



**S.A.S. GOVERNMENT DEGREE COLLEGE**  
NARAYANAPURAM, WEST GODAVARI DISTRICT-53441  
(AFFILIATED TO ADIKAVI NANNAYA UNIVERSITY, RAJAMAHENDRAVARAM)

Phone: 08818 252189, E-mail: [narayanapuram.jkc@gmail.com](mailto:narayanapuram.jkc@gmail.com)



## DEPARTMENT OF COMMERCE



### CERTIFICATE COURSE ON "MUTUAL FUNDS"



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#### COURSE INSTRUCTOR

**Y.Radha Krishna**

**ACADEMIC YEAR 2018-19**

## **CERTIFICATE COURSE AT A GLANCE**



1. TITLE OF THE COURSE: **MUTUAL FUNDS**
2. LEVEL OF THE COURSE: **UG**
3. NAME OF THE INSTRUCTOR : **Y.RADHA KRISHNA**
4. DURATION OF THE COURSE: **30 HOURS**
5. DATE OF COMMENCEMENT : **02-07-2018**
6. DATE OF CLOSURE : **08-08-2018**
7. TIME OF CONDUCT OF THE CLASSES: **4:00 PM – 5:00 PM**
8. NUMBER OF STUDENTS ENROLLED FOR THE COURSE: **15**
9. NUMBER OF STUDENTS COMPLETED THE COURSE: **15**
10. ASSESSMENT CRITERION : **EVALUATION TEST**

## CONTENTS



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11. Valued script
12. Model certificate
13. Report on the Certificate course

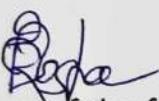
## Minutes of Departmental Meeting on Certificate Course



The faculty members of Department of Commerce met in the Principal's chamber under the chairperson ship of Dr.B.V.Tirupanyam at 3 PM on Dt :25-06-2018 discussed and resolved as detailed here under.

After the through discussion on the agenda of conducting certificate course as per the departmental action plan, it was resolved to

1. Conduct a certificate course titled Mutual Funds with a duration of 30 hours during the working days
2. Frame the syllabus and regulations for the successful completion of certificate course
3. Conduct the examination after the completion of course and issue certificate to the qualified students
4. Set 40% of marks as eligibility for the completion of the course
5. Serve notice to the students well in advance for the enrollment into this course
6. Commence the course on the date fixed obtaining due permission from the chair.

  
Signatures of the faculty  
Incharge

Department of Commerce  
SAS GOVERNMENT DEGREE COLLEGE  
NARAYANAPURAM-534 406

  
PRINCIPAL  
SAS GOVT. DEGREE COLLEGE  
NARAYANAPURAM  
West Godavari District.  
Pin: 534 406, Andhra Pradesh

**PERMISSION LETTER FOR CERTIFICATE COURSE**



Dt.26.06.2018

From  
The In-charge,  
Department of Commerce,  
SAS GDC,  
Narayananpuram.

To  
The Principal,  
SAS GDC,  
Narayananpuram.

Sir,

Sub: Department of Commerce ,SAS Govt. Degree College, Narayananpuram-Conduct of Certificate course in **Mutual Funds** (30 hours) - Accordance of permission requested-Reg.

Ref: Minutes of the departmental meeting dated 25.06.2018

\*\*\*\*

Adverting to the subject, I wish to submit to your kind self that the Department of Commerce is planning to conduct a Certificate course in "Mutual Funds" with 30 hours duration for the students of our college as well as the general public . A resolution was passed to this effect in the Departmental meeting dated 25.06.2018 . Hence I request you to kindly accord permission to conduct the same from 02-07-2018 onwards.

Thanking you sir.

  
Yours faithfully

Y. Radhakrishna  
See in Commerce  
Department of Commerce  
SAS GOVERNMENT DEGREE COLLEGE  
NARAYANAPURAM-534 406

Enclosures

1. A xerox copy of the minutes of Departmental meeting dt. 25.06.2018
2. A copy of syllabus
3. Blue print of the Execution of the course

PROCEEDINGS OF THE PRINCIPAL, SAS GOVT. DEGREE COLLEGE, NARAYANAPURAM



DATE : 28.06.2018

To  
The In-charge,  
Department of Commerce,  
SAS GDC  
Narayananapuram .

