAI)
- 4.5 Appendix 5: Key Information Memorandum

MODULE 5: FUND DISRIBUTION

- **5.1 Distribution Channels**
- **5.2 Channel Management Practices**

Module 6: ACCOUNTING, VALUATION AND TAXATION

- **6.1 Accounting and Expenses**
- 6.2 Valuation 6.3 Taxation

Module 7: INVESTOR SERVICES

- **7.1 Mutual Fund Investors**
- 7.2 KYC Requirements for Mutual Fund Investors
- 7.3 PAN Exempt Investments in Mutual Funds
- 7.4 Additional Requirements applicable for Institutional Investors
- 7.5 Foreign Account Tax Compliance Act (FATCA) and Common Reporting Standards (CRS)165
- 7.6 Demat Account
- 7.7 Transactions with Mutual Funds
- 7.8 Transactions through the Stock Exchange
- 7.9 Investment Plans and Services
- 7.10 Appendix 5: KYC Form for Individuals
- 7.11 Appendix 6: KYC Form for Non-Individuals
- 7.12 Appendix 7: KYC Details Change Form for Individuals
- **7.13 Appendix 8: KYC Details Change Form for Non-Individuals**

MODULE 8: RETURN, RISK AND PERFORMANCE OF FUNDS

- 8.1 Drivers of Returns and Risk in a Scheme
- 8.2 Measures of Returns
- 8.3 Drivers of Risk in a Scheme

- **8.4 Measures of Risk**
- 8.5 Benchmarks and Performance
- **8.6 Quantitative Measures of Fund Manager Performance**

MODULE 9: SCHEME SELECTION

- 9.1 How to choose between Scheme Categories?
- 9.2 How to select a Scheme within a Scheme Category?
- 9.3 Which is the Better Option within a Scheme?
- 9.4 Sources of Data to track Mutual Fund Performance

MODULE 10: SELECTING THE RIGHT INVESTMENT PRODUCTS FOR INVESTORS

- **10.2 Financial and Physical Assets**
- **10.3 Gold Physical or Financial?**
- 10.5 Using Mutual Funds to Meet Investor Goals
- 10.6 National Pension System (NPS)
- **10.7 Other Financial Products**

MODULE 11: HELPING INVESTORS WITH FINANCIAL PLANNING

- 11.1 Introduction to Financial Planning
- 11.2 Alternate Financial Planning Approaches
- 11.3 Life Cycle and Wealth Cycle in Financial Planning

MODULE 12: RECOMMENDING MODEL PORTFOLIOS AND FINANCIAL PLANS

- **12.1** Risk Profiling
- 12.2 Asset Allocation
- **12.3 Model Portfolios**
- 12.4 Behavioral Biases in Investment Decision Making