

BUNTS SANGHA'S
S.M. SHETTY COLLEGE OF SCIENCE, COMMERCE AND MANAGEMENT STUDIES,
POWAI
PERMANENTLY AFFILIATED TO MUMBAI UNIVERSITY
NAAC ACCREDITED 'A' GRADE
IMC RBNQ CERTIFICATE OF MERIT 2019
ISO 21001:2018 CERTIFIED

Certificate Course Approval Form

Department: Department of Accountancy and Financial Management

Program: NISM V A Certification Course – Mutual Fund Distributors

Objectives: -

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

Need: Students must be informed and updated on the Mutual Fund Industry - Insights, Career Prospects and Challenges and get acquainted with financial planning

Scope: Students of our College

Resource Person: Dr. Vivek Gupta, Center for Digital and Financial Literacy

Course Fee - Free (Sponsored by Center for Digital and Financial Learning)

Course Duration – 30 Hours


PRINCIPAL
Bunts Sangha's S.M. Shetty College
of Science, Commerce & Management Studies
Powai, Mumbai-400 076.
Tel. 022-6132 7352
Email: college@smshettyinstitute.org

Course Dates – 24th August, 2021 to 15th September, 2021

Venue: Zoom meetings

Proposed by: Department of Accountancy and Financial Management

Verified by:



Asst. Prof. John Menezes
Convenor



Asst. Prof. Sandesha Shetty
Vice-Principal and Coordinator



Dr. Sridhara Shetty
Principal



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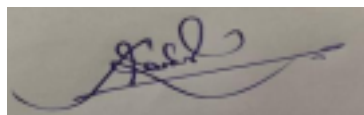
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Minutes of the Meeting

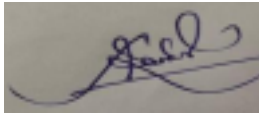

The Departmental meeting was held on 20th July at 12:30 pm. Following matters were discussed in the meeting:

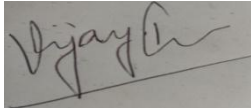
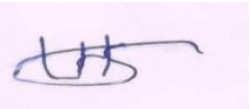
1. Teachers were instructed to plan some events for the Department of Accountancy and Financial Management and suggestions were taken for the same.
2. It was decided that Department will be conducting a Certificate Course on "NISM V A Certification Course – Mutual Fund Distributors" from 24th August, 2021 to 15th September, 2021.
3. It was discussed that Asst. Prof John Menezes will be the Convenor for the Certificate Course on "NISM V A Certification Course – Mutual Fund Distributors".
4. It was decided that Dr. Vivek Gupta, Mr. Vinayak Karande from Center for Digital and Financial Literacy will be the resource persons for the certificate course.



Asst Prof. Sandesha Shetty
Vice Principal & B.Com Coordinator

Teachers who attended the meeting:

Name	Signature
Asst Prof. Sandesha Shetty (Vice Principal & B.Com Coordinator)	
Asst Prof John Menezes – Member of Accountancy Department	

Asst Prof Vijay Vishwakarma – Member of Accountancy Department	
Asst Prof Utkarsh Kapadia – Member of Accountancy Department	





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NOTICE – (03-08-2021)

Warm Greetings to all the Ty and PG Students

Bunts Sangha's S.M.Shetty College of Science, Commerce and Management Studies,
Powai

Department of Accountancy and Financial Management
In Association with Center for Digital and Financial Literacy
Presents

Certificate Course in Mutual Funds Distributors

In this world of specialization with increasing competition and shrinking Job opportunities, getting a job has become a challenge for the average Indian graduate. In such a scenario differentiation & value addition is the mantra. With an objective to add value to the knowledge base of the students and empower them with the all important NISM V A certificate, We at S M Shetty College have arranged for a free NISM VA Training ^ Certification program for the students of our Institute.

Mutual Fund Distributors Certification Examination

Course Benefits:

- Free Training for 12 days
- Free one attempt to clear NISM Certification Exam
- NISM Certification allows you to get registered with AMFI as practitioner
- All AMFI Registers can empanel themselves with all the AMCs in the country.

Course Features:

- ✓ Virtual training by industry expert trainers (12 sessions of 2.5 hours each)
- ✓ On successful completion of the Mutual Fund Distributors examination, the candidate should:
 - ✓ Know the basics of mutual funds, their role and structure, different kinds of mutual fund schemes and their features.
 - ✓ Understand how mutual funds are distributed in the market-place, how schemes are to be evaluated, and how suitable products and services can be recommended to investors and prospective investors in the market.




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- ✓ Get oriented to the legalities, accounting, valuation and taxation aspects underlying mutual funds and their distribution.
- ✓ Get acquainted with financial planning as an approach to investing in mutual funds, as an aid for mutual fund distributors to develop long term relationships with their clients.

Kindly Register for the Orientation Session

REGISTRATION Link: <https://forms.gle/DEkkW5wVbEzwZbZu6>

Note:

📌 There are no charges

Regards,
Dept. of Accountancy and Financial Management

Any Query Contact: johnm@smshettyinstitute.org
Contact No-9867050902

NOTICE – (12-08-2021)

Warm Greetings to all the TY & PG Students of our College.

