



**NISM-Series-V-A**

**Mutual Fund Distributors Certification**

**Mode of Delivery:** Online Live Interactive + Online Self-paced\*

**Duration :- 24 Hours**

**Study Materials :**

- Recording available of online live sessions
- PPTs (700+ Slides)
- 800+ MCQs
- Quick revision summary.

This certification establishes a standardized knowledge benchmark for individuals involved in mutual fund sales and distribution, including:

- Individual mutual fund distributors.
- Employees of organizations and Asset Management Companies engaged in mutual fund sales and distribution.

**The certification enhances the quality of mutual fund sales, distribution, & support services. NISM has specified this examination to be the requisite standard for associated persons including distributors, agents, brokers, sub-brokers or called by any other name, employed or engaged or to be employed or engaged in the sale and/or distribution of mutual fund products.**

**Upon successful completion of the training, candidates will :**

- Understand mutual funds, their types, features, and market role.
- Evaluate schemes, recommend suitable products, and provide advisory services.
- Grasp legal, accounting, valuation, and taxation aspects of mutual funds.
- Apply financial planning principles to foster long-term client relationships.

**Assessment Details:**

- 100 multiple-choice questions (1 mark each).
- Duration: 2 hours.
- Passing Score: 50%.
- No negative marking.

**\* Online Self-paced contents access will be provided for 90 days to the user only.**

# ICAPITAL ACADEMY & CORPORATE ADVISORY LLP :

## The Institute is Leading Excellence in Financial Education and Advisory Services

Since its establishment in October 2020, **ICAPITAL Academy** has become a premier institution in financial education and professional advisory services. We specialize in delivering NISM certification programs and Financial Market training through versatile formats, including online, self-paced, and classroom courses, tailored to diverse learning preferences and professional aspirations

Our comprehensive educational offerings span finance, securities markets, and allied domains, providing participants with a robust understanding of the financial ecosystem. Through our coaching centers and innovative learning platforms, we deliver a holistic educational experience, empowering individuals with the skills and insights to succeed in competitive financial landscapes.

**ICAPITAL Academy** also excels in corporate training and human resource development, designing bespoke programs that enhance workforce competency & organizational growth. Our services aim to equip teams with the tools needed that enhance workforce competency to navigate complex financial markets confidently

In advisory services, we are recognized for our expertise in financial research, project finance, personal finance, and loan syndication. Acting as a critical bridge between clients and financial institutions, we assist in marketing financial products, managing project appraisals, and facilitating structured debt syndication. Additionally we provide strategic guidance on debt restructuring and corporate financial planning fostering sustainable success for our clients.

Expanding both domestically and globally, **ICAPITAL Academy** aims to become a leader in financial knowledge dissemination. Our specialized job-oriented courses, covering areas such as Financial Modeling, Stock Market, Derivatives, Forex, Technical Fundamental Analysis, and Mutual Funds are meticulously designed to prepare and participants for industry demands.

At **ICAPITAL Academy**, we prioritize quality education delivered by industry experts, enabling informed investment decisions and professional excellence. Our commitment to innovation and expertise positions us as a catalyst for growth in the ever-evolving financial world.



## About NISM :

The National Institute of Securities Markets (NISM), established by SEBI in 2006 enhances securities market standards through capacity building initiatives. It offers 29 SEBI-mandated and voluntary certifications across 250+ test centers and manages six schools of excellence.

## NISM Certification

Under SEBI regulations, NISM provides:

- Mandatory certification for securities market intermediaries.
- Continuing Professional Education (CPE) for certificate renewal.

Certificates are valid for three years and can be renewed by passing the relevant exam or completing a one-day CPE program within 12 months of expiry.





# Test Objectives :

## Candidates who pass the examination will

- Understand mutual funds, their types, features, and market role.
- Evaluate schemes, recommend suitable products, and provide advisory services.
- Grasp legal, accounting, valuation, and taxation aspects of mutual funds.
- Apply financial planning principles to foster long-term client relationships.

