University of Mumbai

वेबसाईट – mu.ac.in
ईमेल - आयडी - dr.aams@fort.mu.ac.in
aams3@mu.ac.in

विद्याविषयक प्राधिकरणे
सभा आणि सेवा विभाग(ए.ए.एम.एस)
रूम नं. १२८ एम.जी.रोड, फोर्ट,
मुंबई – ४०० ०३२
टेलिफोन नं - ०२२ - ६८३२००३३

(नॅक पुनर्मूल्यांकनाद्वारे ३.६५ (सी.जी.पी.ए.) सह अ++ श्रेणी
विद्यापीठ अनुदान आयोगाद्वारे श्रेणी १ विद्यापीठ दर्जा)

क.वि.प्रा.स.से./आयसीडी/२०२५-२६/३७ दिनांक : २७ मे, २०२५

परिपत्रक:-

सर्व प्राचार्य/संचालक, संलग्नित महाविद्यालये/संस्था, विद्यापीठ शैक्षणिक विभागांचे संचालक/ विभाग प्रमुख यांना कळविण्यात येते की, राष्ट्रीय शैक्षणिक धोरण २०२० च्या अमंलबजावणीच्या अनुषंगाने **शैक्षणिक वर्ष २०२५-२६** पासून **पदवी** व **पदव्युत्तर अभ्यासक्रम** विद्यापरिषदेच्या दिनांक २८ मार्च २०२५ व २० मे, २०२५ च्या बैठकीमध्ये मंजूर झालेले सर्व अभ्यासक्रम मुंबई विद्यापीठाच्या www.mu.ac.in या संकेत स्थळावर NEP २०२० या टॅब वर उपलब्ध करण्यात आलेले आहेत.

(डॉ. प्रसाद कारंडे)
कुलसचिव

मुंबई – ४०० ०३२
२७ मे, २०२५

क.वि.प्रा.स.से.वि/आयसीडी/२०२५-२६/३७ दिनांक : २७ मे, २०२५
Desktop/ Pritam Loke/Marathi Circular/NEP Tab Circular

Copy forwarded for information and necessary action to :-	
1	The Deputy Registrar, (Admissions, Enrolment, Eligibility and Migration Dept)(AEM), dr@eligi.mu.ac.in
2	The Deputy Registrar, Result unit, Vidyanagari drresults@exam.mu.ac.in
3	The Deputy Registrar, Marks and Certificate Unit,. Vidyanagari dr.verification@mu.ac.in
4	The Deputy Registrar, Appointment Unit, Vidyanagari dr.appointment@exam.mu.ac.in
5	The Deputy Registrar, CAP Unit, Vidyanagari cap.exam@mu.ac.in
6	The Deputy Registrar, College Affiliations & Development Department (CAD), deputyregistrar.uni@gmail.com
7	The Deputy Registrar, PRO, Fort, (Publication Section), Pro@mu.ac.in
8	The Deputy Registrar, Executive Authorities Section (EA) eau120@fort.mu.ac.in He is requested to treat this as action taken report on the concerned resolution adopted by the Academic Council referred to the above circular.
9	The Deputy Registrar, Research Administration & Promotion Cell (RAPC), rapc@mu.ac.in
10	The Deputy Registrar, Academic Appointments & Quality Assurance (AAQA) dy.registrar.tau.fort.mu.ac.in ar.tau@fort.mu.ac.in
11	The Deputy Registrar, College Teachers Approval Unit (CTA), concolsection@gmail.com
12	The Deputy Registrars, Finance & Accounts Section, fort draccounts@fort.mu.ac.in
13	The Deputy Registrar, Election Section, Fort drelection@election.mu.ac.in
14	The Assistant Registrar, Administrative Sub-Campus Thane, thanesubcampus@mu.ac.in
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16	The Assistant Registrar, Ratnagiri Sub-centre, Ratnagiri, ratnagirisubcentar@gmail.com
17	The Director, Centre for Distance and Online Education (CDOE), Vidyanagari, director@idol.mu.ac.in
18	Director, Innovation, Incubation and Linkages, Dr. Sachin Laddha pinkumanno@gmail.com
19	Director, Department of Lifelong Learning and Extension (DLLE), dlleuniversityofmumbai@gmail.com

Copy for information :-	
1	P.A to Hon'ble Vice-Chancellor, vice-chancellor@mu.ac.in
2	P.A to Pro-Vice-Chancellor pvc@fort.mu.ac.in
3	P.A to Registrar, registrar@fort.mu.ac.in
4	P.A to all Deans of all Faculties
5	P.A to Finance & Account Officers, (F & A.O), camu@accounts.mu.ac.in

To,

1	The Chairman, Board of Deans pvc@fort.mu.ac.in
2	**Faculty of Humanities,** **Offg. Dean** 1. Prof.Anil Singh Dranilsingh129@gmail.com **Offg. Associate Dean** 2. Prof.Manisha Karne mkarne@economics.mu.ac.in 3. Dr.Suchitra Naik Naiksuchitra27@gmail.com
	Faculty of Commerce & Management, **Offg. Dean,** 1 Prin.Ravindra Bambardekar principal@model-college.edu.in **Offg. Associate Dean** 2. Dr.Kavita Laghate kavitalaghate@jbims.mu.ac.in 3. Dr.Ravikant Balkrishna Sangurde Ravikant.s.@somaiya.edu 4. Prin.Kishori Bhagat kishoribhagat@rediffmail.com

	Faculty of Science & Technology **Offg. Dean** 1. Prof. Shivram Garje ssgarje@chem.mu.ac.in **Offg. Associate Dean** 2. Dr. Madhav R. Rajwade Madhavr64@gmail.com 3. Prin. Deven Shah sir.deven@gmail.com
	Faculty of Inter-Disciplinary Studies, **Offg. Dean** 1.Dr. Anil K. Singh aksingh@trcl.org.in **Offg. Associate Dean** 2.Prin.Chadrashekhar Ashok Chakradeo cachakradeo@gmail.com 3. Dr. Kunal Ingle drkunalingle@gmail.com
3	Chairman, Board of Studies,
4	The Director, Board of Examinations and Evaluation, dboee@exam.mu.ac.in
5	The Director, Board of Students Development, dsd@mu.ac.in DSW direcotr@dsw.mu.ac.in
6	The Director, Department of Information & Communication Technology, director.dict@mu.ac.in

AC – 20/05/2025
Item No. – 7.2 (N)

As Per NEP 2020

University of Mumbai

Syllabus for Major Vertical – 1 & 4		
Name of the Programme – B.Com. (Investment Management)		
Faulty of Commerce & Management		
Board of Studies in Investment Management		
U.G. Second Year Programme	Exit Degree	U.G. Diploma in Investment Management
Semester		III & IV
From the Academic Year		2025-26

University of Mumbai

(As per NEP 2020)

Sr. No.	Heading	Particulars
1	**Title of program** **O:____________________**	**B.Com. (Investment Management)**
2	**Exit Degree**	**U.G. Diploma in Investment Management**
3	**Scheme of Examination** **R: ____________**	NEP 40% Internal 60% External, Semester End Examination Individual Passing in Internal and External Examination
4	**Standards of Passing** **R: ______________**	**40%**
5	**Credit Structure** **Sem. III – R: CU – 525 C** **Sem. IV– R: CU – 525 D**	**Attached herewith**
6	**Semesters**	**Sem. III & IV**
7	**Program Academic Level**	**5.00**
8	**Pattern**	**Semester**
9	**Status**	**New**
10	**To be implemented from Academic Year**	**2025-26**

Sd/-	**Sd/-**	**Sd/-**	**Sd/-**
Sign of the BOS Chairman **Dr. Sunil Karve** **Board of Studies in BBI & BIM**	**Sign of the Offg. Associate Dean** **Prin. Kishori Bhagat** **Faculty of Commerce & Management**	**Sign of the Offg. Associate Dean** **Prof. Kavita Laghate** **Faculty of Commerce & Management**	**Sign of the Offg. Dean** **Prin. Ravindra Bambardekar** **Faculty of Commerce & Management**

Under Graduate Diploma in Investment Management

Credit Structure (Sem. III & IV)