Bunts Sangha's S.M.Shetty College of Science, Commerce and Management Studies,
Powai
Department of Accountancy and Financial Management
In Association with Center for Digital and Financial Literacy

Presents

Certificate Course in Mutual Funds Distributors - Free NISM V A Training Certification

Course Benefits:

- Free Training for 12 days
- Free one attempt to clear NISM Certification Exam
- NISM Certification allows you to get registered with AMFI as practitioner
- All AMFI Registers can empanel themselves with all the AMCs in the country.

Course Features:

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

Join the Whatsapp Group for Further Communication -
<https://chat.whatsapp.com/Ei4LuEJ5rNg41OU0Vu9eGA>

Note:

- ✚ There are no charges - the Actual Cost for Certification and Training is Rs. 1,500 and Rs. 2,000 respectively and this is being provided for FREE
- ✚ Kindly Register for the Certification Course, and avail this great opportunity

Regards,
Dept. of Accountancy and Financial Management

Any Query Contact: johnm@smshettyinstitute.org
Contact No-9867050902



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Programme Schedule & Daily Work Report

NISM V - A CERTIFICATION COURSE

SR NO	DATE	TIME	NO OF HRS	RESOURCE PERSON	TOPIC COVERED	NO. OF PARTICIPANTS
1	24-08-2021	6.00 pm to 8.00 pm	2 hrs	Dr. Vivek Gupta	Chapter 1: Investment Landscape, Chapter 2: Concept and Role of a Mutual Fund	36
2	25-08-2021	6.00 pm to 8.00 pm	2 hrs	Dr. Vivek Gupta	Chapter 3: Legal Structure of Mutual Funds in India	36
3	26-08-2021	6.00 pm to 8.00 pm	2 hrs	Mr. Vinayak Karande	Chapter 4: Legal and Regulatory Framework & Mini Test 1	33
4	27-08-2021	6.00 pm to 8.00 pm	2 hrs	Dr. Vivek Gupta	Chapter 5: Scheme Related Information	34
5	28-08-2021	6.00 pm to 8.00 pm	2 hrs	Dr. Vivek Gupta	Chapter 6: Fund Distribution and Channel Management Practice	34
6	30-08-2021	6.00 pm to 8.00 pm	2 hrs	Dr. Vivek Gupta	Chapter 7: Net Asset Value, Total Expense Ratio and Pricing of Unit	34
7	31-08-2021	6.00 pm to 8.00 pm	2 hrs	Dr. Vivek Gupta	Full length Test & Discussion	35



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8	01-09-2021	6.00 pm to 7.00 pm	1 hrs	Dr. Vivek Gupta	Mini Test 2 and Discussion	33
9	09-02-2021	2.00 pm to 4.00 pm	2 hrs	-	Full length Test - https://quilgo.com/form/3f8EfiWNv1B1FaHK	34
		6.00 pm to 8.00 pm	2 hrs	Dr. Vivek Gupta	Chapter 8: Taxation & Full length Test Discussion	
10	09-03-2021	6.00 pm to 8.00 pm	2 hrs	Dr. Vivek Gupta	Chapter 9: Investor Services	34
11	09-04-2021	2.00 pm to 4.00 pm	2 hrs	-	Full length Test - https://quilgo.com/form/aYfRiuCVSiwOOjft	32
		6.00 pm to 8.00 pm	2 hrs	Dr. Vivek Gupta	Chapter 10: Risk, Return and Performance of Fund & Full length Test Discussion	
12	09-02-2021	2.00 pm to 4.00 pm	2 hrs	-	Full length Test - https://quilgo.com/form/8Mw6IOy27Z2iYPxe	34
		6.00 pm to 8.00 pm	2 hrs	Dr. Vivek Gupta	Chapter 11: Mutual Fund Scheme Performance, Chapter 12: Mutual Fund Scheme Selection & Full Length Test Discussion	
13	09-13-2021	6.00 pm to 7.00 pm	1 hrs	Dr. Vivek Gupta	Mini Test 2 and Discussion	36
14	09-14-2021	6.00 pm to 7.00 pm	1 hrs	Dr. Vivek Gupta	Mini Test 3 and Discussion	35
15	09-20-2021	6.00 pm to 7.00 pm	1 hrs	-	Practice Test	34
16	09-27-2021	6.00 pm to 8.00 pm	2 hrs	Dr. Vivek Gupta	Revision Lecture	36



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Total	31	Lectures + Test
Extra Hours	3	Revision + Practice Test



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REPORT

Event: NISM V A Certification Course – Mutual Fund Distributors

Date: 24th August, 2021 to 15th September, 2021

Venue: Zoom app

Scope: SY and TY Students across all disciplines.

Objectives: -

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

Highlights: Department of Accountancy and Financial Management conducted NISM V A Certification Course – Mutual Fund Distributors from 24th August, 2021 to 15th September, 2021. The course saw good participation of students from various disciplines. All Resource Persons provided extensive knowledge to students on the course and also took regular mini and full length tests to enhance the skill sets and knowledge of the students on Mutual Funds, its legalities, financial planning and role of mutual fund distributors. The students highly benefited from the course and gave very positive feedback for it.