Sir/Madam,

Sub: SAS Govt. Degree college, Narayananapuram- Conduct of certificate course in Mutual Funds- Permission accorded- Reg.

Adverting to the subject, I here by draw the kind attention of the in-charge of department of Commerce of this college ,that a decision was taken in the staff council meeting 27-06-2018 dated after much discussions and deliberation to approve and accord permission for the conduct of a certificate course "Mutual Funds" with 30 hours duration for the general public as well as the students of our college from dt. 02-07-2018 .

You are further instructed to make all the necessary preparations and arrangements for the commencement of the course on dt .02-07-2018

  
PRINCIPAL  
SAS GOVT. DEGREE COLLEGE  
NARAYANAPURAM  
West Godavari District.  
Pin: 534 406, Andhra Pradesh

## NOTICE



NARAYANAPURAM

Dt.29-06-2018

All the students of SAS Govt. Degree college, Narayanapuram are hereby informed that the Department of Commerce is intending to conduct a certificate course in Mutual Funds " from 01-07-2018 onwards . The required permission from the honorable Principal of the college has been obtained. Hence the students who are interested in enrolling themselves for the course may please contact the in-charge of the department for further details on or before dt.30-06-2018

PRINCIPAL  
Principal  
SAS GOVT. DEGREE COLLEGE  
NARA PURAM  
West Godavari District.  
Pin: 534 406, Andhra Pradesh

In-charge of the dept.

Incharge  
Department of Commerce  
SAS GOVERNMENT DEGREE COLLEGE  
NARAYANAPURAM-534 406



### Objectives of the Course

A goal or financial result it wants to realize. And each fund manager has an investment style, which is the approach he or she follows in making investments to achieve the fund's goal.

### Course outcomes:

1. Use investment fund information to appropriately choose between different styles of funds with similar objectives within each style.
2. Apply appropriate selection criteria for both core funds and supporting funds.
3. Use selection criteria to choose between different fund structures. In this course we will ONLY use mutual funds. Index funds and exchange traded funds are great tools as well but understanding the concepts underlying a mutual fund is the focus of this specific course.
4. Explain how the Efficient Market Hypothesis warrants the use of multiple investment funds in an asset allocation model.
5. Develop an asset allocation model applying both investment and personal criteria.

### SYLLABUS

Unit 1: Guide to Mutual Funds Unit -10 HOURS

Unit 2: Fund Investing Unit - 10 Hours

Unit 3: Asset Allocation -10 Hours



### List of Student Enrolment

S.NO	ROLL NO	CLASS	NAMAE OF THE STUDENT
1	163558100001	III B.Com	M.GANGADHAR RAO
2	163558100002	III B.Com	P.DHARMATEJA
3	163558100003	III B.Com	Y.ANADH PAUL
4	163558100005	III B.Com	A.R D KUMAR
5	163558100006	III B.Com	K.PRAMEELA
6	163558100008	III B.Com	K.VENKATESWARA RAO
7	163558100009	III B.Com	T.S D SURYA KALA
8	163558100010	III B.Com	M.NAGAMANI
9	163558100012	III B.Com	M.KALYAN KUMAR
10	163558100013	III B.Com	M.VIJAYA
11	163558100014	III B.Com	P.N D BHAVANI
12	163558100015	III B.Com	P.D MAHALAKSHMI
13	163558100017	III B.Com	B.HARISH
14	163558100019	III B.Com	CH.SATTIPANDU
15	163558100020	III B.Com	N.RAMA DEVI

In-charge of the dept

Incharge

Department of Commerce

SAS GOVERNMENT DEGREE COLLEGE  
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S.A.S. GOVT. DEGREE COLLEGE, NARAYANAPURAM

(Affiliated to Adikavi Nannaya University, Rajamahendravaram, A.P.)