Level	Semester	Major: Mandatory	Major: Electives	Minor	OE	VSC, SEC (VSEC)	AEC, VEC, IKS	OJT, FP, CEP, CC, RP	Cum. Cr. / Sem.	Degree/ Cum. Cr.
	R:__________________C									
5.0	III	8 Strategic Mutual Fund Management (4) Direct Taxation For Investment Management (4)		4	2	VSC:2, Investment Laws And Regulatory Framework (2) **OR** Income Tax Return (ITR) Filing (2)	AEC: 2	FP: 2 CC:2	22	**UG Diploma 88**
	R:___________________D									
	IV	8 Data-Driven Investment Strategies 4) Security Analysis and Portfolio Management (4)		4	2	SEC:2 Information Technology Driven Investment Management (2) **OR** KYC Documentation And Compliance In Investment Sector (2)	8+4+2	8+4	88	
	Cum Cr.	28		10	12	6+6	8+4+2	8+4	88	
Exit option; Award of UG Diploma in Major and Minor with 80-88 credits and an additional 4 credits core NSQF course/ Internship OR Continuewith Major and Minor										

[Abbreviation - OE – Open Electives, VSC – Vocation Skill Course, SEC – Skill Enhancement Course, (VSEC), AEC – Ability Enhancement Course, VEC – Value Education Course, IKS – Indian Knowledge System, OJT – on Job Training, FP – Field Project, CEP – Continuing Education Program, CC – Co-Curricular, RP – Research Project]

Sem. V & VI Credit Structure

R:____________C

Under Graduate Programs in University

Level	Semester	Major Mandatory	Major Electives	Minor	OE	VSC, SEC (VSEC)	AEC, VEC, IKS	OJT, FP, CEP, CC, RP	Cum. Cr. / Sem.	Degree/ Cum. Cr.
5.5	V	10 Corporate Accounting (4) Indirect Tax (4) Investment Ethics & Corporate Governance (2)	4 Credit Risk Management (4)	4		VSC: 2 Venture Capital **OR** (2) Merchant Banking and Financial Services (2) **OR** Public Rations Management (2)		FP/CEP:2	22	**UG Degree 132**
	VI	10 Derivative Markets (4) Financial Management (4) Commodity Market (2)	4 International Investment Management (4)	4				OJT :4	22	
	Cum Cr.	48	8	18	12	8+6	8+4+2	8+6 +4	132	
Exit option: Award of UG Degree in Major with 132 credits OR Continue with Major and Minor										

Sem. - III

Vertical – 1
Major

Syllabus
B.Com. (Investment Management)
(Sem.- III)

Title of Paper : STRATEGIC MUTUAL FUND MANAGEMENT

Sr. No.	Heading	Particulars
1	**Description the course :** **Including but Not limited to :**	Mutual funds play a pivotal role in the investment ecosystem, offering diversified portfolios, risk management, and wealth-building opportunities for individuals and institutions. This course provides students with a comprehensive understanding of mutual fund structures, investment strategies, risk assessment, and regulatory frameworks. It equips learners with practical knowledge to analyze mutual funds, assess their performance, and make informed investment decisions.
2	**Vertical :**	Major
3	**Type :**	Theory
4	**Credit**:	4 credits
5	**Hours Allotted :**	60 Hours
6	**Marks Allotted**:	100 Marks
7	**Course Objectives**: By the end of this course, students will be able to: 1. Understand the fundamental concepts, types, and structures of mutual funds. 2. Analyze the risk-return trade-off in mutual fund investments. 3. Evaluate mutual fund performance using key financial metrics. 4. Comprehend regulatory aspects and compliance requirements in mutual fund management. 5. Develop investment strategies based on investor profiles and market conditions.	

8	**Course Outcomes**: Upon completing this course, students will be able to: 1. Demonstrate an in-depth understanding of mutual fund investment principles. 2. Apply financial tools to assess and compare mutual fund performance. 3. Develop investment plans considering market trends and investor objectives. 4. Interpret legal and regulatory frameworks governing mutual funds. 5. Integrate mutual fund strategies into broader financial planning and portfolio management.
9	**Modules**:-
	Module 1: Fundamentals of Mutual Funds
	Unit 1: Introduction to Mutual Funds • Definition, Concept, and Evolution of Mutual Funds • Types of Mutual Funds (Equity, Debt, Hybrid, Index, ETFs, etc.) • Mutual Fund Structure: Asset Management Companies (AMCs), Fund Managers, Trustees • Advantages and Limitations of Mutual Funds **Unit 2: Mutual Fund Operations & Participants** • Role of SEBI and Regulatory Framework • Net Asset Value (NAV) Calculation and Pricing Mechanism • Expense Ratio and Its Impact on Returns • Fund Distributors, Investors, and Market Participants ○
	Module 2: Mutual Fund Investment Strategies
	Unit 3: Risk-Return Analysis in Mutual Funds • Risk Types: Market Risk, Credit Risk, Liquidity Risk, Interest Rate Risk • Risk Mitigation Strategies in Mutual Fund Investing • Portfolio Diversification and Asset Allocation Strategies • Understanding Mutual Fund Benchmarks and Indexing **Unit 4: Performance Evaluation of Mutual Funds** • Performance Metrics: Sharpe Ratio, Alpha, Beta, Standard Deviation • Comparison of Actively Managed vs. Passive Funds • Factors Affecting Mutual Fund Performance • Case Studies on Successful Mutual Fund Investments

<table>
<tr><td></td><td colspan="2">Module 3: Mutual Fund Selection & Investor Suitability</td></tr>
<tr><td></td><td colspan="2">Unit 5: Selection Criteria for Mutual Fund Investment
• Understanding Fund Fact Sheets and Offer Documents
• Importance of Investment Horizon and Financial Goals
• Role of Systematic Investment Plan (SIP) and Systematic Withdrawal Plan (SWP)
• Direct vs. Regular Mutual Fund Plans

Unit 6: Investor Profiling and Portfolio Construction
• Identifying Investor Goals and Risk Appetite
• Constructing Mutual Fund Portfolios for Different Investor Segments
• Taxation of Mutual Funds – Equity vs. Debt Funds
• Mutual Funds in Retirement Planning and Wealth Creation</td></tr>
<tr><td></td><td colspan="2">Module 4: Mutual Fund Regulations, Compliance, and Industry Trends</td></tr>
<tr><td></td><td colspan="2">Unit 7: Regulatory Framework and Compliance
• SEBI Guidelines and Mutual Fund Governance
• Mutual Fund KYC and Investor Protection Measures
• Ethical Considerations in Mutual Fund Advisory
• Mutual Fund Taxation and Its Implications

Unit 8: Emerging Trends in Mutual Fund Industry (Basic)
• Rise of Passive Investing and Exchange-Traded Funds (ETFs)
• Role of Artificial Intelligence and Robo-Advisory in Mutual Funds
• Impact of Market Trends and Economic Factors on Mutual Funds
• Global Mutual Fund Trends and Future Outlook</td></tr>
<tr><td>10</td><td colspan="2">Reference Books:
1. Mutual Funds for Wealth Creation – Subodh Gupta
2. How to Make Money with Mutual Funds – Manoj Arora
3. The Big Bull of Dalal Street: How Rakesh Jhunjhunwala Made Money from Mutual Funds & Stocks – Neil Borate
4. Mutual Funds: A Powerful Investment Avenue for Wealth Creation – Ankit Gala & Jitendra Gala
5. Indian Mutual Funds Handbook – Sundar Sankaran</td></tr>
<tr><td>11</td><td>Internal Continuous Assessment: 40%</td><td>External, Semester End Examination 60% Individual Passing in Internal and External Examination</td></tr>
<tr><td>12</td><td>Refer annexure :A</td><td>Refer annexure :B</td></tr>
</table>

QUESTION PAPER PATTERN
(External and Internal)

The Internal continuous Assessment should be conducted after completing 20% of Syllabus of the course. All Assessment activities to be recorded and spread across semester

ANNEXTURE: A

Individual faculty member shall have the flexibility to design the continuous assessment for each course/s in a manner so as to evaluate students' capabilities across knowledge, skills and attitudes. Internal Assessment may be undertaken through any or combination of the methods stated below after obtaining due permission of Principal and remain same across that particular course and semester. Introduction of multiple activates among groups of students in same class may be encouraged for better exposure:

- **Class Test (Mandatory) with Objective questions** Class Test during the lectures (physical/online mode) MCQs/Match the pairs/Answer in one sentence etc.