Four Students sponsored by the Agency had cleared the NISM V-A Certification Exam:

1. Mr. Aaron Costa
2. Mr. Abdul Rehman
3. Ms. Manali Rajeshirke
4. Mr. Ali Sayyed

Number of Participants: 36 (Male: 23 & Female: 13)

Members for the Certificate Course:

1. Asst. Prof. Sandesha Shetty– Vice Principal and B.Com Coordinator
2. Asst. Prof. John Menezes - Convener of the Course
3. Dr. Vivek Gupta – Resource person for the Course
4. Mr. Vinayak Karande – Resource Person for the Course



Asst. Prof. John Menezes
Convener of the Course






Asst. Prof. Sandesha Shetty
Vice Principal & B.Com Coordinator




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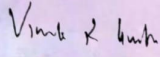
CERTIFICATE


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
DEPARTMENT OF ACCOUNTANCY AND FINANCIAL MANAGEMENT
IN COLLABORATION
WITH
CENTER FOR DIGITAL AND FINANCIAL LITERACY

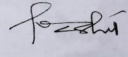
CERTIFICATE OF COMPLETION

This is to Certify that
Mr. Costa Aaron has successfully completed 30 Hours Certificate Course on NISM V A conducted from 24th August, 2021 to 15th September, 2021.


Dr. Vivek Gupta
Resource Person


Prof. John Menezes
Convener


Prof. Sandesha Shetty
Vice-Principal


Dr. Sridhara Shetty
Principal




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NISM V A Certification Course - Grading & Results

Sr. No.	Name of the Student	Gender	Year	Programme (Stream)	Marks Scored	Grade
1	Manali Rajeshirke	Female	TY	B.Com. A & F	78	A
2	Gupta Sarita	Female	TY	B.Com. B & I	61	B
3	Reshma kondhalkar	Female	TY	B.Com. A & F	59	B
4	Jyoti Upadhyay	Female	TY	B.Com. B & I	55	B
5	Maker Malvi	Female	TY	B.M.S.	68	B
6	Pranati Bangera	Female	TY	B.Com.	65	B
7	Kittikal Riya Babu	Female	TY	B.Com.	62	B
8	Shetty Shravya	Female	SY	B.Com.	57	B
9	Prajapati Ritu	Female	SY	B.Com.	59	B
10	Kaunder Dhanalaxmi	Female	TY	B.Com.	67	B



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11	Salian Poorvi	Female	TY	B.Com. A & F	67	B
12	Choudhary kanchan	Female	SY	B.M.S.	56	B
13	Singh priya	Female	TY	B.Com. B & I	56	B
14	Soni Soham Shailesh	Male	FY	M.Com.	71	A
15	Jagtap vaibhav sahebrao	Male	TY	B.Com. B & I	67	B
16	Pranav Pravinkumar	Male	TY	B.Com. A & F	62	B
17	Shaikh Abdul Rehman	Male	TY	B.Com. A & F	75	A
18	Advankar Chaitanya	Male	TY	B.Com. A & F	68	B
19	Aaron Costa	Male	TY	B.Com. A & F	78	A
20	Jaiswar Rithik Ramawadhram	Male	TY	B.Com.	51	C
21	Devadiga Prajval	Male	TY	B.Com.	59	B
22	Poojari Tejas	Male	TY	B.Com.	57	B



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23	Shetge Upendra	Male	TY	B.Com. B & I	64	B
24	Kamtekar Sahil	Male	TY	B.Com.	61	B
25	Jeshwant Makarla	Male	TY	B.M.S.	67	B
26	Sayyad ali	Male	TY	B.Com.	76	A
27	Ramchandani Sahil	Male	TY	B.M.S.	65	B
28	Shetty Samruddh Ramesh	Male	TY	B.M.S.	58	B
29	Mane Hitesh	Male	TY	B.M.S.	57	B
30	Pratik suvarna	Male	TY	B.Com.	67	B
31	Yadav Bipin	Male	TY	B.Com. B & I	48	C
32	Shaikh Sahil	Male	TY	B.Com.	58	B
33	Poojary Rahul	Male	TY	B.Com.	59	B
34	Abhishek Singh	Male	TY	B.Com. B & I	49	C
35	Mohammed Adnan Qureshi	Male	TY	B.Com.	59	B



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36	Rathod Purvesh	Male	TY	B.Com.	60	B
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Grading Scheme	
70 & Above	A
55 - 69	B
40 - 54	C
Below 40	F




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Certificates of Sponsored Students Passed NISM V – A

9/29/21, 4:45 PM

Marksheet



NISM NATIONAL INSTITUTE OF SECURITIES MARKETS
An Educational Initiative by SEBI

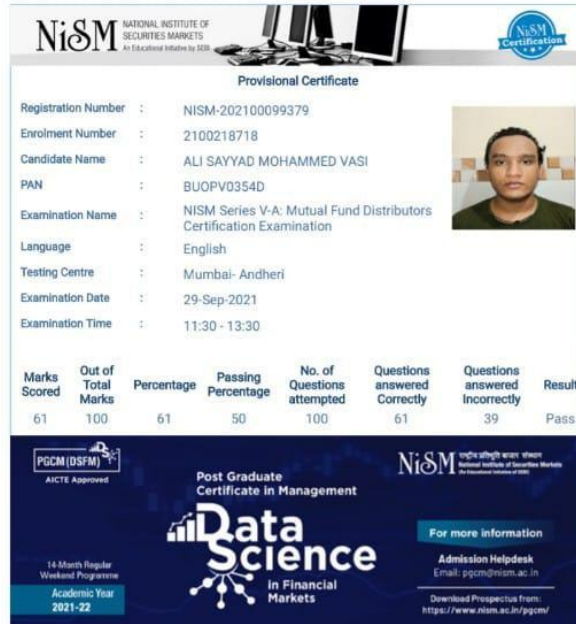
Provisional Certificate

Registration Number : NISM-202100097939
Enrolment Number : 2100218640
Candidate Name : ABDUL REHMAN MOHAMMED NASIR
PAN : BZOPN7634P
Examination Name : NISM Series V-A: Mutual Fund Distributors Certification Examination
Language : English
Testing Centre : Mumbai- Andheri
Examination Date : 29-Sep-2021
Examination Time : 11:30 - 13:30