Department of commerce

2018-2019

Certificate course on Mutual funds - Student Attendance Register

S. N O	Roll No.	Name of the Student	Attendance Days														
			1	2	3	4	5	6	7	8	9	10	11	12	13	14	15
1	163558100001	M.GANGADHAR RAO	p	p	p	p	p	p	p	p	p	P	p	p	p	p	p
2	163558100002	P.DHARMATEJA	p	p	p	p	p	p	p	p	p	P	p	p	p	p	p
3	163558100003	Y.ANADH PAUL	p	p	p	p	p	p	p	p	p	P	p	p	p	p	P
4	163558100005	A.R D KUMAR	p	p	p	p	p	p	p	p	p	P	p	p	p	p	P
5	163558100006	K.PRAMEELA	p	p	p	p	p	p	p	p	p	P	p	p	p	p	P
6	163558100008	K.VENKATESWARA RAO	p	p	p	p	p	p	p	p	p	P	p	p	p	p	P
7	163558100009	T.S D SURYA KALA	p	p	p	p	p	p	p	p	p	P	p	p	p	p	P
8	163558100010	M.NAGAMANI	p	p	p	p	p	p	p	p	p	P	p	p	p	p	P
9	163558100012	M.KALYAN KUMAR	p	p	p	p	p	p	p	p	p	P	p	p	p	p	P
10	163558100013	M.VIJAYA	p	p	p	p	p	p	p	p	p	P	p	p	p	p	P
11	163558100014	P.N D BHAVANI	p	p	p	p	p	p	p	p	p	P	p	p	p	p	P
12	163558100015	P.D MAHALAKSHMI	p	p	p	p	p	p	p	p	p	P	p	p	p	p	P
13	163558100017	B.HARISH	p	p	p	p	p	p	p	p	p	P	p	p	p	p	p
14	163558100019	CH.SATTIPANDU	p	p	p	p	p	p	p	p	p	P	p	p	p	p	P
15	163558100020	N.RAMA DEVI	p	p	p	p	p	p	p	p	p	P	p	p	p	p	P

**S.A.S. GOVT. DEGREE COLLEGE, NARAYANAPURAM**

**(Affiliated to Adikavi Nannaya University, Rajamahendravaram, A.P.)**



**Department of commerce**

**2018-2019**

**Certificate course on Mutual funds - Student Attendance Register**

S. N O	Roll No.	Name of the Student	Attendance Days													
			16	17	1 8	1 9	2 0	2 1	2 2	2 3	2 4	25	26	27	28	
1	163558100001	M.GANGADHAR RAO	p	p	p	p	P	p	p	p	p	p	p	p	p	P
2	163558100002	P.DHARMATEJA	p	p	p	p	P	p	p	p	p	p	p	p	p	P
3	163558100003	Y.ANADH PAUL	p	p	p	p	p	p	p	p	p	p	p	p	p	P
4	163558100005	A.R D KUMAR	p	p	p	p	p	p	p	p	p	p	p	p	p	P
5	163558100006	K.PRAMEELA	p	p	p	p	p	p	p	p	p	p	p	p	p	P
6	163558100008	K.VENKATESWARARAO	p	p	p	p	p	p	p	p	p	p	p	p	p	P
7	163558100009	T.S D SURYA KALA	p	p	p	p	p	p	p	p	p	p	p	p	p	P
8	163558100010	M.NAGAMANI	p	p	p	p	p	p	p	p	p	p	p	p	p	P
9	163558100012	M.KALYAN KUMAR	p	p	p	p	p	p	p	p	p	p	p	p	p	P
10	163558100013	M.VIJAYA	p	p	p	p	p	p	p	p	p	p	p	p	p	P
11	163558100014	P.N D BHAVANI	p	p	p	p	p	p	p	p	p	p	p	p	p	P
12	163558100015	P.D MAHALAKSHMI	p	p	p	p	p	p	p	p	p	p	p	p	p	P
13	163558100017	B.HARISH	p	p	p	p	p	p	p	p	p	p	p	p	p	P
14	163558100019	CH.SATTIPANDU	p	p	p	p	p	p	p	p	p	p	p	p	p	P
15	163558100020	N.RAMA DEVI	p	p	p	p	p	p	p	p	p	p	p	p	p	P

S A S GOVT DEGREE COLLEGE, NARAYANAPURAN  
DEPARTMENT OF COMMERCE  
Sub : Mutual Fund ( Question Paper )