Any two of following for each course & may be similar or different for different group of students in a class

- Essays / Tutorials
- Home assignments
- Library notes based on published research papers
- Report writings
- Practical Projects/ Practical activities /Group projects
- Reflective Practical assignments / Industry work / Field work
- Drawing Portfolios
- Oral examination
- Student's Seminar / Workshop / Exhibition
- Reviews / PPT presentation
- Problem solving Exercises
- Laboratory/Library Work
- Book reviews
- Case Study analysis
- Podcast/Blog writing /Video making e.g., Tips to become successful investor/satisfied customer, company profile, successful entrepreneur etc.

ANNEXTURE: B

Question Paper Pattern

Credit: 02 (Total 50 Marks)
External = 30 Marks
Duration: 1 Hr.

Student has to attempt any two questions out of three.

Q.1	Answer the following(Theory/Practical Questions) A,B	15 Marks
Q.2	Answer the following(Theory/Practical Questions) A,B	15 Marks
Q.3	Answer the following(Theory/Practical Questions) A,B	15 Marks

Credit: 04 (Total 100 Marks)
External =60 Marks
Duration: 2 Hrs.

Student has to attempt any four questions out of six.

Q.1	Answer the following(Theory/Practical Questions) A,B	15 Marks
Q.2	Answer the following(Theory/Practical Questions) A,B	15 Marks
Q.3	Answer the following(Theory/Practical Questions) A,B	15 Marks
Q.4	Answer the following(Theory/Practical Questions) A,B	15 Marks
Q.5	Answer the following(Theory/Practical Questions) A,B	15 Marks
Q.6	Answer the following(Theory/Practical Questions) A,B	15 Marks

Note

1. The Semester End Assessment should be conducted after completing 100% of syllabus of the course/s
2. The question papers shall be framed so as to ensure that no part of the syllabus is left out of study by a student.
3. The question paper shall be balanced in respect of various topics outlined in the syllabus.
4. Equal Weightage is to be given to all the modules
5. All questions shall carry equal marks with internal choice within the question
6. 15 marks question must be subdivided into 8 marks + 7 marks, 10 marks + 5 marks and 5 marks + 5 marks + 5 marks. Internal options may be given wherever necessary.
7. Use of simple calculator is allowed in the examination.
8. Wherever possible more importance is to be given to the practical problems/case study.

Syllabus
B.Com. (Investment Management)
(Sem.- III)

Title of Paper: **DIRECT TAXATION FOR INVESTMENT MANAGEMENT**

Sr. No.	Heading	Particulars
1	**Description the course :** **Including but Not limited to :**	Taxation plays a critical role in investment decisions, financial planning, and wealth management. Understanding direct taxes is essential for professionals in investment management, as it affects capital gains, dividend taxation, and overall portfolio returns. This course provides students with comprehensive knowledge of direct tax laws, tax planning strategies, and their implications in investment decision-making.
2	**Vertical :**	Major
3	**Type :**	Theory (with Practical Illustrations)
4	**Credit**:	4 credits
5	**Hours Allotted :**	60 Hours
6	**Marks Allotted**:	100 Marks
7	**Course Objectives**: By the end of this course, students will be able to: 1. Understand the fundamental principles of direct taxation and its impact on investment management. 2. Analyze tax implications on different types of income and investments. 3. Apply tax planning strategies to optimize investment decisions. 4. Interpret and comply with relevant tax laws, including income tax and capital gains tax. 5. Develop problem-solving skills in taxation through case studies and real-world scenarios.	

8	**Course Outcomes**: Upon completing this course, students will be able to: 1. Demonstrate an understanding of direct taxation principles and legal provisions. 2. Apply tax planning techniques in investment decisions for wealth optimization. 3. Evaluate tax policies and their effects on financial markets and investment strategies. 4. Utilize tax compliance and filing procedures relevant to investors and businesses. 5. Integrate taxation knowledge with financial and portfolio management for strategic decision-making.
9	**Modules**:-
	Module 1: Fundamentals of Direct Taxation
	Unit 1: Introduction to Direct Taxes • Concept and Types of Taxes • Difference Between Direct and Indirect Taxes • Constitutional Framework of Taxation in India • Tax Authorities and Administration **Unit 2: Income Tax Act, 1961 – Basic Concepts** • Residential Status and Scope of Total Income • Heads of Income – Overview • Taxation of Individuals vs. Corporates • Exempted Incomes under Income Tax Act
	Module 2: Computation of Taxable Income
	Unit 3: Income from Salaries and House Property • Components of Salary Income and Taxable Perquisites • Deductions from Salary Income • Income from House Property – Tax Treatment • Computation of Taxable Income **Unit 4: Income from Business, Profession, and Capital Gains** • Tax Treatment of Business and Professional Income • Allowable Deductions and Disallowances • Capital Gains – Short-Term vs. Long-Term • Taxation of Securities Transactions
	Module 3: Tax Planning and Investment Decisions

	Unit 5: Deductions and Exemptions in Investment Planning • Section 80C to 80U Deductions • Tax-Saving Investment Options – PPF, ELSS, NPS, etc. • HUF and Trusts – Taxation Aspects • Income Clubbing Provisions and Tax Avoidance **Unit 6: Tax Implications on Investment Instruments** • Taxation of Dividends and Interest Income • Taxation of Mutual Funds and SIPs • Double Taxation Avoidance Agreements (DTAA) • Tax Planning Strategies for Investors	
	Module 4: Compliance, Filing, and Tax Reforms	
	Unit 7: Tax Compliance and Filing Procedures • Income Tax Returns – ITR Forms and E-Filing • Advance Tax, TDS, and Self-Assessment Tax • Penalties and Prosecution under IT Act • Practical Case Studies on Tax Filing **Unit 8: Tax Reforms and Recent Developments** • GST vs. Direct Taxes – Implications for Investors • Corporate Tax Reforms and Investment Impacts • Digital Taxation and E-Governance Initiatives • Budgetary Changes and Future Taxation Trends	
10	**Reference Books:** 1. Taxation of Capital Gains – Ramesh S. Arunachalam 2. Income Tax Guide for Investors – Subhash Lakhotia 3. Practical Approach to Direct Tax Laws and International Taxation – Girish Ahuja & Ravi Gupta 4. Tax Planning Through Investments – Nitin Vyakaranam 5. Handbook on Income Tax and Capital Market Transactions – Dalip Kumar	
11	**Internal Continuous Assessment: 40%**	**External, Semester End Examination 60% Individual Passing in Internal and External Examination**
12	**Refer annexure :A**	**Refer annexure :B**

QUESTION PAPER PATTERN
(External and Internal*)*

The Internal continuous Assessment should be conducted after completing 20% of Syllabus of the course. All Assessment activities to be recorded and spread across semester

ANNEXTURE: A

Individual faculty member shall have the flexibility to design the continuous assessment for each course/s in a manner so as to evaluate students' capabilities across knowledge, skills and attitudes. Internal Assessment may be undertaken through any or combination of the methods stated below after obtaining due permission of Principal and remain same across that particular course and semester. Introduction of multiple activates among groups of students in same class may be encouraged for better exposure:

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Any two of following for each course & may be similar or different for different group of students in a class

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- Library notes based on published research papers
- Report writings
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- Reflective Practical assignments / Industry work / Field work
- Drawing Portfolios
- Oral examination
- Student's Seminar / Workshop / Exhibition
- Reviews / PPT presentation
- Problem solving Exercises
- Laboratory/Library Work
- Book reviews
- Case Study analysis
- Podcast/Blog writing /Video making e.g., Tips to become successful investor/satisfied customer, company profile, successful entrepreneur etc.

ANNEXTURE: B

Question Paper Pattern

Credit: 02 (Total 50 Marks)
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Duration: 1 Hr.

Student has to attempt any two questions out of three.

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Q.3	Answer the following(Theory/Practical Questions) A,B	15 Marks

Credit: 04 (Total 100 Marks)
External =60 Marks
Duration: 2 Hrs.

Student has to attempt any four questions out of six.

Q.1	Answer the following(Theory/Practical Questions) A,B	15 Marks
Q.2	Answer the following(Theory/Practical Questions) A,B	15 Marks
Q.3	Answer the following(Theory/Practical Questions) A,B	15 Marks
Q.4	Answer the following(Theory/Practical Questions) A,B	15 Marks
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Q.6	Answer the following(Theory/Practical Questions) A,B	15 Marks

Note

1. The Semester End Assessment should be conducted after completing 100% of syllabus of the course/s
2. The question papers shall be framed so as to ensure that no part of the syllabus is left out of study by a student.
3. The question paper shall be balanced in respect of various topics outlined in the syllabus.
4. Equal Weightage is to be given to all the modules
5. All questions shall carry equal marks with internal choice within the question
6. 15 marks question must be subdivided into 8 marks + 7 marks, 10 marks + 5 marks and 5 marks + 5 marks + 5 marks. Internal options may be given wherever necessary.
7. Use of simple calculator is allowed in the examination.
8. Wherever possible more importance is to be given to the practical problems/case study.