Marks Scored	Out of Total Marks	Percentage	Passing Percentage	No. of Questions attempted	Questions answered Correctly	Questions answered Incorrectly	Result
69	100	69	50	100	69	31	Pass

PGCM (DSFM) AICTE Approved
Post Graduate Certificate in Management
Data Science in Financial Markets
14-Month Regular Weekend Programme
Academic Year 2021-22

For more information
Admission Helpdesk
Email: pgcm@nism.ac.in
Download Prospectus from: <https://www.nism.ac.in/pgcm/>



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An Educational Initiative by SEBI

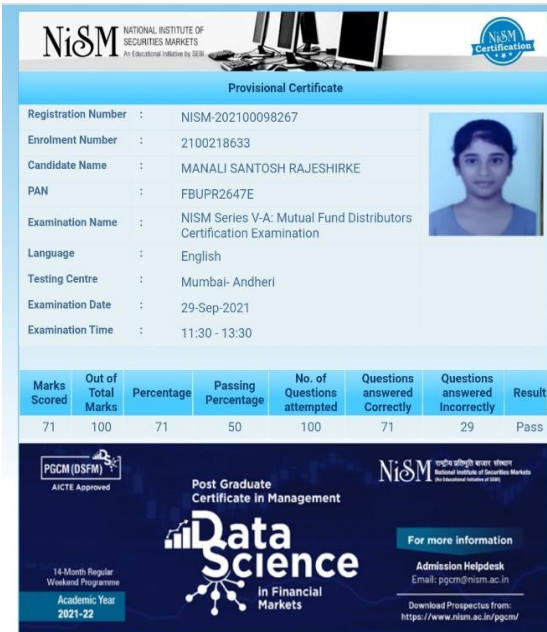
Provisional Certificate

Registration Number : NISM-202100099379
Enrolment Number : 2100218718
Candidate Name : ALI SAYYAD MOHAMMED VASI
PAN : BUOPV0354D
Examination Name : NISM Series V-A: Mutual Fund Distributors Certification Examination
Language : English
Testing Centre : Mumbai- Andheri
Examination Date : 29-Sep-2021
Examination Time : 11:30 - 13:30

Marks Scored	Out of Total Marks	Percentage	Passing Percentage	No. of Questions attempted	Questions answered Correctly	Questions answered Incorrectly	Result
61	100	61	50	100	61	39	Pass

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Academic Year 2021-22

For more information
Admission Helpdesk
Email: pgcm@nism.ac.in
Download Prospectus from: <https://www.nism.ac.in/pgcm/>



NISM NATIONAL INSTITUTE OF SECURITIES MARKETS
An Educational Initiative by SEBI

Provisional Certificate

Registration Number : NISM-202100098267
Enrolment Number : 2100218633
Candidate Name : MANALI SANTOSH RAJESHIRKE
PAN : FBUPR2647E
Examination Name : NISM Series V-A: Mutual Fund Distributors Certification Examination
Language : English
Testing Centre : Mumbai- Andheri
Examination Date : 29-Sep-2021
Examination Time : 11:30 - 13:30

Marks Scored	Out of Total Marks	Percentage	Passing Percentage	No. of Questions attempted	Questions answered Correctly	Questions answered Incorrectly	Result
71	100	71	50	100	71	29	Pass

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For more information
Admission Helpdesk
Email: pgcm@nism.ac.in
Download Prospectus from: <https://www.nism.ac.in/pgcm/>

राष्ट्रीय प्रतिभूति बाजार संस्थान
National Institute of Securities Markets
प्रमाणपत्र Certificate

NiSM

श्री / सुश्री Mr. / Ms. AARON CONSTANCE COSTA
(पी.ए.एन. संख्या PAN Number : BKNPC0063R)
(पंजीकरण संख्या Registration Number : NISM-202100093054)
(नामांकन क्रमांक Enrolment Number : 2100218632)

ने भारतीय प्रतिभूति और विनियम बोर्ड (प्रतिभूति बाजारों में सह्युक्त व्यक्तियों का प्रमाणिकरण) विनियम, 2007 के अधीन अंशानुसार "रा.प्र.म.सं.-मूखला-V-ए : पारस्परिक निधि विवरक प्रमाणिकरण परीक्षा" सफलतापूर्वक पूर्ण कर ली है।
has successfully completed the "NISM Series V-A: Mutual Fund Distributors Certification Examination" as required under the SEBI (Certification of Associated Persons in the Securities Markets) Regulations, 2007

परीक्षा तिथि Test Date	परीक्षा केंद्र Test Centre	भाषा Language	अंक Marks	टिप्पणियाँ Remarks
September 29, 2021	Mumbai- Andheri	English	50	PASS

तारीख Date : October 02, 2021
स्थान Place : Mumbai
कब तक मान्य Valid Till : September 28, 2024
सुनिल कदम, रजिस्ट्रार Sunil Kadam, Registrar

For online verification of this NISM Certificate, please login to NISM Skills Registry at <https://certifications.nism.ac.in/nismskills>



