

DEPARTMENT OF COMMERCE AND FINANCIAL STUDIES
BHARATHIDASAN UNIVERSITY
TIRUCHIRAPPALLI – 620024
MBA (Financial Management)

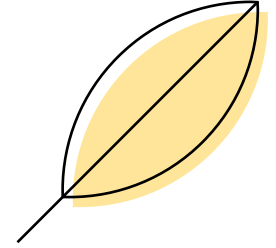
Course Code: COMMNO1/24

Course Name :Mutual Fund

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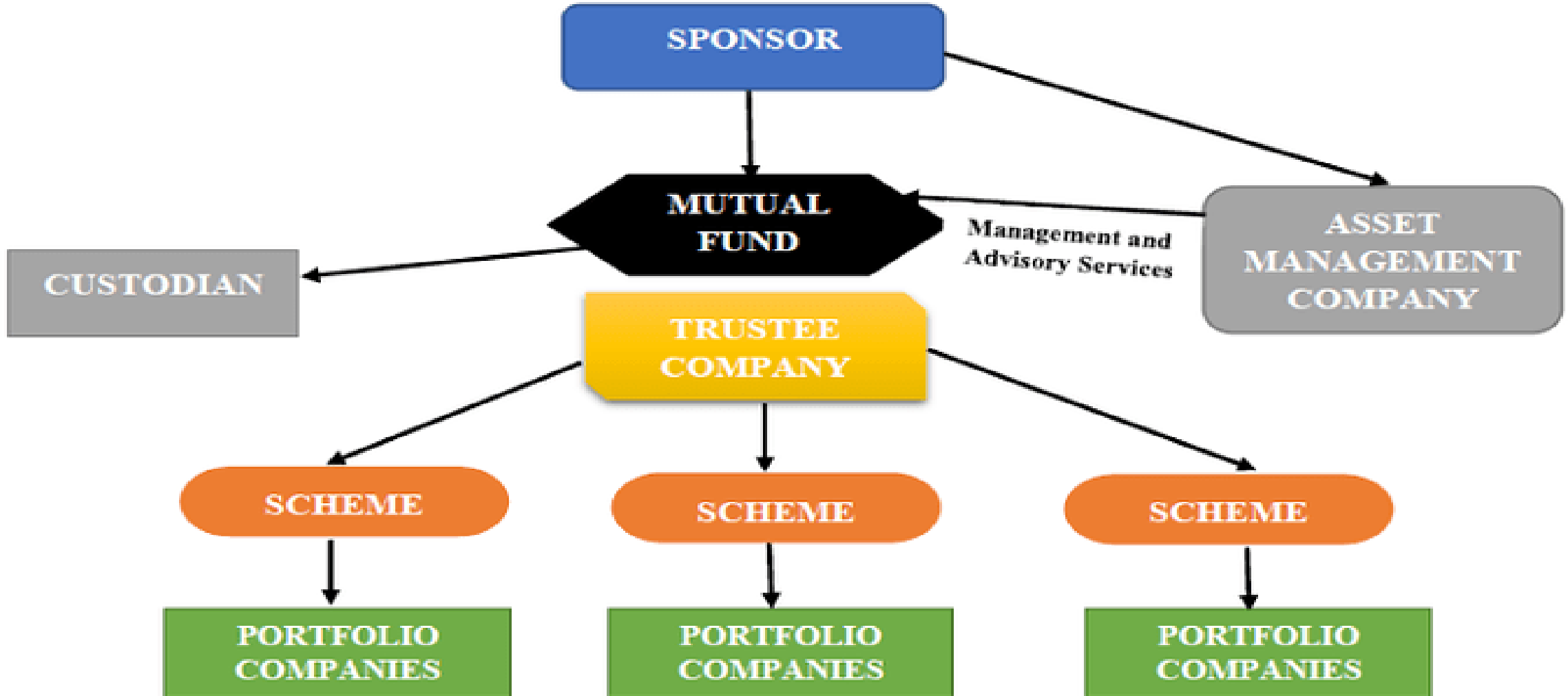
Scheme of Presentation

UNIT-II



- Key constituents of Mutual Funds
- Organization Structure of Asset Management Company
- Role and support functions of service providers of mutual funds
- Role and Function of AMFI
- Role of regulators in India
- Role of the Securities and Exchange Board of India
- Investor Grievance and Redressal standards
- AMFI Code of Conduct for Intermediaries

Key Constituents of Mutual Funds



Organization Structure of Asset Management Company



ROLES AND RESPONSIBILITIES SERVED BY A MUTUAL FUND ADVISOR

- Ascertaining the Investor's Goals
- Calculating the Investor's Risk Appetite:
- Advising a Suitable Investment Strategy:
- Monitoring the Investor's Portfolio
- Providing Regular Updates and Reports
- Offering Periodic Reviews and Rebalancing
- Financial Planning:
- Investor Education:
- Client Relationship Management

