

**B. K. BIRLA COLLEGE OF ARTS, SCIENCE AND COMMERCE (AUTONOMOUS),
KALYAN**

CERTIFICATE COURSE



B. K. Birla College of Arts, Science and Commerce, Kalyan
Department of Management Studies
B. Com. (Accounting & Finance)

Certificate course on "Basics of Investments"

<u>Introduction</u>	To create a powerful knowledge on the overview and the functioning of Financial markets. Financial Planning shall help to park their savings in the right investment vehicle. Identifying, describing, and comparing types of individual and institutional investors the code of conduct of investing and the risk involved in investing and managing the risk. Describing risk management process and functions.
<u>Objectives</u>	• To understand the overview and functioning of Financial Markets • To understand the risk management • To study the importance of identifying investor needs to the investment process
<u>Syllabus</u>	Unit 1. OVERVIEW AND FUNCTIONING OF FINANCIAL MARKETS: Distinguish between primary and secondary markets; • Explain the role of investment banks in helping issuers raise capital; • Describe primary market transactions, including public offerings, private placements, and right issues; • Explain the roles of trading venues, including exchanges and alternative trading venues; • Identify characteristics of quote-driven, order-driven, and brokered markets; • Compare long, short, and leveraged positions in terms of risk and potential return; • Describe order instructions and types of orders; • Describe clearing and settlement of trades; • Identify types of transaction costs; • Describe market efficiency in terms of operations, information, and allocation. Unit 2. INVESTORS AND THEIR NEEDS : Describe the importance of identifying investor needs to the investment process; • Identify, describe, and compare types of individual and institutional investors; • Compare defined benefit pension plans and defined contribution pension plans; • Explain factors that affect investor needs; • Describe the rationale for and structure of investment policy statements in serving client needs. Unit 3.: ETHICS AND INVESTMENT PROFESSIONALISM : Describe the need for ethics in the investment industry; • Identify obligations that individuals in the investment industry have to clients, prospective clients, employers, and co-workers; • Identify elements of Code of Ethics; • Describe benefits of ethical conduct; • Describe consequences of conduct that is unethical or unprofessional. Unit 4: RISK MANAGEMENT Define risk and identify types of risk; • Define risk management; • Describe a risk management process; • Describe risk management functions; • Describe benefits and costs of risk management; • Define operational risk and explain how it is managed; • Define compliance risk and explain how it is managed; • Define investment risk and explain how it is managed; • Define value at risk and describe its advantages and weaknesses.

Define investment risk and explain how it is managed; • Define value at risk and describe its advantages and weaknesses.

About the programme

Duration: 30 hours

Eligibility: HSC / 12th Pass

Batch Size: 60 students

Fees structure : Rs. 1000/- per student

Examination Pattern

- Written Test: 30 Marks
- Assignment: 10 Marks
- Attendance: 10 Marks
- Total 50 Marks

Credit Points: 02

Resources

- Persons : One coordinator,
Resource Person
One Attendant
- Printing & stationery
- Infrastructure: Classroom, Computer Lab with Internet Facility (whenever required).

Financial Budget:

Honorarium (Resource Person) Rs. 500 per hour *30	Rs. 15,000/-
Co-ordinator Remuneration	Rs. 5,000/-
Exam related Expenses	Rs. 2,000/-
Certificate printing @ Rs. 20/-	Rs. 1,000/-
20% of fees to college for providing Infrastructure (Class room/Computer lab with internet)	Rs. 12,000/-
Other incidental expenses	Rs. 5,000/-
Total Expenditure	Rs. 40,000/-
Surplus from the course Rs. (60,000-40,000)	Rs. 20,000/-