(Signature)
PRINCIPAL

Bunts Sangha's S.M. Shetty College
of Science, Commerce & Management Studies
Powai, Mumbai-400 076.
Tel. 022-6132 7352
Email: college@smshettyinstitute.org

ATTENDANCE

Attendance Sheet (Record) for NISM V A Certification Course																		
Sr. No.	Name of the Student	Gender	Lecture - 6pm	Lecture -	Lecture -	Lecture -	Lecture -	Lecture -	Full Length	Short Length	Lecture -	Lecture -	Lecture -	Test	Short Test	Short Test	Test	Lecture -
1	Soni Soham Shailesh	Male	P	P	P	P	P	P	P	P	P	P	P	P	P	P	P	P
2	Jagtap vaibhav sahebrao	Male	P	P	A	P	A	P	P	P	P	P	P	P	P	P	P	P
3	Manaji Rajeshkake	Female	P	P	P	P	P	P	P	P	P	P	P	P	P	P	P	P
4	Pranav Pravinkumar	Male	P	P	P	P	P	P	A	P	P	P	P	P	P	P	P	P
5	Gupta sarita	Female	P	P	P	P	P	P	P	A	P	P	P	A	P	P	P	P
6	Shaikh Abdul Rehman	Male	P	P	P	P	P	P	P	P	P	P	P	P	P	P	P	P
7	Advankar Chaitanya	Male	P	P	P	P	P	P	P	P	P	P	P	P	P	P	P	P
8	Costa Aaron	Male	P	P	P	P	P	P	P	P	P	P	P	P	P	P	P	P
9	Jaiswar Rishi Ramawadh	Male	P	P	P	P	P	P	P	P	P	P	P	A	P	P	P	P
10	Devadiga Prajwal	Male	P	P	P	P	P	P	P	P	P	P	P	P	P	A	P	P
11	Poojari Tejas	Male	P	P	P	P	P	P	A	P	P	P	P	P	P	P	P	P
12	Reshma kondhalkar	Female	P	P	P	P	P	P	P	P	P	P	P	P	P	P	P	P
13	Shetge Upendra	Male	P	P	P	A	P	P	P	P	A	P	P	P	P	P	P	P
14	Jyoti Upadhyay	Female	P	P	P	P	P	P	P	P	P	P	P	P	P	P	P	P
15	Kamtekar Sahil	Male	P	P	P	P	P	P	P	P	P	P	A	P	P	P	P	P
16	Singh priya	Female	P	P	P	P	P	P	P	A	P	P	P	P	P	P	P	P
17	Makar Mahi	Female	P	P	P	P	P	P	A	P	P	P	P	P	P	P	P	P
18	Jeshwant Makaria	Male	P	P	P	P	P	P	P	P	P	P	P	A	P	P	P	P
19	Sayyad ali	Male	P	P	P	P	P	P	P	P	P	P	P	P	P	P	P	P
20	Ramchandani Sahil	Male	P	P	P	P	P	P	P	P	P	P	P	P	P	P	P	P
21	Shetty Samrudh Ramesh	Male	P	P	P	P	P	P	P	P	P	P	P	P	P	P	P	P
22	Mane Hitesh	Male	P	P	P	P	P	P	P	P	P	P	P	P	P	P	P	P
23	Pratik suvarna	Male	P	P	P	P	P	P	P	P	P	P	P	P	P	P	P	P
24	Pranati Bangera	Female	P	P	P	P	P	P	P	P	P	P	A	P	P	P	A	P
25	Katikal Riya Babu	Female	P	P	P	A	P	P	P	P	P	P	P	P	P	P	P	P
26	Shetty Shranya	Female	P	P	P	P	P	P	P	P	P	P	A	P	P	P	P	P
27	Prajapati Ritu	Female	P	P	A	P	P	P	P	P	P	P	P	P	P	P	P	P
28	Yadav bipin	Male	P	P	P	P	A	P	P	A	P	P	P	P	P	P	P	P
29	Shaikh sahil	Male	P	P	P	P	P	P	P	P	P	P	P	P	P	P	P	P

Attendance Sheet (Record) for NISM V A Certification Course																		
Sr. No.	Name of the Student	Gender	Lecture - 6pm	Lecture -	Lecture -	Lecture -	Lecture -	Lecture -	Full Length	Short Length	Lecture -	Lecture -	Lecture -	Test	Short Test	Short Test	Test	Lecture -
28	Yadav bipin	Male	P	P	P	P	A	P	P	A	P	P	P	P	P	P	P	P
29	Shaikh sahil	Male	P	P	P	P	P	P	P	P	P	P	P	P	P	P	P	P
30	Kanuder Dhanalaxmi	Female	P	P	P	P	P	P	P	P	P	P	P	P	P	P	P	P
31	Poojary Rahul	Male	P	P	P	P	P	P	P	P	P	P	P	P	P	P	P	P
32	Salian Poorvi	Female	P	P	P	P	P	P	P	P	P	P	P	P	P	P	P	P
33	Abhishek Singh	Male	P	P	P	P	P	P	P	P	P	P	P	P	P	P	A	P
34	Mohammed Adnan QURE	Male	P	P	P	P	P	P	P	P	P	P	P	P	P	P	P	P
35	Rathod Purvesh	Male	P	P	P	P	P	P	P	P	P	P	P	P	P	P	P	P
36	Choudhary kanchan	Female	P	P	A	P	P	P	P	P	A	P	P	P	P	P	P	P
36			36	36	33	34	34	34	35	33	34	34	32	34	36	35	34	36