Time : 1 ½  
Marks : 50



1. The First player of the Mutual fund industry was \_\_\_\_\_.

A) ICICI MF      B) UTI MF      C) SBI MF      D) LIC MF

2. UTI mutual fund was set up in the Year \_\_\_\_\_.

A) 1963      B) 1986      C) 1956      D) 1947

3. \_\_\_\_\_ Mutual fund company was set up as a joint venture between RBI and Government of India

A) UTI MF      B) LIC MF      C) SBI MF      D) ICICI MF

4 Who establishes the Mutual Fund in India?

A) Securities Exchange Board of India    B) Asset Management Company  
C) Sponsor      D) Shareholders

5. In India, AMC must be registered with \_\_\_\_\_.

A) Company's Act, 2013      B) No registration required.  
C) Securities Exchange Board of India    D) Reserve Bank of India

6. \_\_\_\_\_ is a type of investment vehicle consisting of a portfolio of stocks, bonds, or other securities.

A) Government Securities      B) Mutual Funds  
C) Derivatives      D) Shares

7 The value of one unit of investment in Mutual fund is called the \_\_\_\_\_.

A) Net Asset Value    B) Issue value    C) Market value    D) Gross Asset value



8. \_\_\_\_\_ regulates the Mutual fund industry in India.

A) Reserve Bank of India      B) Association of Mutual Funds of India  
C) Securities Exchange Board of India      D) State Bank of India

8 What is the full form of NAV?

A) Net Assessment Value      B) National Asset Value  
C) Net Asset Value      D) National Asset variation

9 \_\_\_\_\_ schemes not exposed to sudden and large movements of funds.

A) Fixed maturity plan      B) Open-Ended Funds  
C) Close-Ended Funds      D) Interval fund

10 The feature of a mutual fund, where it spreads the investment in varied stocks and sectors by pooling the funds of various investors, is called as \_\_\_\_\_.

A) Professional Management      B) Affordability  
C) Diversification      D) Profit

11 Dividend income received from mutual in the hands of unit holders

A) Fully Taxable B) Fully Exempt      C) Partly Exempt      D) Partly Taxable

13. Which of the following is not a limitation of mutual funds?

A) No guarantee of return      B) Fees and Expenses  
C) Poor Performance      D) Professional Management



14 The Mutual fund industry follows which of the following regulation?

A) SEBI (Mutual fund) regulations 1996 B) Mutual fund regulation 2004  
C) Mutual fund regulation 2003 D) RBI

15 Presently there are \_\_\_\_\_ AMC in India

A) 40 B) 50 C) 44 D) 39

16 A \_\_\_\_\_ is a trust that pools the savings of a number of investors who share common financial goals.

A) Shares B) Mutual Funds C) Government Securities D) Derivatives

17 What are the reasons for economies of scale to the benefit of Mutual funds?

A) Large volumes of trade B) Portfolio diversification  
C) Risk reduction D) Loss

18 \_\_\_\_\_ are also known as the protectors of the fund and are employed by the fund sponsor.

A) Sponsor B) Trustees C) Asset Management Company D) Custodian

19 A minimum start-up capital of about \_\_\_\_\_ is required for open-ended schemes

A) 500 million B) 1000 million C) 350 million D) 200 million

20 A minimum start-up capital of about \_\_\_\_\_ is required for close-ended schemes

A) 150 million B) 100 million C) 350 million D) 200 million

21 The funds in which units can be purchased only during the initial offer period are called

A) Open-Ended Funds B) Close-Ended Funds  
C) Interval Funds D) Fixed maturity plan

22 The first introduction of Mutual Funds in India occurred in which of the following years?

A) 1963 B) 196 C) 1956 D) 194

23 \_\_\_\_\_ are considered high-risk funds but also tend to provide high returns.

- A) Equity Funds
- B) Money Market Funds
- C) Balanced or Hybrid Funds
- D) Debt Funds



24 \_\_\_\_\_ are funds that invest in company debentures, government bonds and other fixed-income assets.