**Kalyan Citizens' Education Society's
B. K. Birla College Of Arts, Science & Commerce, Kalyan**

Misc Fees Receipt Register

Receipt Type is Certificate course in Basics of Investments

Sr. No.	Receipt No.	Date	Class	Student Name	Basics of I nv	Total
1	900	31/07/2019	F.Y.B.Com Accounting & Finance	GUPTA ASHWINKUMAR GIRDHARILAL	1000	1000
2	902	31/07/2019	F.Y.B.M.S.	BIDVI SAHIL AJENDRA	1000	1000
3	903	31/07/2019	F.Y.B.M.S.	JAISWAL MUSKAN RAJESH	1000	1000
					3000	3000
4	916	02/08/2019	F.Y.B.M.S.	RANGWALA TAHER MURTUZA	1000	1000
5	927	02/08/2019	F.Y.B.Com Accounting & Finance	NAMBIAR JYOTHIKA SOMAN	1000	1000
6	929	02/08/2019	F.Y.B.Com Accounting & Finance	DUBEY SAKSHI ANIL	1000	1000
7	930	02/08/2019	F.Y.B.Com Accounting & Finance	BOJJA TANAY RAJESH	1000	1000
8	941	02/08/2019	F.Y.B.M.S.	KHATIK MEHTAB AHMED	1000	1000
9	942	02/08/2019	F.Y.B.Com Accounting & Finance	ZAMBARE SHREYA DATTATRAY	1000	1000
10	949	02/08/2019	F.Y.B.Com Accounting & Finance	YADAV AMAN KRISHANKUMAR	1000	1000
11	952	02/08/2019	S.Y.B.M.S.	AGARWAL MEENAL MANOJ	1000	1000
12	953	02/08/2019	F.Y.B.Com Accounting & Finance	PATEL VARSHA NARSHI	1000	1000
13	954	02/08/2019	F.Y.B.Com Accounting & Finance	SHAH KUSUM MAHENDRABHAI	1000	1000
14	955	02/08/2019	F.Y.B.Com Accounting & Finance	SHUKLA RISHABH NAVINKUMAR	1000	1000
15	956	02/08/2019	F.Y.B.Com Accounting & Finance	KHANDELWAL FALGUNI MANOJ	1000	1000
16	962	02/08/2019	F.Y.B.Com Accounting & Finance	KAZI TAHSEEN ARIF	1000	1000
17	963	02/08/2019	F.Y.B.Com Accounting & Finance	PATEL HASTI NARSHI	1000	1000
					14000	14000
18	977	03/08/2019	S.Y.B.M.S.	PALIWAL YASHI SANJAY	1000	1000
19	988	03/08/2019	F.Y.B.Com Accounting & Finance	BHOY VAISHNAVI PRAKASH	1000	1000
20	995	03/08/2019	F.Y.B.Com Accounting & Finance	PANDEY PRACHI KRISHNAKANT	1000	1000
21	1005	03/08/2019	S.Y.B.M.S.	YADAV JYOTI JAGAR NATH YADAV	1000	1000
22	1021	03/08/2019	S.Y.B.M.S.	DURGUDE RASIKA ANKUSH	1000	1000
23	1022	03/08/2019	S.Y.B.M.S.	KHEUR TANVI UDAY	1000	1000
					6000	6000
24	1060	06/08/2019	F.Y.B.Com (Financial Management)	BANGAR VIKAS LAXMAN	1000	1000
					1000	1000
25	1086	07/08/2019	S.Y.B.Com Banking & Insurance	KHAMBAYAT YOGITA PRABHAKAR	1000	1000