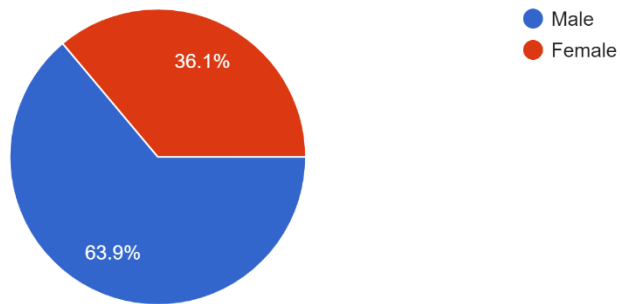
[Handwritten Signature]
PRINCIPAL

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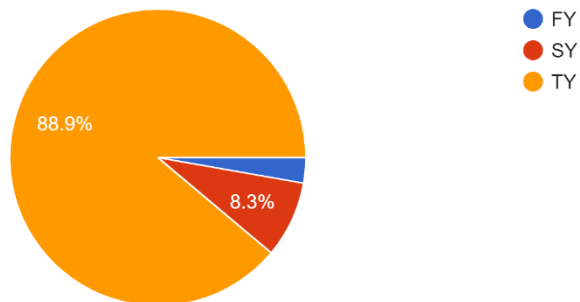
FEEDBACK ANALYSIS

No of Respondents: 36 - Male_23, Female_13

Gender
36 responses



Year
36 responses

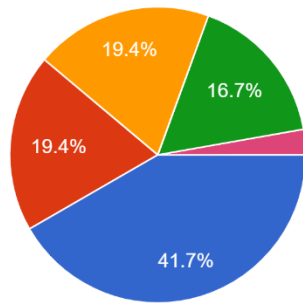


[Signature]
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Programme (Stream)

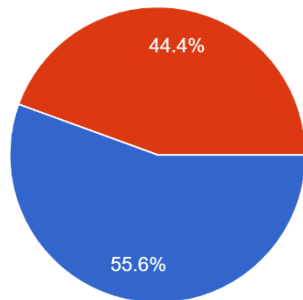
36 responses



- B.Com.
- B.Com. A & F
- B.Com. B & I
- B.M.S.
- B.Sc. IT
- B.A.M.M.C
- M.Com.
- M.Sc. IT

How would you rate the Content covered in the course?

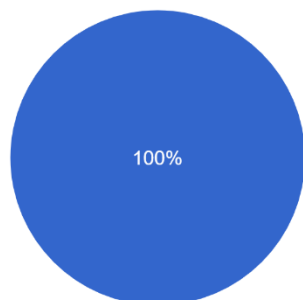
36 responses



- Very Good
- Good
- Average
- Poor
- Very Poor

Do you believe that the course has helped you to learn the theoretical and practical aspects of Mutual Funds under NISM V-A

36 responses



- Yes
- Maybe
- No

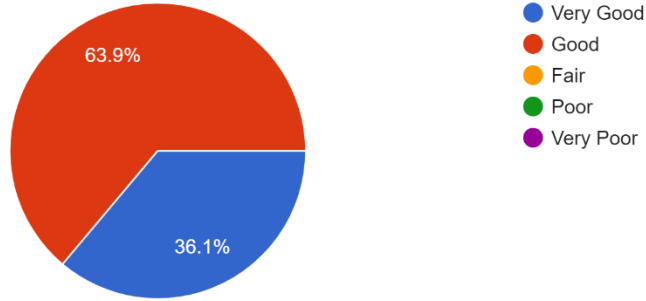


S.M. Shetty
PRINCIPAL

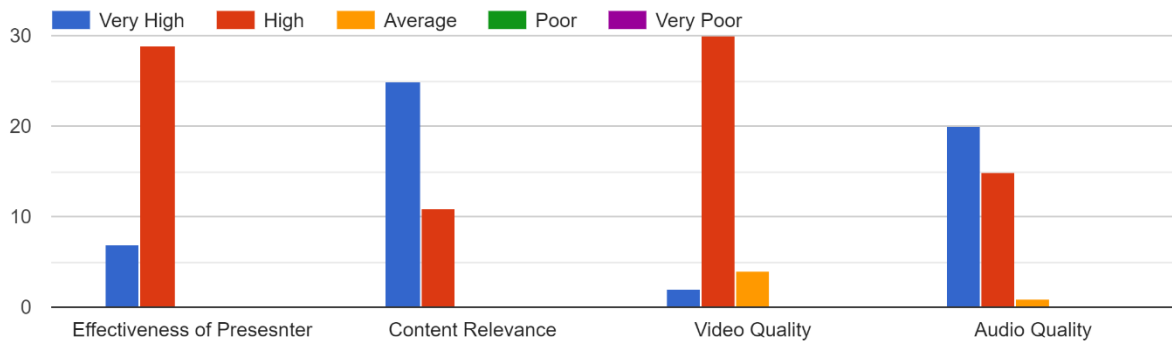
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How would you rate the presentation of the Resource Person?