Vertical - 4

VSC

Syllabus
B. Com. (Investment Management)
(Sem.- III)

Title of Paper: INVESTMENT LAWS AND REGULATORY FRAMEWORK

Sr. No.	Heading	Particulars
1	**Description the course :** **Including but Not limited to :**	Investment laws play a crucial role in regulating financial markets, protecting investor interests, and ensuring transparency in investment activities. This course provides students with a fundamental understanding of the legal and regulatory frameworks governing investments, covering key laws, compliance requirements, and ethical considerations. The course prepares students to navigate legal challenges in investment management and comply with regulatory norms effectively.
2	**Vertical :**	VSC
3	**Type :**	Theory
4	**Credit**:	2 credits
5	**Hours Allotted :**	30 Hours
6	**Marks Allotted**:	50 Marks
7	**Course Objectives**: By the end of this course, students will be able to: 1. Understand the significance of investment laws in financial markets. 2. Analyze key regulations governing different types of investments. 3. Identify the roles of regulatory bodies like SEBI, RBI, and IRDAI. 4. Interpret legal provisions related to investor protection and corporate governance. 5. Apply legal principles to ensure compliance in investment management.	

8	**Course Outcomes**: Upon successful completion of the course, students will be able to: • Interpret and apply key investment laws in financial decision-making. • Ensure compliance with regulatory guidelines in investment management. • Analyze legal risks associated with different investment products. • Understand investor protection rights and corporate governance principles. • Navigate ethical and legal challenges in investment practices
9	**Modules**:-
	Module 1: Legal Framework and Regulatory Authorities (important sections only)

	• **Subunit 1.1:** Introduction to Investment Laws
	  ○ Need and importance of investment laws
	  ○ Legal principles governing investments
	  ○ Overview of financial regulatory structure in India
	• **Subunit 1.2:** Regulatory Authorities and Their Roles
	  ○ Securities and Exchange Board of India (SEBI) regulations
	  ○ Reserve Bank of India (RBI) guidelines on investments
	  ○ Insurance Regulatory and Development Authority of India (IRDAI) and Pension Fund Regulatory and Development Authority (PFRDA)

	Module 2: Key Investment Laws and Compliance (important sections only)

	• **Subunit 2.1:** Major Investment Laws in India
	  ○ Securities Contracts (Regulation) Act, 1956
	  ○ Companies Act, 2013 and its relevance to investments
	  ○ Prevention of Money Laundering Act (PMLA) and its impact on investments
	• **Subunit 2.2:** Investor Protection and Corporate Governance
	  ○ Provisions related to investor protection under SEBI regulations
	  ○ Corporate governance norms and ethical investment practices
	  ○ Dispute resolution mechanisms and penalties for non-compliance

10	**Reference Books:** 1. Legal Aspects of Banking and Investment Laws – Indian Institute of Banking & Finance (IIBF) 2. Securities Laws & Capital Markets – N.S. Zaveri 3. SEBI Act, Rules & Regulations – Taxmann 4. Investment Law and Financial Regulation in India – Sandeep Bhalla 5. Legal and Regulatory Aspects of Banking – IIBF	
11	**Internal Continuous Assessment: 40%**	**External, Semester End Examination 60% Individual Passing in Internal and External Examination**
12	**Refer annexure :A**	**Refer annexure :B**

QUESTION PAPER PATTERN
(External and Internal*)*

The Internal continuous Assessment should be conducted after completing 20% of Syllabus of the course. All Assessment activities to be recorded and spread across semester

ANNEXTURE: A

Individual faculty member shall have the flexibility to design the continuous assessment for each course/s in a manner so as to evaluate students' capabilities across knowledge, skills and attitudes. Internal Assessment may be undertaken through any or combination of the methods stated below after obtaining due permission of Principal and remain same across that particular course and semester. Introduction of multiple activates among groups of students in same class may be encouraged for better exposure:

- Class Test (Mandatory) with Objective questions Class Test during the lectures (physical/online mode) MCQs/Match the pairs/Answer in one sentence etc.

Any two of following for each course & may be similar or different for different group of students in a class

- Essays / Tutorials
- Home assignments
- Library notes based on published research papers
- Report writings
- Practical Projects/ Practical activities /Group projects
- Reflective Practical assignments / Industry work / Field work
- Drawing Portfolios
- Oral examination
- Student's Seminar / Workshop / Exhibition
- Reviews / PPT presentation
- Problem solving Exercises
- Laboratory/Library Work
- Book reviews
- Case Study analysis
- Podcast/Blog writing /Video making e.g., Tips to become successful investor/satisfied customer, company profile, successful entrepreneur etc.

ANNEXTURE: B

Question Paper Pattern

Credit: 02 (Total 50 Marks)
External = 30 Marks
Duration: 1 Hr.

Student has to attempt any two questions out of three.

Q.1	Answer the following(Theory/Practical Questions) A,B	15 Marks
Q.2	Answer the following(Theory/Practical Questions) A,B	15 Marks
Q.3	Answer the following(Theory/Practical Questions) A,B	15 Marks

Credit: 04 (Total 100 Marks)
External =60 Marks
Duration: 2 Hrs.

Student has to attempt any four questions out of six.

Q.1	Answer the following(Theory/Practical Questions) A,B	15 Marks
Q.2	Answer the following(Theory/Practical Questions) A,B	15 Marks
Q.3	Answer the following(Theory/Practical Questions) A,B	15 Marks
Q.4	Answer the following(Theory/Practical Questions) A,B	15 Marks
Q.5	Answer the following(Theory/Practical Questions) A,B	15 Marks
Q.6	Answer the following(Theory/Practical Questions) A,B	15 Marks

Note

1. The Semester End Assessment should be conducted after completing 100% of syllabus of the course/s
2. The question papers shall be framed so as to ensure that no part of the syllabus is left out of study by a student.
3. The question paper shall be balanced in respect of various topics outlined in the syllabus.
4. Equal Weightage is to be given to all the modules
5. All questions shall carry equal marks with internal choice within the question
6. 15 marks question must be subdivided into 8 marks + 7 marks, 10 marks + 5 marks and 5 marks + 5 marks + 5 marks. Internal options may be given wherever necessary.
7. Use of simple calculator is allowed in the examination.
8. Wherever possible more importance is to be given to the practical problems/case study.

Syllabus
B. Com. (Investment Management)
(Sem.- III)

Title of Paper: INCOME TAX RETURN (ITR) FILING

Sr. No.	Heading	Particulars
1	**Description the course :** **Including but Not limited to :**	Income Tax Return (ITR) filing is a crucial compliance requirement for individuals and businesses. This course introduces students to the fundamental concepts, legal frameworks, and procedures for filing various ITR forms. It emphasizes practical applications, ensuring students develop the skills needed to assist in tax filing processes within the investment sectors.
2	**Vertical :**	VSC
3	**Type :**	Theory (with Practical Illustrations)
4	**Credit**:	2 credits
5	**Hours Allotted :**	30 Hours
6	**Marks Allotted**:	50 Marks
7	**Course Objectives**: By the end of this course, students will be able to: 1. Understand the basics of income tax laws and return filing procedures. 2. Identify different types of ITR forms and their applicability. 3. Demonstrate proficiency in e-filing of returns using online portals. 4. Analyze tax-saving provisions and deductions under the Income Tax Act. 5. Apply taxation knowledge in investment and financial planning.	