- A) Equity Funds
- B) Money Market Funds
- C) Balanced or Hybrid Funds
- D) Debt Funds

25 HDFC Sensex ETF is an example of \_\_\_\_\_.

- A) Sector Funds
- B) Index Funds
- C) Fund of funds
- D) International funds

26 Nippon India Pharma fund is an example of \_\_\_\_\_.

- A) Sector Funds
- B) Index Funds
- C) Equity funds
- D) Global funds

27 AMFI was incorporated on \_\_\_\_\_.

- A) 22nd August 1995
- B) 12<sup>th</sup> April 1992
- C) 1<sup>st</sup> April 1935
- D) 15<sup>th</sup> August 1947

28 Which type of fund is more volatile?

- A) Large-cap funds
- B) Mid-cap funds
- C) Small-cap funds
- D) Hybrid Funds

29 An investor pays a tax on the dividend that he receives from a mutual fund scheme at

- A) 10%
- B) 20%
- C) 30%
- D) Tax is not applicable

30 Investors can enter and exit under \_\_\_\_\_ at any time

- A) Fixed maturity plan
- B) Open-Ended Funds
- C) Close-Ended Funds
- D) Interval fund

31 The NAV of each scheme should be updated on AMFI's website

A) Every Day B) Every month C) Every hour D) Every quarter



32 Mutual Fund schemes are first offered to investors through.

A) Stock exchange B) New Fund Offer C) Initial Public Offer D) AMFI

33 Which of the following banks launched the first mutual fund in India?

A) SBI B) Canara Bank C) Bank of India D) Indian Bank

34. Which of the following organizations is the Mutual Fund Market regulator in India?

A) SEBI B) RBI C) AMFI D) CIBIL

35 A Mutual fund is owned by\_\_\_\_\_.

A) SEBI B) The Government of India C) AMFI D) All its investors

36 SIP is a\_\_\_\_\_.

A) Method of regular investment B) Name of a mutual fund  
C) Brand of a tea stock D) Method of one time investment

37 SIP stands for\_\_\_\_\_.

A) Systematic investment plan B) Simple investment plan  
C) Simplified investment programme D) Single investment plan

38 SWP stands for\_\_\_\_\_.

A) Systematic whining plan B) Systematic withdrawal plan  
C) Systematic winning plan D) System winning plan

39 Day to day operations of a mutual fund is handled by

A) Asset Management Company B) Sponsor C) Trustee D) Shareholders

40 Mutual funds are constituted in India as \_\_\_\_\_.

A) Trusts B) Limited liability partnership  
C) Companies D) Non-Government organisations

41 The susceptibility of a mutual fund's performance to general stock market conditions is known as

A) Interest rate risk B) Market risk C) Exchange risk D) Corporate risk

42 The \_\_\_\_\_ is the market value of the securities that mutual funds have purchased minus any liabilities per unit.

A) Net asset value B) Book value C) Gross asset value D) Net worth value

43 Which payment mode is not applicable while purchasing mutual fund scheme?

A) Cheque B) Demand Draft C) Cash D) Pay Order

44 \_\_\_\_\_ are an important link between fund managers and investors.

A) Trustees B) Asset Management Company  
C) Custodian D) Registrar And Transfer Agents

45. What is an open-ended mutual fund?

A) It is the one that has an option to invest in any kind of security  
B) It has units available for sale and repurchase at all times.  
C) It has an upper limit on its NAV  
D) It has a fixed fund size

46 In \_\_\_\_\_ funds, the money is invested primarily in short-term or very short-term instruments e.g. T-Bills, CPs etc.

A) Growth funds B) Income funds  
C) Liquid funds D) Tax-Saving Funds (ELSS)

47 \_\_\_\_\_ is a method of investing in mutual funds wherein an investor chooses a mutual fund scheme and invests a fixed amount of his choice at fixed intervals.