36 responses



Feedback about the Resource Person -

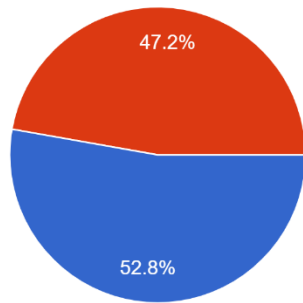


[Signature]
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Overall Rating for the Course

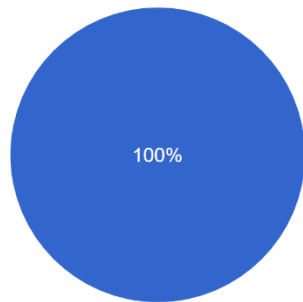
36 responses



- Very satisfied
- Satisfied
- Neither Satisfied nor Dissatisfied
- Dissatisfied
- Very dissatisfied

Do you believe, you have benefited from this course?

36 responses



- Yes
- No
- Maybe



[Signature]
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	A	B	C	D	E	F	G	H	I	J	K
1	Email Address	Name of the Student	Gender	Year	Programme (Stream)	How would you rate the	Do you believe that the	How would you rate the	Feedback about the Re	Feedback about the Re	Feedback about the F
2	manalshirke24@gmail	Manali Rajeshirke	Female	TY	B.Com. A & F	Very Good	Yes	Very Good	Very High	Very High	Very High
3	guptasarita0902@gmail	Gupta Sarita	Female	TY	B.Com. B & I	Very Good	Yes	Very Good	High	Very High	High
4	kondharesthema@gmail	Reshma kondhalkar	Female	TY	B.Com. A & F	Good	Yes	Very Good	High	Very High	High
5	jyotupathay2000@g	Jyoti Upadhyay	Female	TY	B.Com. B & I	Very Good	Yes	Very Good	High	High	High
6	malvimaker148@gmail	Maker Malvi	Female	TY	B.M.S.	Very Good	Yes	Good	High	Very High	High
7	bangerapranathi@gma	Pranati Bangera	Female	TY	B.Com.	Good	Yes	Good	High	High	Average
8	kittikalriya@gmail	Kittikal Riya Babu	Female	TY	B.Com.	Good	Yes	Good	High	Very High	High
9	24shravayshetty@gma	Shetty Shravya	Female	SY	B.Com.	Very Good	Yes	Good	High	Very High	High
10	rituprajapati12345678@gmail	Prajapati Ritu	Female	SY	B.Com.	Very Good	Yes	Good	High	Very High	High
11	dhanalaxmimurugan19@gmail	Kaunder Dhanalaxmi	Female	TY	B.Com.	Very Good	Yes	Good	High	Very High	High
12	poorvisaliant1@gmail	Salkan Poorvi	Female	TY	B.Com. A & F	Very Good	Yes	Good	High	Very High	High
13	kanchanchoudhary225@gmail	Choudhary kanchan	Female	SY	B.M.S.	Good	Yes	Good	High	High	High
14	priyaenticing@gmail	c Singh priya	Female	TY	B.Com. B & I	Very Good	Yes	Very Good	High	Very High	High
15	sohamsoni17@gmail	c Soni Soham Shailesh	Male	FY	M.Com.	Good	Yes	Good	Very High	Very High	High
16	vaibhavagtap1408@gmail	Jagtap vaibhav sahebn	Male	TY	B.Com. B & I	Very Good	Yes	Very Good	Very High	Very High	High
17	pranavpran00@gmail	Pranav Pravinkumar	Male	TY	B.Com. A & F	Good	Yes	Good	High	High	High
18	abdulrehaman24835@gmail	Shaikh Abdul Rehman	Male	TY	B.Com. A & F	Very Good	Yes	Very Good	Very High	Very High	High
19	chaitanya7advankar@gmail	Advankar Chaitanya	Male	TY	B.Com. A & F	Good	Yes	Good	High	High	High
20	aaroncosta525@gmail	Aaron Costa	Male	TY	B.Com. A & F	Very Good	Yes	Very Good	Very High	Very High	Very High
21	ritikajaiswar25@gmail	Jaiswar Ritik Ramawar	Male	TY	B.Com.	Good	Yes	Good	High	Very High	High
22	dprajval748@gmail	cor Devadiga Prajval	Male	TY	B.Com.	Good	Yes	Very Good	High	Very High	High
23	spjaspoojari04@gmail	c Poojari Tejas	Male	TY	B.Com.	Good	Yes	Good	High	High	High
24	upendreshelge22@gmail	Shetge Upendra	Male	TY	B.Com. B & I	Very Good	Yes	Very Good	Very High	Very High	High
25	kantekarsahil@gmail	c Kantekar Sahil	Male	TY	B.Com.	Good	Yes	Good	High	Very High	High



[Signature]
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POWAI

Permanently Affiliated to the University of Mumbai
NAAC ACCREDITED 'A' GRADE
IMC RBNQ CERTIFICATE OF MERIT 2019
ISO 21001:2018 CERTIFIED

ACTION TAKEN REPORT

Name of the Program: NISM V A Certification Course – Mutual Fund Distributors

Duration: 24th August, 2021 to 15th September, 2021.

Resource Person: Dr. Vivek Gupta, Mr. Vinayak Karande

Course Fees: Free – Sponsored by Center for Digital and Financial Literacy.

FEEDBACK RECEIVED	ACTION TAKEN
Students gave positive feedback. Most of them were happy and satisfied with the course.	It was decided that this course will be continued in future as well.




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TEST / EXAM

V_SMS_NISM MOCK TEST

_2

for johnm@smshettyinstitute.org

🕒 **120 min**

The form you have attempted to open has time limitation.