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26	1087	07/08/2019	S.Y.B.M.S.	GURAV JAYESH SUBHASH	1000	1000
27	1091	07/08/2019	S.Y.B.Com Bankin g & Insurance	VANIAR MUTHULAXMI ABIRAMA	1000	1000
28	1093	07/08/2019	S.Y.B.M.S.	MISHRA ADITYA BHAIKAV	1000	1000
29	1094	07/08/2019	S.Y.B.M.S.	KUSHWAHA DIVYANSH RAMSINGH	1000	1000
30	1097	07/08/2019	F.Y.B.Com Accou nting & Finance	RAJPUT VISHAKHA SANJAY	1000	1000
					6000	6000
31	1216	16/08/2019	S.Y.B.M.S.	YADAV ANKIT JAINARAYAN	1000	1000
					1000	1000
32	1553	11/09/2019	S.Y.B.Com Accou nting & Finance	KUNDNANI HITEN HARESH	1000	1000
					1000	1000
33	1618	21/09/2019	S.Y.B.M.S.	PREETHISHREE SHASHIKUMAR	1000	1000
					1000	1000
34	1928	30/07/2019	F.Y.B.Com Bankin g & Insurance	JADHAV VINAYA MACHINDRA	1000	1000
35	1930	30/07/2019	F.Y.B.Com. (Finan cial Management	KHISTI AKSHATA AJIT	1000	1000
					2000	2000
36	1932	31/07/2019	F.Y.B.Com Bankin g & Insurance	SINGH SIMRAN RAMSWARUP	1000	1000
37	1941	31/07/2019	F.Y.B.Com Accou nting & Finance	PRAJAPAT KHUSHBU KANTILAL	1000	1000
38	1942	31/07/2019	F.Y.B.Com Accou nting & Finance	KUMHAR PREETI AMRUTLAL	1000	1000
39	1943	31/07/2019	F.Y.B.Com Accou nting & Finance	BHOIR NISHANT SUBHASH	1000	1000
40	1944	31/07/2019	F.Y.B.Com Accou nting & Finance	MISHRA SACHIN VINAY	1000	1000
41	1945	31/07/2019	F.Y.B.Com Accou nting & Finance	KHARAT ABHISHEK SUNIL	1000	1000
42	1946	31/07/2019	F.Y.B.Com Accou nting & Finance	GAIKWAD PRASHANT DINKAR	1000	1000
43	1952	31/07/2019	F.Y.B.Com Accou nting & Finance	LASURVE SAKSHI CHANDRAKANT	1000	1000
44	1953	31/07/2019	F.Y.B.Com Accou nting & Finance	GANDHRE SHRUTI UMESH	1000	1000
45	1962	31/07/2019	F.Y.B.Com Accou nting & Finance	JOSHI TANAYA PRAVIN	1000	1000
					10000	10000
46	1976	02/08/2019	F.Y.B.Com Accou nting & Finance	SAWANT SAKSHI JAGDISH	1000	1000
47	1977	02/08/2019	F.Y.B.Com Accou nting & Finance	DAJEL SARASWATI RAMCHANDRA	1000	1000

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48	1978	02/08/2019	F.Y.B.Com Accou nting & Finance	KASAT ISHA YOGESH	1000	1000
					3000	3000
49	1982	03/08/2019	T.Y.B.Com Accou nting & Finance	TAMBE TANVI DAYANANDA	1000	1000
50	1990	03/08/2019	S.Y.B.M.S.	CHAUDHARI TRUPTI ANIL	1000	1000
51	1991	03/08/2019	F.Y.B.M.S.	NAWALE RAJ SUBHASH	1000	1000
					3000	3000
Grand Total...					51000	51000

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51	1991	03/08/2019	F.Y.B.M.S.	NAWALE RAJ SUBHASH	1000	1000
					3000	3000
Grand Total...					51000	51000
			Cash		51000	51000
			F.Y.B.Com Accounting ..		27000	27000
			F.Y.B.Com Banking & I..		2000	2000
			F.Y.B.Com. (Financial ..		2000	2000
			F.Y.B.M.S.		5000	5000
			S.Y.B.Com Accounting ..		1000	1000
			S.Y.B.Com Banking & I..		2000	2000
			S.Y.B.M.S.		11000	11000
			T.Y.B.Com Accounting & Finance		1000	1000
			Basics of Inv	51000		

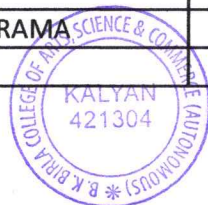
B.K Birla College of Arts, Science & Commerce (Autonomous), Kalyan