A) Systematic Transfer Plan B) Systematic Withdrawal Plan



C) Systematic Investment Plan

D) Systematic Innovative Plan

48 Mutual funds in India are permitted to invest in \_\_\_\_\_

A) Securities

B) Securities and gold

C) Securities other than real estate D) Securities, gold, real estate

49..... is the first time subscription offer for a new scheme launched by the Asset Management Company.

a. FFO

b. CFO

c. IPO

d. NFO

50. A mutual fund is a ..... intermediary (like a trust) regulated in India by the SEBI.

A) financial

B) professional

C) physical

D) Mental





S.A.S. GOVERNMENT DEGREE COLLEGE  
NARAYANAPURAM, WEST GODAVARI DISTRICT-534411  
(AFFILIATED TO ADIKAVI NANNAYA UNIVERSITY, RAJAHMENDRARAM)  
Phone: 08818 252189, E-mail: narayanapuram.jkc@gmail.com



**SUBJECT : MUTUAL FUNDS**

Time : 1  $\frac{1}{2}$  Hours  
Marks : 50 M

40  
50

1. The First player of the Mutual fund industry was ----- (B)

- A) ICICI MF
- B) B) UTI MF
- C) C) SBI MF
- D) D) UC MF

2. UTI mutual fund was set up in the Year----- (A)

- A) 1963
- B) 1986
- C) 1956
- D) 1947

3. ----- Mutual fund company was set up as a joint venture between RBI and Government of India (D)

- A) UTI MF
- B) LIC MF
- C) SBI MF
- D) ICICI MF

4 Who establishes the Mutual Fund in India? (A)

- A) Securities Exchange Board of India
- B) Asset Management Company
- C) Sponsor
- D) Shareholders



1.B) UTI MF

2 .A) 1963

3 A) UTI MF

4 C) Sponsor

5. C) Securities Exchange Board of India

6. B) Mutual Funds

7 A) Net Asset Value

8 C) Securities Exchange Board of India

9C) Net Asset Value

10 C) Close-Ended Funds

11C) Diversification

12 B) Fully Exempt

13.D) Professional Management

14 A) SEBI (Mutual fund) regulations 1996

15 C) 44

16 B) Mutual Funds

17 B) Portfolio diversification

18 B) Trustees

19 D) 200 million

20 A) 150 million

21 B) Close-Ended Funds

22 1963

23 A) Equity Funds

24 D) Debt Funds  
25 B) Index Funds  
26 C) Equity funds  
27 A) 22nd August 1995  
28 A) Large-cap funds  
  
29 A) 10%  
30 B) Open-Ended Funds  
31 A) Every Day  
32 B) New Fund Offer  
33 A) SBI  
34. C) AMFI  
35 D) All its investors  
36 A) Method of regular investment  
37 A) Systematic investment plan  
39 B) Systematic withdrawal plan  
  
40 A) Asset Management Company  
40 A) Trusts  
41 B) Market risk  
42 A) Net asset value  
43 C) Cash  
44 D) Registrar And Transfer Agents  
  
45. B) It has units available for sale and repurchase at all times.  
46 C) Liquid funds  
  
47 C) Systematic Investment Plan  
48 D) Securities, gold, real estate  
49 d. NFO  
50 : C





**SUBJECT : MUTUAL FUNDS**

Time : 1 1/2 Hours

Marks : 50 M

1. The First player of the Mutual fund industry was -----

(B)

- A) ICICI MF
- B) UTI MF
- C) SBI MF
- D) LIC MF

2. UTI mutual fund was set up in the Year-----

(A)

- A) 1963
- B) 1986
- C) 1956
- D) 1947

3. ----- Mutual fund company was set up as a joint venture between RBI and Government of India

( )

- A) UTI MF
- B) LIC MF
- C) SBI MF
- D) ICICI MF

4 Who establishes the Mutual Fund in India?

(A)

- A) Securities Exchange Board of India
- B) Asset Management Company
- C) Sponsor
- D) Shareholders

5. In India, AMC must be registered with ----- (C)

- A) Company's Act, 2013
- B) No registration required.
- C) Securities Exchange Board of India
- D) Reserve Bank of India



6. ----- is a type of investment vehicle consisting of a portfolio of stocks, bonds, or other securities. (C)

- A) Government Securities
- B) Mutual Funds
- C) Derivatives
- D) Shares

7 The value of one unit of investment in Mutual fund is called the----- (B)

- A) Net Asset Value
- B) Issue value
- C) Market value
- D) Gross Asset value



8 -----regulates the Mutual fund industry in India. (A)

- A) Reserve Bank of India
- B) Association of Mutual Funds of India
- C) Securities Exchange Board of India
- D) State Bank of India