⚠ IMPORTANT! This form will be automatically closed when time is over. Your **answers will be LOST if you don't submit the form in time**. Please make sure to submit your answers before time runs out.

[Open the form](#)




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Q 1. Mutual fund units issued against purchase transactions would be subject to levy of stamp duty at _____ of the amount invested. * 1 point

Untitled Question

- 0.5%
- 0.05%
- 0.005%
- 0.01%

Q 2. The Asset Management Companies have to disclose the Total Expense Ratios (TER) of the various schemes on their websites on a _____ basis. * 1 point

- Daily
- Weekly
- Monthly
- Annual

Q 3. Whom should the investor approach if his complaint is not resolved by the Asset Management Company (AMC) ? * 1 point

- Securities and Exchange Board of India (SEBI)
- Custodian
- Company Law Board
- Ombudsman




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Q 8. The expenses which can be charged by an Asset Management Company to a Mutual Fund Scheme are limited by _____ . * 1 point

- Fund managers
- Sponsors
- Investors
- SEBI

Q 9. Identify the TRUE statement. * 1 point

- While calculating scheme returns for an investor, if there is an entry load, then the initial value of the Net Asset Value (NAV) is taken as NAV minus Entry Load
- While calculating scheme returns for an investor, if there is an exit load, then the later value of the Net Asset Value (NAV) is taken as NAV minus Exit Load

Q 10. As per AMFI's code of ethics, an Asset Management Company has to disclose which of the following scheme related information to the unit holders ? * 1 point

- A. Investment Pattern
 - B. Annual portfolio turnover
 - C. Annual securities transactions
- Only B
 - A and B
 - B and C
 - A, B and C




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BOS Letters



BUNTS SANGHA'S

**S.M. SHETTY COLLEGE OF SCIENCE, COMMERCE &
MANAGEMENT STUDIES**

PERMANENTLY AFFILIATED TO UNIVERSITY OF MUMBAI
ACCREDITED BY NAAC - 'A' GRADE
IMC - RBNQ Merit Certificate
ISO 21001 : 2018 Certified

SMS/254-1

August 04, 2021

To,

**Dr. Vivek Gupta,
Center for Digital and Financial Literacy
Mumbai.**

Respected Sir,

We are pleased to inform you that you have been appointed as Expert in Board of Studies for syllabus setting and resource person as mentioned against your name in the attached appointment letter.

Please co-ordinate with the Board and submit your acceptance at the earliest.

For any queries regarding appointment, please email at college@smshettyinstitute.org.

Regards,

Principal
Principal
Bunts Sangha's S.M. Shetty College
of Science, Commerce & Management Studies
Powai, Mumbai - 400 076.



Hiranandani Garden, Powai, Mumbai 400 076. Tel: 022 - 61327352 / 61327356 / 61327363
Website: www.smshettycollege.edu.in Email: college@smshettyinstitute.org

CS Scanned with CamScanner



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Principal
Bunts Sangha's S.M. Shetty College
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Tel. 022-6132 7352
Email: college@smshettyinstitute.org

NISM V A Certification Course – Mutual Fund Distributors

Certificate Course

LETTER OF APPOINTMENT

FOR MEMBER OF BOARD OF STUDIES (BOS) AND/ OR RESOURCE PERSON

NAME	ADDRESS	ROLE	CONTACT / EMAIL ID
Mr Sandesha Shetty Vice-Principal	Bunts Sangha's S.M. Shetty College of Science, Commerce and Management Studies, Powai	Chairperson of BOS	sandeshas@smshettyinstitute.org
Mr John Menezes Asst. Professor	Bunts Sangha's S.M. Shetty College of Science, Commerce and Management Studies, Powai	Convener	johnm@smshettyinstitute.org
Dr. Vivek Gupta,	Center for Digital and Financial Literacy	Expert / Resource Person	vivekbbtgmm@yahoo.co.in 9322710073
Mr. Vinayak Karande	Center for Digital and Financial Literacy	Resource Person	9322710073


Principal

PRINCIPAL
Bunts Sangha's S.M. Shetty College
of Science, Commerce & Management Studies
Powai, Mumbai - 400 076.




Principal

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SMS/254

August 04, 2021

To,

Mr. Sandesha Shetty
Vice-Principal

Respected Sir,

We are pleased to inform you that you have been appointed as Chairperson of Board of Studies for syllabus setting as mentioned against your name in the attached appointment letter.

Please co-ordinate with the Board and submit your acceptance at the earliest.

For any queries regarding appointment,
please email at college@smshettyinstitute.org.

Regards,

Principal

PRINCIPAL

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Principal

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SMS/254-3

August 04, 2021

To,

Mr. John Menezes
Asst. Professor

Respected Sir,

We are pleased to inform you that you have been appointed as Convenor as mentioned against your name in the attached appointment letter.

Please co-ordinate with the Board and submit your acceptance at the earliest.

For any queries regarding appointment, please email at college@smshettyinstitute.org.

Regards,

Principal
PRINCIPAL
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SMS/254-2

August 04, 2021

To,

Mr. Vinayak Karande
Center for Digital and Financial Literacy

Respected Sir,

We are pleased to inform you that you have been appointed as Resource person as mentioned against your name in the attached appointment letter.

Please co-ordinate with the Board and submit your acceptance at the earliest.

For any queries regarding appointment, please email at college@smshettyinstitute.org.

Regards,


Principal
PRINCIPAL
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