Department of Management Studies

Certificate Course in Basics of Investment

2019-20

Sr.no	Date:	3/10/19	5/10/19	10/10/19	12/10/19	17/10/19	19/10/19	24/10/19	26/10/19	2/11/19	7/11/19
Sr.no	Name										
1	GUPTA ASHWINKUMAR GIRDHARILAL	P	P	A	P	P	A	P	A	P	P
2	BIDVI SAHIL AJENDRA	P	P	A	P	A	A	P	P	A	P
3	JAISWAL MUSKAN RAJESH	A	A	P	P	P	P	P	P	P	A
4	RANGWALA TAHER MURTUZA	P	P	P	A	P	P	A	P	A	P
5	NAMBIAR JYOTHIKA SOMAN	P	A	A	P	A	A	P	P	A	P
6	DUBEY SAKSHI ANIL	A	P	P	A	P	P	P	A	P	A
7	BOJJA TANAY RAJESH	P	P	A	P	P	P	A	P	P	A
8	KHATIK MEHTAB AHMED	P	A	P	A	A	P	A	P	P	A
9	ZAMBARE SHREYA DATTATRAY	A	A	P	P	P	P	A	P	A	P
10	YADAV AMAN KRISHANKUMAR	P	P	P	P	P	P	P	P	A	A
11	AGARWAL MEENAL MANOJ	P	P	P	A	A	A	A	P	P	P
12	PATEL VARSHA NARSHI	A	A	A	P	P	P	P	P	P	A
13	SHAH KUSUM MAHENDRABHAI	P	P	A	A	P	A	P	A	P	A
14	SHUKLA RISHABH NAVINKUMAR	P	A	P	P	P	P	P	P	A	P
15	KHANDELWAL FALGUNI MANOJ	A	P	A	A	A	P	A	P	A	P
16	KAZI TAHSEEN ARIF	P	P	P	A	P	A	A	P	P	A
17	PATEL HASTI NARSHI	A	P	P	P	P	P	P	P	A	P
18	PALIWAL YASHI SANJAY	P	A	A	P	P	P	A	A	P	P
19	BHOY VAISHNAVI PRAKASH	P	A	P	P	P	A	P	A	P	A
20	PANDEY PRACHI KRISHNAKANT	A	P	P	A	A	P	P	A	P	A
21	YADAV JYOTI JAGAR NATH YADAV	P	P	P	A	P	A	P	A	P	A
22	DURGUDE RASIKA ANKUSH	P	A	P	P	A	P	A	P	A	P
23	KHEUR TANVI UDAY	A	A	A	A	P	P	P	P	P	P
24	BANGAR VIKAS LAXMAN	P	P	P	A	P	P	A	A	A	A
25	GURAV IAYESH SUBHASH	A	P	P	P	A	P	P	P	P	P
26	VANIAR MUTHULAXMI ABIRAMA	P	A	A	P	P	A	A	A	A	A
27	MISHRA ADITYA BHAIRAV	A	A	P	A	A	P	P	P	P	P.



28	KUSHWAHA DIVYANSH RAMSINGH	P	P	P	P	P	A	P	P	A	P
29	RAJPUT VISHAKHA SANJAY	A	P	A	A	P	P	A	A	P	P
30	YADAV ANKIT JAINARAYAN	P	A	P	P	A	A	P	A	P	A
31	KUNDNANI HITEN HARESH	P	P	A	P	P	P	P	P	A	P
32	PREETHISHREE SHASHIKUMAR	A	P	A	P	P	A	P	P	A	P
33	JADHAV VINAYA MACHINDRA	P	A	P	A	P	P	A	P	P	A
34	KHISTI AKSHATA AIT	P	P	P	P	A	A	A	P	P	A
35	SINGH SIMRAN RAMSWARUP	A	P	A	P	P	P	P	P	A	P
36	PRAJAPAT KHUSHBU KANTILAL	P	A	P	A	P	A	P	P	P	P
37	KUMHAR PREETI AMRUTLAL	P	P	P	P	A	P	A	P	A	P
38	BHOIR NISHANT SUBHASH	A	A	P	P	P	A	P	P	A	P
39	MISHRA SACHIN VINAY	P	P	A	P	A	P	P	P	P	P
40	KHARAT ABHISHEK SUNIL	P	A	P	A	P	P	A	A	A	A
41	GAIKWAD PRASHANT DINKAR	A	P	P	P	P	A	P	P	P	P
42	LASURVE SAKSHI CHANDRAKANT	P	P	P	P	A	P	P	P	A	P
43	GANDHRE SHRUTI UMESH	P	P	A	A	P	P	A	A	A	P
44	JOSHI TANAYA PRAVIN	A	P	P	A	A	P	A	P	P	P
45	SAWANT SAKSHI JAGDISH	A	A	A	P	P	A	P	A	A	P
46	DAJEL SARASWATI RAMCHANDRA	P	P	P	A	A	P	P	P	A	P
47	KASAT ISHA YOGESH	P	A	A	P	P	A	A	P	A	P
48	TAMBE TANVI DAYANANDA	A	P	P	A	P	P	P	A	P	P
49	CHAUDHARI TRUPTI ANIL	P	A	A	P	A	P	A	P	P	A
50	NAWALE RAJ SHUBHASH	P	P	P	A	P	A	P	A	P	P
51	VHAMBAYAT YOGITA PRABMAKAR	A	P	P	P	A	P	A	P	A	P.