8	**Course Outcomes**: Upon successful completion of the course, students will be able to: • Understand tax compliance and return filing procedures. • Assist individuals and businesses in choosing the right ITR forms. • Efficiently use online portals for e-filing and compliance tracking. • Recommend tax-saving strategies for clients in investment sector. • Develop practical expertise in taxation for future career prospects.
9	**Modules**:-
	Module 1: Fundamentals of ITR Filing

	• **Unit 1:** Introduction to Income Tax & Taxpayer Categories
	  ○ Basics of income tax
	  ○ Residential status and tax liability
	  ○ Overview of taxable income sources
	• **Unit 2:** Types of ITR Forms & Their Applicability
	  ○ ITR-1 to ITR-7: Who should file?
	  ○ Selection of the appropriate ITR form
	  ○ Common mistakes and consequences of incorrect filing

	Module 2: E-Filing & Tax Planning

	• **unit 1:** Online ITR Filing Process (old and new regime)
	  ○ Steps for e-filing on the Income Tax portal
	  ○ Documents required for filing
	  ○ Understanding Form 16, 26AS, AIS & TIS
	• **unit 2:** Tax Deductions, Exemptions & Compliance in investment sector
	  ○ Section 80C to 80U deductions
	  ○ Tax implications on various investment instruments
	  ○ Assessment, rectification & refund procedures

10	**Reference Books:** 1. How to File Income Tax Returns – Subhash Lakhotia 2. Master Guide to Income Tax Rules – Taxmann 3. Income Tax Planning and Return Filing – Ram Dutt Sharma 4. A to Z of Income Tax – R.N. Lakhotia & Subhash Lakhotia 5. Practical Guide to Income Tax & GST – CA G. Sekar

11	**Internal Continuous Assessment: 40%**	**External, Semester End Examination 60% Individual Passing in Internal and External Examination**
12	**Refer annexure :A**	**Refer annexure :B**

QUESTION PAPER PATTERN
(External and Internal)

The Internal continuous Assessment should be conducted after completing 20% of Syllabus of the course. All Assessment activities to be recorded and spread across semester

ANNEXTURE: A

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- **Class Test (Mandatory) with Objective questions** Class Test during the lectures (physical/online mode) MCQs/Match the pairs/Answer in one sentence etc.

Any two of following for each course & may be similar or different for different group of students in a class

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- Home assignments
- Library notes based on published research papers
- Report writings
- Practical Projects/ Practical activities /Group projects
- Reflective Practical assignments / Industry work / Field work
- Drawing Portfolios
- Oral examination
- Student's Seminar / Workshop / Exhibition
- Reviews / PPT presentation
- Problem solving Exercises
- Laboratory/Library Work
- Book reviews
- Case Study analysis
- Podcast/Blog writing /Video making e.g., Tips to become successful investor/satisfied customer, company profile, successful entrepreneur etc.

ANNEXTURE: B

Question Paper Pattern

Credit: 02 (Total 50 Marks)
External = 30 Marks
Duration: 1 Hr.

Student has to attempt any two questions out of three.

Q.1	Answer the following(Theory/Practical Questions) A,B	15 Marks
Q.2	Answer the following(Theory/Practical Questions) A,B	15 Marks
Q.3	Answer the following(Theory/Practical Questions) A,B	15 Marks

Credit: 04 (Total 100 Marks)
External =60 Marks
Duration: 2 Hrs.

Student has to attempt any four questions out of six.

Q.1	Answer the following(Theory/Practical Questions) A,B	15 Marks
Q.2	Answer the following(Theory/Practical Questions) A,B	15 Marks
Q.3	Answer the following(Theory/Practical Questions) A,B	15 Marks
Q.4	Answer the following(Theory/Practical Questions) A,B	15 Marks
Q.5	Answer the following(Theory/Practical Questions) A,B	15 Marks
Q.6	Answer the following(Theory/Practical Questions) A,B	15 Marks

Note

1. The Semester End Assessment should be conducted after completing 100% of syllabus of the course/s
2. The question papers shall be framed so as to ensure that no part of the syllabus is left out of study by a student.
3. The question paper shall be balanced in respect of various topics outlined in the syllabus.
4. Equal Weightage is to be given to all the modules
5. All questions shall carry equal marks with internal choice within the question
6. 15 marks question must be subdivided into 8 marks + 7 marks, 10 marks + 5 marks and 5 marks + 5 marks + 5 marks. Internal options may be given wherever necessary.
7. Use of simple calculator is allowed in the examination.
8. Wherever possible more importance is to be given to the practical problems/case study.

Sem. - IV

Vertical – 1
Major

Syllabus
B.Com. (Investment Management)
(Sem.- IV)

Title of Paper : DATA-DRIVEN INVESTMENT STRATEGY

Sr. No.	Heading	Particulars
1	**Description the course :** **Including but Not limited to :**	In modern investment management, quantitative methods play a crucial role in financial decision-making, risk assessment, and portfolio optimization. This course equips students with essential statistical, mathematical, and analytical tools to interpret financial data, develop predictive models, and enhance investment strategies. The emphasis is on practical applications in financial markets, risk management, and portfolio analytics.
2	**Vertical :**	Major
3	**Type :**	Theory (with Practical Illustrations)
4	**Credit**:	4 credits
5	**Hours Allotted :**	60 Hours
6	**Marks Allotted**:	100 Marks
7	**Course Objectives**: By the end of this course, students will be able to: 1. Understand the fundamental principles of quantitative methods and their applications in investment management. 2. Apply statistical and mathematical techniques to analyze financial data. 3. Develop models for risk assessment, asset valuation, and portfolio management. 4. Use quantitative tools for decision-making in stock markets, derivatives, and fixed-income securities. 5. Interpret results from financial models and apply them to real-world investment scenarios.	

8	**Course Outcomes**: Upon completing this course, students will be able to: 1. Demonstrate proficiency in using statistical and mathematical techniques for financial analysis. 2. Apply quantitative tools to assess investment risks and returns. 3. Develop data-driven investment strategies based on market trends and economic indicators. 4. Utilize software tools and financial databases for quantitative research. 5. Integrate quantitative methods with fundamental and technical analysis in portfolio management.
9	**Modules**:-
	Module 1: Fundamentals of Quantitative Methods
	Unit 1: Introduction to Quantitative Methods • Importance of Quantitative Methods in Investment Management • Types of Data: Time Series, Cross-Sectional, Panel Data • Data Visualization Techniques for Financial Analysis • Introduction to Financial Modeling and Excel Tools **Unit 2: Descriptive and Inferential Statistics** • Measures of Central Tendency and Dispersion • Probability Distributions: Normal, Binomial, Poisson, Lognormal • Hypothesis Testing and Confidence Intervals • Correlation and Regression Analysis in Finance
	Module 2: Time Series Analysis and Forecasting
	Unit 3: Time Series Analysis for Financial Markets • Concepts of Stationarity and Random Walks • Moving Averages and Exponential Smoothing Techniques • Autoregressive (AR) and Moving Average (MA) Models • Application of Time Series Analysis in Stock Price Prediction **Unit 4: Forecasting Models in Finance** • ARIMA and GARCH Models for Volatility Forecasting • Monte Carlo Simulations for Investment Decision-Making • Economic Indicators and Macroeconomic Forecasting • Case Study: Predicting Stock Market Trends

	Module 3: Quantitative Risk Management & Portfolio Optimization	
	Unit 5: Risk Measurement and Management • Value at Risk (VaR) and Expected Shortfall (CVaR) • Portfolio Risk Metrics: Standard Deviation, Beta, Drawdowns • Hedging Techniques Using Derivatives (Futures & Options) • Scenario Analysis and Stress Testing **Unit 6: Portfolio Optimization Techniques** • Modern Portfolio Theory (MPT) and Efficient Frontier • Capital Asset Pricing Model (CAPM) and Factor Models • Mean-Variance Optimization and Sharpe Ratio Maximization • Black-Litterman Model for Portfolio Allocation	
	Module 4: Machine Learning and Computational Finance	
	Unit 7: Quantitative Trading and Algorithmic Strategies • Introduction to Algorithmic Trading and High-Frequency Trading • Statistical Arbitrage and Pairs Trading Strategies • Sentiment Analysis Using Text Mining in Finance • Backtesting and Performance Evaluation of Trading Models **Unit 8: Emerging Trends in Quantitative Finance** • Role of Artificial Intelligence and Machine Learning in Investments • Blockchain and Cryptocurrencies – Quantitative Perspectives • ESG Investing and Quantitative Methods for Sustainable Finance • Applications of Python, R, and MATLAB in Quantitative Finance	
10	**Reference Books:** 1. Investment Management – V.K. Bhalla 2. Quantitative Techniques for Investment Analysis – J.R. Varma 3. Investment Analysis and Portfolio Management – Prasanna Chandra 4. Quantitative Methods for Finance and Investments – Umesh Kumar 5. Financial Econometrics: Models and Methods – Chiranjit Mukhopadhyay	
11	**Internal Continuous Assessment: 40%**	**External, Semester End Examination 60% Individual Passing in Internal and External Examination**
12	**Refer annexure :A**	**Refer annexure :B**

QUESTION PAPER PATTERN
(External and Internal)

The Internal continuous Assessment should be conducted after completing 20% of Syllabus of the course. All Assessment activities to be recorded and spread across semester

ANNEXTURE: A

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- Class Test (Mandatory) with Objective questions Class Test during the lectures (physical/online mode) MCQs/Match the pairs/Answer in one sentence etc.