9 What is the full form of NAV? (C)

- A) Net Assessment Value
- B) National Asset Value
- C) Net Asset Value
- D) National Asset variation

10 ----- schemes not exposed to sudden and large movements of funds. (C)

- A) Fixed maturity plan
- B) Open-Ended Funds
- C) Close-Ended Funds
- D) Interval fund

11 The feature of a mutual fund, where it spreads the investment in varied stocks and sectors by pooling the funds of various investors, is called as----- (C)

- a. Professional Management
- b. B) Affordability
- C) Diversification
- D) Profit

12 Dividend income received from mutual in the hands of unit holders (C)

- A) Fully Taxable
- B) Fully Exempt
- C) Partly Exempt
- D) Partly Taxable

13 Which of the following is not a limitation of mutual funds? (D)

- A) No guarantee of return
- B) Fees and Expenses
- C) Poor Performance
- D) Professional Management

14. NAV in mutual funds stands for ?  
a) newly acquired value  
b) net asset value  
c) net asset visibility  
d) net amount valuation

(A)



15. The Mutual fund industry follows which of the following regulation? (C)

- A) SEBI (Mutual fund) regulations 1996
- B) Mutual fund regulation 2004
- C) Mutual fund regulation 2003
- D) RBI

16. Presently there are----AMC in India A) 40

(D)

- B) 50
- C) 44
- D) 39

17. -----is a trust that pools the savings of a number of investors who share common financial goals. (D)

- A) Shares
- B) Mutual Funds
- C) Government Securities
- D) Derivatives

18. What are the reasons for economies of scale to the benefit of Mutual funds? (B)

- A) Large volumes of trade
- B) Portfolio diversification
- C) Risk reduction
- D) Loss

19. --- are also known as the protectors of the fund and are employed by the fund sponsor (A)

- A) Sponsor
- B) Trustees
- C) Asset Management Company
- D) Custodian



20. A minimum start-up capital of about ---- is required for open-ended schemes (D)

- A) 500 million
- B) 1000 million
- C) 350 million
- D) 200 million

21. A minimum start-up capital of about ---- is required for close-ended schemes (B)

- A) 150 million
- B) 100 million
- C) 350 million
- D) 200 million

22. The funds in which units can be purchased only during the initial offer period are called (D)

- A) Open-Ended Funds
- B) Close-Ended Funds
- C) Interval Funds
- D) Fixed maturity plan

23. The first introduction of Mutual Funds in India occurred in which of the following years? (A)

- A) 1963
- B) 1986
- C) 1956
- D) 194

24.---- are considered high-risk funds but also tend to provide high returns. (D)

- A) Equity Funds
- B) Money Market Funds
- C) Balanced or Hybrid Funds
- D) Debt Funds



25.----are funds that invest in company debentures, government bonds and other fixed-income assets. (B)

- A) Equity Funds
- B) Money Market Funds
- C) Balanced or Hybrid Funds
- D) Debt Funds

26. HDFC Sensex ETF is an example of----(C)

- A) Sector Funds
- B) Index Funds
- C) Fund of funds
- D) International funds

27. Nippon India Pharma fund is an example of---- (A)

- A) Sector Funds
- B) Index Funds
- C) Equity funds
- D) Global funds

28. AMFI was incorporated on----

- A) 22nd August 1995
- B) 12<sup>th</sup> April 1992
- C) 1<sup>st</sup> April 1935
- D) 15<sup>th</sup> August 1947

29. Which type of fund is more volatile? (A)

- A) Large-cap funds
- B) Mid-cap funds
- C) Small-cap funds
- D) Hybrid Funds

30. An investor pays a tax on the dividend that he receives from a mutual fund scheme at (D)

A) 10%  
B) 20%  
C) 30%  
D) Tax is not applicable



31. Investors can enter and exit under----at any time (A)

A) Fixed maturity plan  
B) Open-Ended Funds  
C) Close-Ended Funds  
D) Interval fund