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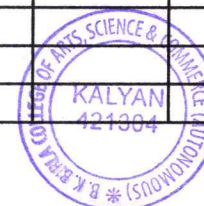
B.K Birla College of Arts, Science & Commerce (Autonomous), Kalyan

Department of Management Studies

Certificate Course in Basics of Investment

2019-20

Sr.no	Date:	9/11/19	14/11/19	16/11/19	21/11/19	23/11/19					
Sr.no	Name										
1	GUPTA ASHWINKUMAR GIRDHARILAL	P	P	A	P	A					
2	BIDVI SAHIL AJENDRA	P	A	P	P	A					
3	JAISWAL MUSKAN RAJESH	A	A	A	A	P					
4	RANGWALA TAHER MURTUZA	P	P	A	P	P					
5	NAMBIAR JYOTHIKA SOMAN	A	A	P	P	P					
6	DUBEY SAKSHI ANIL	P	A	P	A	P					
7	BOJJA TANAY RAJESH	P	A	A	P	A					
8	KHATIK MEHTAB AHMED	A	P	A	P	A					
9	ZAMBARE SHREYA DATTATRAY	P	P	P	A	P					
10	YADAV AMAN KRISHANKUMAR	A	A	P	A	A					
11	AGARWAL MEENAL MANOJ	P	P	P	A	P					
12	PATEL VARSHA NARSHI	P	P	P	P	P					
13	SHAH KUSUM MAHENDRABHAI	A	P	P	A	P					
14	SHUKLA RISHABH NAVINKUMAR	P	P	P	P	P					
15	KHANDELWAL FALGUNI MANOJ	A	P	A	P	P					
16	KAZI TAHSEEN ARIF	A	A	P	P	A					
17	PATEL HASTI NARSHI	P	P	A	P	A					
18	PALIWAL YASHI SANJAY	A	A	P	P	P					
19	BHOY VAISHNAVI PRAKASH	A	P	P	P	P					
20	PANDEY PRACHI KRISHNAKANT	P	P	P	P	P					
21	YADAV JYOTI JAGAR NATH YADAV	P	A	P	P	A					
22	DURGUDE RASIKA ANKUSH	P	P	P	A	P					
23	KHEUR TANVI UDAY	P	P	P	A	P					
24	BANGAR VIKAS LAXMAN	A	P	P	A	P					
25	GURAV IAYESH SUBHASH	A	P	P	P	P					
26	VANIAR MUTHULAXMI ABIRAMA	A	P	A	P	P					
27	MISHRA ADITYA BHAIRAV	P	P	A	P	A					



28	KUSHWAHA DIVYANSH RAMSINGH	P	P	A	P	P					
29	RAJPUT VISHAKHA SANJAY	A	P	A	A	P					
30	YADAV ANKIT JAINARAYAN	A	A	P	P	P					
31	KUNDNANI HITEN HARESH	P	A	P	P	A					
32	PREETHISHREE SHASHIKUMAR	P	P	P	A	P					
33	JADHAV VINAYA MACHINDRA	A	A	P	A	P					
34	KHISTI AKSHATA AIT	P	P	A	P	A					
35	SINGH SIMRAN RAMSWARUP	P	P	P	P	P					
36	PRAJAPAT KHUSHBU KANTILAL	A	A	P	P	P					
37	KUMHAR PREETI AMRUTLAL	A	P	P	P	P					
38	BHOIR NISHANT SUBHASH	A	P	A	P	A					
39	MISHRA SACHIN VINAY	P	P	P	A	P					
40	KHARAT ABHISHEK SUNIL	A	P	P	A	P					
41	GAIKWAD PRASHANT DINKAR	A	A	P	P	A					
42	LASURVE SAKSHI CHANDRAKANT	P	P	A	P	P					
43	GANDHRE SHRUTI UMESH	P	A	P	P	A					
44	JOSHI TANAYA PRAVIN	A	P	P	P	A					
45	SAWANT SAKSHI JAGDISH	P	P	P	P	A					
46	DAJEL SARASWATI RAMCHANDRA	P	P	P	P	P					
47	KASAT ISHA YOGESH	A	A	P	A	P					
48	TAMBE TANVI DAYANANDA	P	P	P	A	P					
49	CHAUDHARI TRUPTI ANIL	A	P	A	P	P					
50	NAWALE RAJ SHUBHASH	P	P	P	A	P					
51	VHAMBAYAT YOGITA PRABMAKAR	A	P	P	A	P					