Any two of following for each course & may be similar or different for different group of students in a class

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- Home assignments
- Library notes based on published research papers
- Report writings
- Practical Projects/ Practical activities /Group projects
- Reflective Practical assignments / Industry work / Field work
- Drawing Portfolios
- Oral examination
- Student's Seminar / Workshop / Exhibition
- Reviews / PPT presentation
- Problem solving Exercises
- Laboratory/Library Work
- Book reviews
- Case Study analysis
- Podcast/Blog writing /Video making e.g., Tips to become successful investor/satisfied customer, company profile, successful entrepreneur etc.

ANNEXTURE: B

Question Paper Pattern

Credit: 02 (Total 50 Marks)
External = 30 Marks
Duration: 1 Hr.

Student has to attempt any two questions out of three.

Q.1	Answer the following(Theory/Practical Questions) A,B	15 Marks
Q.2	Answer the following(Theory/Practical Questions) A,B	15 Marks
Q.3	Answer the following(Theory/Practical Questions) A,B	15 Marks

Credit: 04 (Total 100 Marks)
External =60 Marks
Duration: 2 Hrs.

Student has to attempt any four questions out of six.

Q.1	Answer the following(Theory/Practical Questions) A,B	15 Marks
Q.2	Answer the following(Theory/Practical Questions) A,B	15 Marks
Q.3	Answer the following(Theory/Practical Questions) A,B	15 Marks
Q.4	Answer the following(Theory/Practical Questions) A,B	15 Marks
Q.5	Answer the following(Theory/Practical Questions) A,B	15 Marks
Q.6	Answer the following(Theory/Practical Questions) A,B	15 Marks

Note

1. The Semester End Assessment should be conducted after completing 100% of syllabus of the course/s
2. The question papers shall be framed so as to ensure that no part of the syllabus is left out of study by a student.
3. The question paper shall be balanced in respect of various topics outlined in the syllabus.
4. Equal Weightage is to be given to all the modules
5. All questions shall carry equal marks with internal choice within the question
6. 15 marks question must be subdivided into 8 marks + 7 marks, 10 marks + 5 marks and 5 marks + 5 marks + 5 marks. Internal options may be given wherever necessary.
7. Use of simple calculator is allowed in the examination.
8. Wherever possible more importance is to be given to the practical problems/case study.

Syllabus
B.Com. (Investment Management)
(Sem.- IV)
Title of Paper: SECURITY ANALYSIS & PORTFOLIO MANAGEMENT

Sr. No.	Heading	Particulars
1	**Description the course :** **Including but Not limited to :**	In today's dynamic financial markets, investors need to assess securities and construct efficient portfolios to maximize returns while managing risks. This course equips students with the knowledge and analytical tools necessary to evaluate securities, apply investment theories, and optimize portfolios. By integrating fundamental and technical analysis with portfolio management techniques, students will gain practical insights into investment decision-making.
2	**Vertical :**	Major
3	**Type :**	Theory and Practical illustrations
4	**Credit**:	4 credits
5	**Hours Allotted :**	60 Hours
6	**Marks Allotted**:	100 Marks
7	**Course Objectives**: By the end of this course, students will be able to: 1. Understand the principles of security analysis and its role in investment decision-making. 2. Apply fundamental and technical analysis techniques to evaluate stocks and bonds. 3. Construct and manage investment portfolios using modern portfolio theories. 4. Assess risk-return trade-offs and develop strategies for portfolio optimization. 5. Interpret market trends, investment risks, and behavioral finance influences on portfolio decisions.	

8	**Course Outcomes**: Upon completing this course, students will be able to: 1. Demonstrate proficiency in security valuation techniques. 2. Analyze financial statements to assess company performance and investment potential. 3. Develop well-diversified investment portfolios based on risk tolerance and return expectations. 4. Utilize risk management strategies to mitigate portfolio volatility. 5. Integrate economic and behavioral factors into investment decision-making.
9	**Modules**:-
	Module 1: Introduction to Security Analysis
	Unit 1: Overview of Investment and Securities Markets • Investment vs. Speculation vs. Gambling • Types of Financial Securities: Equity, Debt, Derivatives • Functioning of Primary and Secondary Markets • Role of SEBI and Regulatory Framework • Portfolio Management – Meaning, Evolution, Phases, Role of Portfolio Managers, Advantages of Portfolio Management. **Unit 2: Fundamental Analysis for Security Selection** • Economic, Industry, and Company Analysis (EIC Approach) • Financial Statement Analysis – Ratio Analysis, Earnings Models • Valuation Methods: Discounted Cash Flow (DCF), Price-to-Earnings (P/E) Ratio, Dividend Discount Model
	Module 2: Technical Analysis and Behavioral Aspects
	Unit 3: Technical Analysis and Market Indicators (Basic) • Dow Theory • Charting Techniques: Line, Bar, Candlestick Charts • Technical Indicators: Moving Averages, RSI, MACD, Bollinger Bands **Unit 4: Behavioral Finance and Market Anomalies** • Investor Psychology and Behavioral Biases • Heuristics, Overconfidence, and Loss Aversion • Market Anomalies and Bubbles • Impact of Behavioral Finance on Investment Decisions
	Module 3: Portfolio Management Strategies

	Unit 5: Portfolio Theory and Construction(Basic) • Risk-Return Tradeoff and Diversification • Modern Portfolio Theory (MPT) • Capital Asset Pricing Model (CAPM) and Arbitrage Pricing Theory (APT) • Asset Allocation Strategies for Different Risk Profiles **Unit 6: Portfolio Performance Evaluation** • Measuring Portfolio Risk and Return • Sharpe Ratio, Treynor Ratio, Jensen's Alpha • Active vs. Passive Portfolio Management Strategies • Mutual Funds and ETF Portfolio Strategies
	Module 4: Risk Management and Emerging Trends in Investment
	Unit 7: Risk Management in Investments • Types of Investment Risks: Market Risk, Credit Risk, Liquidity Risk • Hedging Strategies Using Derivatives: Futures, Options, Swaps • Value at Risk (VaR) and Stress Testing • Risk Mitigation Techniques in Portfolio Management **Unit 8: Emerging Trends and Innovations in Portfolio Management(Basic)** • Role of Artificial Intelligence and Big Data in Security Analysis • ESG (Environmental, Social, Governance) Investing and Impact Investing • Alternative Investments: Cryptocurrencies, REITs, Hedge Funds • Global Investment Trends and Future of Portfolio Management
10	**Reference Books:** 1. Security Analysis and Portfolio Management – Prasanna Chandra 2. Investment Analysis and Portfolio Management – M. Ranganatham & R. Madhumathi 3. Security Analysis and Portfolio Management – Punithavathy Pandian 4. Fundamentals of Investment Management – Preeti Singh 5. Portfolio Management: Theory and Practice – S. Kevin

11	**Internal Continuous Assessment: 40%**	**External, Semester End Examination 60% Individual Passing in Internal and External Examination**
12	**Refer annexure :A**	**Refer annexure :B**

QUESTION PAPER PATTERN
(External and Internal)

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ANNEXTURE: A

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- Reflective Practical assignments / Industry work / Field work
- Drawing Portfolios
- Oral examination
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- Problem solving Exercises
- Laboratory/Library Work
- Book reviews
- Case Study analysis
- Podcast/Blog writing /Video making e.g., Tips to become successful investor/satisfied customer, company profile, successful entrepreneur etc.

ANNEXTURE: B

Question Paper Pattern

Credit: 02 (Total 50 Marks)
External = 30 Marks
Duration: 1 Hr.

Student has to attempt any two questions out of three.

Q.1	Answer the following(Theory/Practical Questions) A,B	15 Marks
Q.2	Answer the following(Theory/Practical Questions) A,B	15 Marks
Q.3	Answer the following(Theory/Practical Questions) A,B	15 Marks

Credit: 04 (Total 100 Marks)
External =60 Marks
Duration: 2 Hrs.