## Course Details:

- Duration: 24 Hours
- NISM exam registration fees not included in the above mention Course Fee.
- PPTs (700+ Slides) and 800+ MCQ for practice (mock exams & mock paper shared for self-practice).
- Sessions would cover doubt solving from the Mock Exams.
- Online Interactive Session for the practice on software's required in particular module



# Eligibility :

**Associated persons including distributors, agents, brokers, sub-brokers or called by any other name, employed or engaged or to be employed or engaged in the sale and/or distribution of mutual fund products. Interested students/professionals Any other individuals**

- Interested students/professionals.
- Students (10th, 10+2, Undergraduates, Graduates, Post- graduation)
- Investors and traders
- RM, SRM, & Dealers who would like to enhance their career opportunities.
- Any other individuals

## Curriculum Overview:

### Mutual Fund Distributors Certification

#### I. Investment Landscape

- Identifying investor goals, savings vs. investments, asset classes, and risks.
- Risk management strategies, behavioral biases, risk profiling, and asset allocation.
- Professional financial help vs. DIY investing.

#### II. Concept and Role of a Mutual Fund

- Definition, types, and industry growth in India.

#### III. Legal Structure of Mutual Funds

- Fund structure, key entities, AMC organization, and service providers.
- AMFI's role and functions.

#### IV. Legal and Regulatory Framework

- Roles of regulators, SEBI, due diligence, grievance redressal, and AMFI's code of conduct.

## **V. Scheme-Related Information**

- Mandatory and optional disclosures in mutual fund schemes.

## **VI. Fund Distribution and Management**

- Types of distributors, distribution modes, eligibility criteria, and revenue sources.
- SEBI-mandated commission disclosure, due diligence, and differences between distributors and advisors.
- Nomination facilities, commission payments, and distributor changes.

## **VII. NAV, Expense Ratio, and Pricing**

- NAV computation, entry/exit load, and unit pricing for segregated portfolios.

## **VIII. Taxation**

- Tax implications, capital gains, dividend income, stamp duty, and tax benefits under Section 80C.
- GST, TDS, and securities transaction tax.

## **IX. Investor Services**

- NFO processes, subscription pricing, investment plans, and account statements.
- Financial and non-financial transactions, KYC requirements, and systematic transactions.
- Operational aspects, turnaround times, and special investor categories

## **X. Risk, Return, and Performance**

- Risk factors, performance drivers, return measures, and SEBI norms for representation.
- Risk measures and credit risk provisions.

## **XI. Mutual Fund Scheme Performance**

- Benchmarks, performance metrics, tracking error, and performance disclosure norms.

## **XII. Scheme Selection**

- Aligning schemes with investor needs, risk levels, and strategies.
- Comparing AMC offerings and selecting within categories.
- Best practices for mutual fund selection





## Faculty/Trainer<sup>∞</sup>:

**Mr. Amit Gupta**

**MS Finance, MMS Finance (NIT), MBA Project Mgmt(SMU), CCRA™, AIM®, BE(Electrical, Govt. College), Passed CFP & CWM, Dip T&D (ISTD, New Delhi).**



Amit is a seasoned financial professional with over 20 years+ of expertise in the Indian capital markets, specializing in Equity Research, Financial Modeling, Stock Trading & Risk Management, Business, Wealth management, and Investment Advisory. Renowned for a strong track record of excellence, he has delivered impactful results across diverse financial domains. He worked as the **Principal Officer** at a leading Portfolio Management Services (PMS) firm in Mumbai he combines industry expertise with academic rigor. He worked in middle management positions with leading corporates like ICICI Securities Ltd, ISE India, Financial Technologies (I) Ltd, and Standard Chartered Securities Ltd. Defining, executing and delivering the analytical solution to business problems.