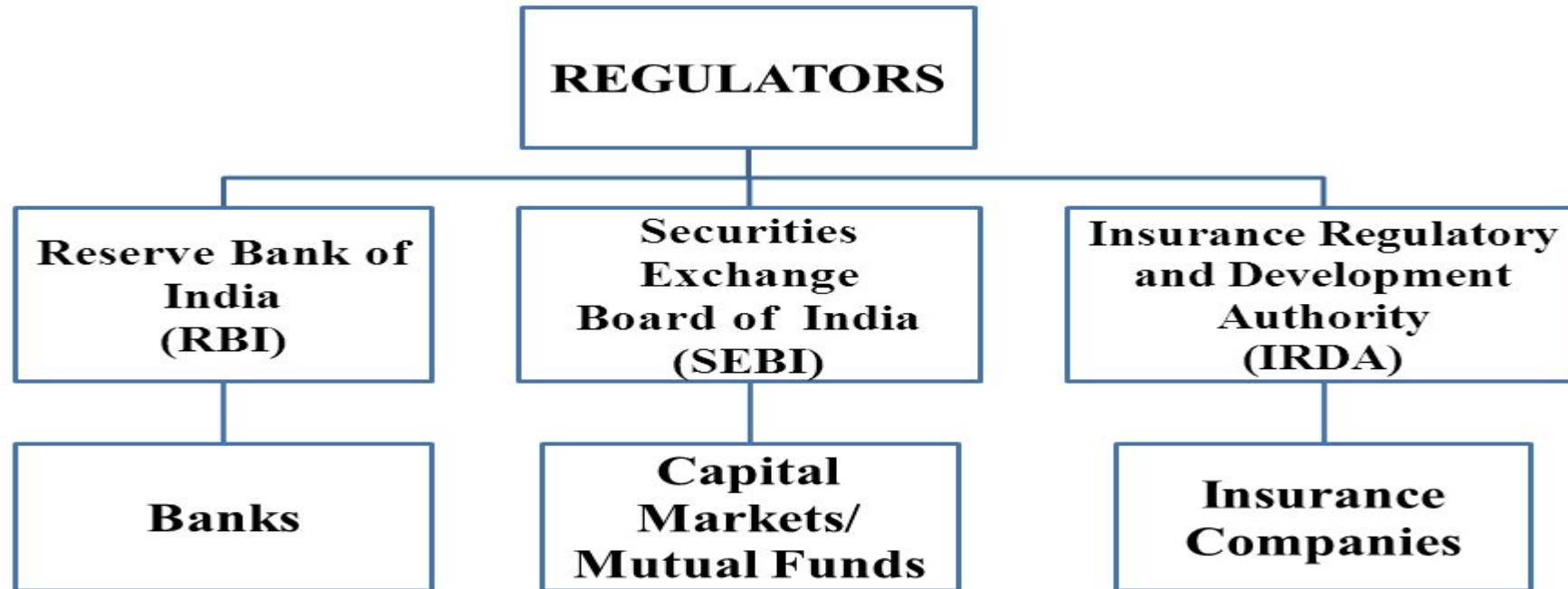
Role and Function of AMFI

AMFI is a self-regulatory organization of mutual funds in India. Its role includes promoting the interests of mutual funds, setting ethical standards, conducting training and certification programs, and representing the industry to regulators and the government.

Role of Association of Mutual Fund in India (AMFI)

1. Registration of intermediaries
2. Prescribing code of conduct
3. Interaction with SEBI
4. Representing the regulators
5. Index compilation
6. Investor awareness programme
7. Conduct of research

Role of regulators in India



Role of Securities and Exchange Board of India

- **Regulatory Oversight**
- **Registration and Approval**
- **Monitoring and Supervision**
- **Investor Protection**
- **Market Development**
- **Enforcement Actions**
- **Educational Initiatives**

Due Diligence Process:

The due diligence process involves thorough research and analysis before making investment decisions. It includes evaluating the fund's objectives, performance track record, investment strategy, risk management practices, and regulatory compliance.

Investor Grievance and Redressal Standards:

Mutual funds are required to have grievance redressal mechanisms in place to address investor complaints promptly and fairly. This includes providing clear channels for complaints, ensuring timely resolution, and adhering to regulatory standards.



AMFI Code of Conduct for Intermediaries

- **Fair and Transparent Practices**
- **Compliance with Regulations**
- **Investor Suitability**
- **Disclosure of Conflicts of Interest**
- **Professional Competence and Integrity**
- **Protection of Investor Information**
- **Complaint Redressal Mechanism**
- **Training and Education**

Thank you



- [Everything you need to know about how a mutual fund is structured - Creators - Trading Q&A by Zerodha - All your queries on trading and markets answered \(tradingqna.com\)](#)
- [https://corporatefinanceinstitute.com/resources/career-map/sell-side/capital-markets/asset-management-company-amc/](#)
- [https://www.adityabirlacapital.com/abc-of-money/roles-and-responsibilities-of-fund-advisor](#)
- [https://cleartax.in/s/mutual-fund-advisor](#)
- [https://www.slideshare.net/santhosh77/role-of-amfipptx#google_vignette](#)
- [https://www.amfiindia.com/aboutamfi#:~:text=The%20role%20of%20AMFI%2C%20inter,India%2C%20Government%20of%20India%20etc.](#)
- [https://www.amfiindia.com/Themes/Theme1/downloads/RevisedCodeofConductforMutualFundDistributors-April2022.pdf](#)
- [https://www.barodabnpparibasmf.in/assets/pdf/distributor/AMFI Guidelines and Norms For Intermediaries.pdf](#)