Student has to attempt any four questions out of six.

Q.1	Answer the following(Theory/Practical Questions) A,B	15 Marks
Q.2	Answer the following(Theory/Practical Questions) A,B	15 Marks
Q.3	Answer the following(Theory/Practical Questions) A,B	15 Marks
Q.4	Answer the following(Theory/Practical Questions) A,B	15 Marks
Q.5	Answer the following(Theory/Practical Questions) A,B	15 Marks
Q.6	Answer the following(Theory/Practical Questions) A,B	15 Marks

Note

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2. The question papers shall be framed so as to ensure that no part of the syllabus is left out of study by a student.
3. The question paper shall be balanced in respect of various topics outlined in the syllabus.
4. Equal Weightage is to be given to all the modules
5. All questions shall carry equal marks with internal choice within the question
6. 15 marks question must be subdivided into 8 marks + 7 marks, 10 marks + 5 marks and 5 marks + 5 marks + 5 marks. Internal options may be given wherever necessary.
7. Use of simple calculator is allowed in the examination.
8. Wherever possible more importance is to be given to the practical problems/case study.

Vertical - 4

SEC

Syllabus
B. Com. (Investment Management)
(Sem.- IV)

Title of Paper: **INFORMATION TECHNOLOGY DRIVEN INVESTMENT MANAGEMENT**

Sr. No.	Heading	Particulars
1	**Description the course :** **Including but Not limited to :**	The integration of Information Technology (IT) in investment management has transformed financial decision-making, portfolio management, and risk assessment. This course introduces students to the role of IT in investments, covering digital trading platforms, algorithmic trading, blockchain technology, and data analytics in financial markets. It equips students with the technical skills and knowledge needed to leverage technology for efficient investment strategies.
2	**Vertical :**	VSC
3	**Type :**	Theory (with Practical Illustrations)
4	**Credit**:	2 credits
5	**Hours Allotted :**	30 Hours
6	**Marks Allotted**:	50 Marks
7	**Course Objectives**: By the end of this course, students will be able to: 1. Understand the role of IT in modern investment management. 2. Analyze the impact of algorithmic trading and robo-advisory services. 3. Explore blockchain and fintech innovations in investments. 4. Utilize data analytics for investment decision-making. 5. Assess cybersecurity risks and compliance in digital investments.	

8	**Course Outcomes**: Upon successful completion of the course, students will be able to: 1. Apply IT solutions to investment decision-making and portfolio management. 2. Utilize algorithmic trading tools and robo-advisors effectively. 3. Understand the impact of blockchain and cryptocurrencies on investments. 4. Use data analytics for market analysis and risk assessment. 5. Identify cybersecurity risks and ensure compliance in digital investments.
9	**Modules**:-
	Module 1: Digital Transformation in Investment Management
	• **Unit 1:** IT Applications in Investment Management o Evolution of technology in finance o Role of IT in stock markets, mutual funds, and wealth management o Fintech innovations and investment platforms • **Unit 2:** Algorithmic Trading and Robo-Advisory Services o Basics of algorithmic and high-frequency trading o AI-driven investment strategies o Role of robo-advisors in portfolio management
	Module 2: Blockchain, Data Analytics, and Cybersecurity in Investments
	• **Unit 1:** Blockchain and Cryptocurrencies in Investment o Introduction to blockchain technology o Cryptocurrencies and decentralized finance (DeFi) o Smart contracts in investment management • **Unit 2:** Data Analytics and Cybersecurity in Investments o Role of big data and predictive analytics in investments o Cybersecurity risks in digital investment platforms o Regulatory compliance in IT-driven investments
10	**Reference Books:** 1. Financial Markets, Institutions & Financial Services – Clifford Gomez (covers IT in investment services) 2. FinTech: The Technology Driving Disruption in the Financial Services Industry – Abhijit Chavda 3. Algorithmic Trading and DMA: An Introduction to Direct Access Trading Strategies – Rajib Ranjan Borah 4. Blockchain, FinTech, and Investment Management – Seema Gupta 5. Artificial Intelligence in Financial Services and Investment Management – Rohit Sharma

11	**Internal Continuous Assessment: 40%**	**External, Semester End Examination 60% Individual Passing in Internal and External Examination**
12	**Refer annexure :A**	**Refer annexure :B**

QUESTION PAPER PATTERN
(External and Internal*)*

The Internal continuous Assessment should be conducted after completing 20% of Syllabus of the course. All Assessment activities to be recorded and spread across semester

ANNEXURE: A

Individual faculty member shall have the flexibility to design the continuous assessment for each course/s in a manner so as to evaluate students' capabilities across knowledge, skills and attitudes. Internal Assessment may be undertaken through any or combination of the methods stated below after obtaining due permission of Principal and remain same across that particular course and semester. Introduction of multiple activates among groups of students in same class may be encouraged for better exposure:

- Class Test (Mandatory) with Objective questions Class Test during the lectures (physical/online mode) MCQs/Match the pairs/Answer in one sentence etc.

Any two of following for each course & may be similar or different for different group of students in a class

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- Home assignments
- Library notes based on published research papers
- Report writings
- Practical Projects/ Practical activities /Group projects
- Reflective Practical assignments / Industry work / Field work
- Drawing Portfolios
- Oral examination
- Student's Seminar / Workshop / Exhibition
- Reviews / PPT presentation
- Problem solving Exercises
- Laboratory/Library Work
- Book reviews
- Case Study analysis
- Podcast/Blog writing /Video making e.g., Tips to become successful investor/satisfied customer, company profile, successful entrepreneur etc.

ANNEXURE: B

Question Paper Pattern

Credit: 02 (Total 50 Marks)
External = 30 Marks
Duration: 1 Hr.

Student has to attempt any two questions out of three.

Q.1	Answer the following(Theory/Practical Questions)	15 Marks

	A,B	
Q.2	Answer the following(Theory/Practical Questions) A,B	15 Marks
Q.3	Answer the following(Theory/Practical Questions) A,B	15 Marks

Credit: 04 (Total 100 Marks)
External =60 Marks
Duration: 2 Hrs.
Student has to attempt any four questions out of six.

Q.1	Answer the following(Theory/Practical Questions) A,B	15 Marks
Q.2	Answer the following(Theory/Practical Questions) A,B	15 Marks
Q.3	Answer the following(Theory/Practical Questions) A,B	15 Marks
Q.4	Answer the following(Theory/Practical Questions) A,B	15 Marks
Q.5	Answer the following(Theory/Practical Questions) A,B	15 Marks
Q.6	Answer the following(Theory/Practical Questions) A,B	15 Marks

Note

1. The Semester End Assessment should be conducted after completing 100% of syllabus of the course/s
2. The question papers shall be framed so as to ensure that no part of the syllabus is left out of study by a student.
3. The question paper shall be balanced in respect of various topics outlined in the syllabus.
4. Equal Weightage is to be given to all the modules
5. All questions shall carry equal marks with internal choice within the question
6. 15 marks question must be subdivided into 8 marks + 7 marks, 10 marks + 5 marks and 5 marks + 5 marks + 5 marks. Internal options may be given wherever necessary.
7. Use of simple calculator is allowed in the examination.
8. Wherever possible more importance is to be given to the practical problems/case study.

Syllabus
B. Com. (Investment Management)
(Sem.- IV)

Title of Paper: KYC DOCUMENTATION AND COMPLIANCE IN INVETMENT SECTOR

Sr. No.	Heading	Particulars
1	**Description the course :** **Including but Not limited to :**	Know Your Customer (KYC) documentation is a critical regulatory requirement in investment sector to prevent financial fraud, money laundering, and identity theft. This course provides a comprehensive understanding of KYC norms, legal frameworks, and compliance procedures, equipping students with essential skills to manage customer verification processes in financial institutions.
2	**Vertical :**	VSC
3	**Type :**	Theory (with Practical Illustrations)
4	**Credit**:	2 credits
5	**Hours Allotted :**	30 Hours
6	**Marks Allotted**:	50 Marks
7	**Course Objectives**: By the end of the course, students will be able to: 1. Understand the concept and importance of KYC in investment sector. 2. Identify different types of KYC documents required for individuals and businesses. 3. Comprehend legal and regulatory requirements, including AML (Anti-Money Laundering) and CFT (Combating the Financing of Terrorism) guidelines. 4. Analyze the role of technology in KYC verification and fraud detection. 5. Apply KYC principles in customer onboarding and risk assessment processes.	