32. The NAV of each scheme should be updated on AMFI's website (B)

A) Every Day  
B) Every month  
C) Every hour  
D) Every quarter

33. Mutual Fund schemes are first offered to investors through. (A)

A) Stock exchange  
B) New Fund Offer  
C) Initial Public Offer  
D) AMFI

34. Mutual Fund schemes are first offered to investors through. (C)

A) Stock exchange  
B) New Fund Offer  
C) Initial Public Offer  
D) AMFI

35. Mutual Fund schemes are first offered to investors through. (D)

A) Stock exchange  
B) New Fund Offer  
C) Initial Public Offer  
D) AMFI

36. Mutual Fund schemes are first offered to investors through. (A)

- A) Stock exchange
- B) New Fund Offer
- C) Initial Public Offer
- D) AMFI

37. Mutual Fund schemes are first offered to investors through. (A)

- A) Stock exchange
- B) New Fund Offer
- C) Initial Public Offer
- D) AMFI

38. Mutual Fund schemes are first offered to investors through. (A)

- A) Stock exchange
- B) New Fund Offer
- C) Initial Public Offer
- D) AMFI

39. Which of the following banks launched the first mutual fund in India? (D)

- A) SBI
- B) Canara Bank
- C) Bank of India
- D) Indian Bank

40. Which of the following organizations is the Mutual Fund Market regulator in India? (A)

- A) SEBI
- B) B) RBI
- C) C) AMFI
- D) D) CIBIL

41. A Mutual fund is owned by ----- (B)

- A) SEBIB) The Government of India
- C) AMFI
- D) All its investors

42. SIP is a ----- (A)

- A) Method of regular investment
- B) Name of a mutual fund
- C) Brand of a tea stock
- D) Method of one time investment



43. SIP stands for -----

(C)

- A) Systematic investment plan
- B) Simple investment plan
- C) Simplified investment programme
- D) Single investment plan



44. SWP stands for ----- (D)

- A) Systematic whining plan
- B) Systematic withdrawal plan
- C) Systematic winning plan
- D) System winning plan

45. Day to day operations of a mutual fund is handled by (D)

- A) Asset Management Company
- B) Sponsor
- C) Trustee
- D) Shareholders

46. Mutual funds are constituted in India as (C)

- A) Trusts
- B) Limited liability partnership
- C) Companies
- D) Non-Government organisations

47. Mutual funds are constituted in India as (C)

- A) Trusts
- B) Limited liability partnership
- C) Companies
- D) Non-Government organisations

48. Mutual funds are constituted in India as (D)

- A) Trusts
- B) Limited liability partnership
- C) Companies
- D) Non-Government organisations

49. Mutual funds are constituted in India as (D)

- A) Trusts
- B) Limited liability partnership
- C) Companies
- D) Non-Government organisations

50. Mutual funds are constituted in India as (C)

- A) Trusts
- B) Limited liability partnership
- C) Companies
- D) Non-Government organisations





**SRI ARAVINDA SATHAJAYANTHI GOVERNMENT DEGREE COLLEGE**

NARAYANAPURAM, ELURU DISTRICT, ANDHRA PRADESH



## CERTIFICATE OF COMPLETION

This is to certify that Mr/Ms. **P. DHARMA TEJA**

of **III B.Com** class has successfully completed certificate course in **MUTUAL FUNDS** (ours) conducted from **21/7/2018** to **8/8/2018** by Department of Political Science.

Course Coordinator  
Department of Political Science  
SAS GOVT. DEGREE COLLEGE  
NARAYANAPURAM

IQAC  
Co-ordinator

**PRINCIPAL**  
**SAS GOVT. DEGREE COLLEGE**  
**NARAYANAPURAM**  
West Godavari District.  
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## Report on the Certificate course



As a part of academic activity, the department of Commerce has conducted certificate course in 'Security Markets' from 02-07-2018 for the academic year 2018-19. The important objective of the course is to improve basic knowledge in Security Markets among the UG degree students. As per the instructions given by the principal during the minutes of the meeting 15 members of students are enrolled in to the certificate course for 3rd B.Com(G) to enrich the Security Markets, the Commerce faculty member have engaged classes for 30Hours and dealt the basic concepts of the subject. At the end of the course, an external examination with multiple choice questions has conducted for the assessment of learners understanding levels of knowledge. The minimum qualifying of marks for the award of certification is 40%. All the students completed the course successfully and got certificates during the academic year 2018-2019.