He brings extensive teaching experience, conducting courses in financial modeling, valuation, corporate finance, fundamental analysis, and portfolio management. With a robust academic foundation, he holds advanced certifications, including an MS in Finance (CFA Charter holder pathway, ICFAI), MMS in Finance (NIT), CCRA™, AIM®, and a Bachelor of Engineering in Electrical Engineering from MBM Er. College (govt.) Jodhpur. He passed CFP, CWM certification examination. He holds Post Graduate Diploma in Training and Development (ISTD, New Delhi)

<sup>∞</sup> : A trainer for a specific training course may be changed without prior notice.

## Registration & Fee Payment:

- Name of Module: NISM-Series-V-A: Mutual Fund Distributors Certification Examination
- Call us for an Individual and Customized Corporate Training
- For more information please ☎ +919967813782, +91 9004459173

✉ : amitg@icapitaltrainings.com, training@icapitalacademy.com

📞 : <https://wa.me/+919967813782>

## Payment:

**(1) Scan the QR Code:**

**(2) Transfer to a bank account:**

ICAPITAL ACADEMY AND CORPORATE ADVISORY LLP

GSTIN- 27AAIFI3809D1ZJLP

HDFC Current Account No. 50200054026244

IFSC- HDFC0000540

Branch: HDFC Bank, Sector-17, Vashi, Navi Mumbai



## Refund Policy

- Registration Fees paid by the candidate shall not be refunded under any circumstances after the classes have commenced.
- In case the registered candidate wishes to cancel the registration for the program, the candidate shall intimate ICAPITAL Academy via a written request or Email within 3 working days prior to the commencement of the program. Once the request has been approved by ICAPITAL Academy the candidate will be refunded 90% of the total course fees paid for the respective program.
- ^ ICAPITAL Academy reserves the right to change or modify the class date/ time due to certain exigencies

## Disclaimer

- The content provided in this program/course is for educational and informational purposes only. ICAPITAL Academy & Corporate Advisory LLP does not provide financial, legal, or investment advice. Participants are encouraged to consult qualified financial advisors before making any investment decisions.
- While all reasonable efforts have been made to ensure accuracy and completeness of the material, ICAPITAL Academy does not guarantee or warrant the reliability, accuracy, or completeness of the information presented. The program/course does not ensure success in examinations, certifications, or job placement.
- The financial markets are subject to risks, and past performance is not indicative of future results. Participants are responsible for their own investment and financial decisions.





# Terms & Conditions

## 1. Enrollment and Fees

- o Enrollment is confirmed only upon receipt of the full course fee.
- o The course fee is non-refundable under any circumstances, except where explicitly stated.
- o NISM certification examination registration fees are not included in the course fee.

## 2. Course Access

- o Access to course materials (PPTs, recordings, mock exams, etc.) is provided for the duration of the program or as specified by ICAPITAL Academy.
- o Unauthorized sharing, reproduction, or distribution of course materials is strictly prohibited.

## 3. Participation

- o Participants must attend sessions regularly and adhere to the schedule.
- o **ICAPITAL Academy** reserves the right to reschedule or cancel sessions with prior notice.

## 4. Certification

- o Completion of this program/course does not guarantee passing the NISM certification exam. Participants must register independently for the exam through NISM.

## 5. Liability

- o **ICAPITAL Academy** is not liable for any direct, indirect, or incidental loss or damage resulting from reliance on the course material or participation in the program.
- o Participants acknowledge that the financial markets involve risks, and they are solely responsible for their investment decisions.

## 6. Code of Conduct

- o Participants are expected to maintain a professional demeanor during sessions. Any disruptive behavior may result in removal from the program without refund.



## 7. Amendments

- o **ICAPITAL Academy** reserves the right to update or modify the terms and conditions at any time. Participants will be notified of such changes.

## 8. ICAPITAL Academy Privacy Notice

- o ICAPITAL Academy respects your privacy. We may use your contact information, such as your name, address, and email id to fulfil your request and service your account and to provide you with additional information from ICAPITAL Academy For further information on ICAPITAL Academy's privacy policy please visit [www.icapitalacademy.com](http://www.icapitalacademy.com)



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