

B.Com. Sem. VII

Conduct and Practices for Investment Advisors - Syllabus

Unit	Title	Details of Topics
Unit 1	Introduction to Indian Financial Market	Macro-economic parameters of Indian Economy, features of Indian Financial Markets, structure of Indian Financial Markets, role of the participants in the Indian Financial Markets,
Unit 2	Securities Market Segments and Mutual Funds	Understand the nature, functions and types of issues in Primary Markets, role and function of Secondary Markets, meaning, features and the key terms and concepts associated with mutual funds, regulatory framework for mutual funds, the processes associated with investing in mutual funds, uses and processes of conducting systematic transactions, advantages and disadvantages of investing in mutual funds
Unit 3	Investment Products	Understand the various types of small savings instruments, fixed income / debt instruments, types of alternate investments, the concept of direct equity as an investment option
Unit 4	Investment Risk and Investment Returns	The concept of Risk, Common Types of Risk, ways of measuring risk, various concept of return, computation of Real rate of return vs. nominal return, computation of Tax adjusted return and the concept of Risk-adjusted Returns
Unit 5	. Regulatory Environment and Ethical Issues	Overall framework of the regulatory system , provisions of the SEBI (Investment Advisers) Regulations, 2013,roles of regulators: MoF, SEBI, RBI, IRDA, Understand the codes of conduct by SEBI, AMFI, etc., ethical issues in providing financial advice, investor complaint redressal mechanism

Recommended Books :

1. Jayanth Rama Varma: Derivatives and Risk Management: Tata Mc Graw Hill, New Delhi.
2. Bharati V. Pathak: The Indian Financial System: Pearson, New Delhi,
3. V.K. Bhalla: Investment Management: S. Chand, New Delhi
4. Frank J. Fabozzi and Franco Modigliani: Capital Markets- institutions and Instruments: Pearson, New Delhi
5. Donald E. Fisher and Ronald J. Jordan: Security Analysis and Portfolio Management: Pearson, New Delhi