8	**Course Outcomes**: Upon successful completion of the course, students will be able to: 1. Understand and apply KYC norms in investment sector sectors. 2. Identify appropriate KYC documents for different customer categories. 3. Ensure compliance with legal and regulatory requirements. 4. Utilize digital KYC tools for efficient customer verification. 5. Analyze risk factors and contribute to fraud prevention measures.
9	**Modules**:-
	Module 1: Fundamentals of KYC & Regulatory Framework

	• **Uunit 1:** Introduction to KYC and Customer Due Diligence (CDD)
	  o Definition, objectives, and significance of KYC
	  o Customer identification and verification process
	  o Role of KYC in financial fraud prevention
	• **Unit 2:** Regulatory Guidelines & Legal Framework
	  o RBI, SEBI, IRDAI, and FIU-IND guidelines on KYC
	  o AML and CFT regulations
	  o Penalties for non-compliance and regulatory actions

	Module 2: Practical Applications & Emerging Trends in KYC

	• **unit 1:** Types of KYC & Documentation Requirements
	  o KYC for individuals vs. businesses (PAN, Aadhaar, Voter ID, GSTIN, etc.)
	  o CKYC (Central KYC) and Digital KYC processes
	  o Re-KYC and periodic updates
	• **unit 2:** Technology in KYC & Fraud Prevention
	  o Role of AI, machine learning, and blockchain in KYC
	  o e-KYC and Aadhaar-based authentication
	  o Risk-based KYC approach and fraud detection techniques

10	**Reference Books:** 1. Know Your Customer (KYC) and Anti-Money Laundering (AML) Guidelines in Financial Services – Indian Institute of Banking & Finance (IIBF) 2. Anti-Money Laundering and Know Your Customer Compliance – R. K. Gupta 3. Financial Compliance: Anti-Money Laundering and KYC – N.S. Toor 4. Regulatory Compliance in Financial Services – Suresh Kumar 5. Risk, Compliance and Governance in Financial Institutions – G. Suresh Babu

11	**Internal Continuous Assessment: 40%**	**External, Semester End Examination 60% Individual Passing in Internal and External Examination**
13	**Refer annexure :A**	**Refer annexure :B**

QUESTION PAPER PATTERN
(External and Internal)

The Internal continuous Assessment should be conducted after completing 20% of Syllabus of the course. All Assessment activities to be recorded and spread across semester

ANNEXTURE: A

Individual faculty member shall have the flexibility to design the continuous assessment for each course/s in a manner so as to evaluate students' capabilities across knowledge, skills and attitudes. Internal Assessment may be undertaken through any or combination of the methods stated below after obtaining due permission of Principal and remain same across that particular course and semester. Introduction of multiple activates among groups of students in same class may be encouraged for better exposure:

- **Class Test (Mandatory) with Objective questions** Class Test during the lectures (physical/online mode) MCQs/Match the pairs/Answer in one sentence etc.

Any two of following for each course & may be similar or different for different group of students in a class

- Essays / Tutorials
- Home assignments
- Library notes based on published research papers
- Report writings
- Practical Projects/ Practical activities /Group projects
- Reflective Practical assignments / Industry work / Field work
- Drawing Portfolios
- Oral examination
- Student's Seminar / Workshop / Exhibition
- Reviews / PPT presentation
- Problem solving Exercises
- Laboratory/Library Work
- Book reviews
- Case Study analysis
- Podcast/Blog writing /Video making e.g., Tips to become successful investor/satisfied customer, company profile, successful entrepreneur etc.

ANNEXTURE: B

Question Paper Pattern

Credit: 02 (Total 50 Marks)
External = 30 Marks
Duration: 1 Hr.

Student has to attempt any two questions out of three.

Q.1	Answer the following(Theory/Practical Questions) A,B	15 Marks
Q.2	Answer the following(Theory/Practical Questions) A,B	15 Marks
Q.3	Answer the following(Theory/Practical Questions) A,B	15 Marks

Credit: 04 (Total 100 Marks)
External =60 Marks
Duration: 2 Hrs.

Student has to attempt any four questions out of six.

Q.1	Answer the following(Theory/Practical Questions) A,B	15 Marks
Q.2	Answer the following(Theory/Practical Questions) A,B	15 Marks
Q.3	Answer the following(Theory/Practical Questions) A,B	15 Marks
Q.4	Answer the following(Theory/Practical Questions) A,B	15 Marks
Q.5	Answer the following(Theory/Practical Questions) A,B	15 Marks
Q.6	Answer the following(Theory/Practical Questions) A,B	15 Marks

Note

9. The Semester End Assessment should be conducted after completing 100% of syllabus of the course/s
10. The question papers shall be framed so as to ensure that no part of the syllabus is left out of study by a student.
11. The question paper shall be balanced in respect of various topics outlined in the syllabus.
12. Equal Weightage is to be given to all the modules
13. All questions shall carry equal marks with internal choice within the question
14. 15 marks question must be subdivided into 8 marks + 7 marks, 10 marks + 5 marks and 5 marks + 5 marks + 5 marks. Internal options may be given wherever necessary.
15. Use of simple calculator is allowed in the examination.
16. Wherever possible more importance is to be given to the practical problems/case study.

Guidelines for Case Study Analysis

1. Use the representation of real situations; avoid presenting situations that do not exist/ are not plausible in real life
2. Make sure that the description of the case is as clear and specific as possible
3. Make sure there is sufficient information on the content and the context of the case ask students interpretative and application questions
4. Questions need to be devised to assess the interpretation and application of knowledge, comprehension skills, and critical thinking skills
5. Devise clear and unambiguous questions to limit student confusion and time spent interpreting the question like suggest suitable title, offers a summary, explaining the scenario in detail, Problem/ issue presented in the scenario, suggest Solution/chosen course of action etc.
6. Maximum words for case study (Approx. 500-700 words) and followed by number of questions will depend on marks (3/4 marks each).

Passing Standard

Credit: 02 (Total 50 Marks)

The learners to pass a course shall have to obtain a minimum of 40% marks in aggregate for each course where the course consists of Internal Assessment and Semester End Examination. The learners shall obtain minimum of 40% marks (i.e., 08 out of 20) in the Internal Assessment and 40% marks in Semester End Examination (i.e., 12 Out of 30) separately, to pass the course and minimum of Grade E to pass a particular semester A learner will be said to have passed the course if the learner passes separately the Internal Assessment as well as Semester End Examination.

Credit: 04 (Total 100 Marks)

The learners to pass a course shall have to obtain a minimum of 40% marks in aggregate for each course where the course consists of Internal Assessment and Semester End Examination. The learners shall obtain minimum of 40% marks (i.e., 16 out of 40) in the Internal Assessment and 40% marks in Semester End Examination (i.e., 24 Out of 60) separately, to pass the course and minimum of Grade E to pass a particular semester A learner will be said to have passed the course if the learner passes separately the Internal Assessment as well as Semester End Examination.

Letter Grades and Grade Points:

Semester GPA/ Programme CGPA Semester/ Programme	% of Marks	Alpha-Sign/ Letter Grade Result	Grading Point
9.00 - 10.00	90.0 - 100	O (Outstanding)	10
8.00 - < 9.00	80.0 - < 90.0	A+ (Excellent)	9
7.00 - < 8.00	70.0 - < 80.0	A (Very Good)	8
6.00 - < 7.00	60.0 - < 70.0	B+ (Good)	7
5.50 - < 6.00	55.0 - < 60.0	B (Above Average)	6
5.00 - < 5.50	50.0 - < 55.0	C (Average)	5
4.00 - < 5.00	40.0 - < 50.0	P (Pass)	4
Below 4.00	Below 40.0	F (Fail)	0
Ab (Absent)	-	Ab (Absent)	0

Sd/-	**Sd/-**	**Sd/-**	**Sd/-**
Sign of the BOS Chairman **Dr. Sunil Karve** **Board of Studies in BBI & BIM**	**Sign of the Offg. Associate Dean** **Prin. Kishori Bhagat** **Faculty of Commerce & Management**	**Sign of the Offg. Associate Dean** **Prof. Kavita Laghate** **Faculty of Commerce & Management**	**Sign of the Offg. Dean** **Prin. Ravindra Bambardekar** **Faculty of Commerce & Management**