



# **Prahladrai Dalmia Lions College of Commerce & Economics**

(Government Aided & Affiliated to University of Mumbai & AICTE, New Delhi) NAAC Re- accredited with 'A' Grade (III Cycle)

ISO 21001: 2018 Certified

University of Mumbai Recognized Research Centre in Accountancy,  
Commerce & Business Economics

A Government Approved Hindu Linguistic Minority Institute  
52 Years of Sterling Performance in Education

Date: 17th January 2026

## **NOTICE**



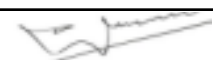
### **B. COM (INVESTMENT MANAGEMENT)**

### **SYBIM (Semester IV)**

### **CIA Internal Project Assignment Submission February, 2026**

#### **Instructions for the students for internal projects submission:**

1. Date & Time of Assignment Submission - **As per the time table given below.**
2. Students have to be present in person for the submission.
3. Internal project topics are also uploaded on the college website.
4. Submission of projects or assignments to be done on proper A4 size paper, handwritten by the candidate himself only.
5. The Front page should contain details of Roll no, Name of the student, Semester, Subject along with certificate provided by the class mentors.
6. If the student fails to present himself on the given date and time he will be marked **ABSENT** for the said subject.
7. A/ny Submissions after the above mentioned date and time will not be accepted an/d entertained under any circumstances.

		
<b>Ms.Mansi Bafna</b>	<b>Ms.Subhashini Naikar</b>	<b>Prof.(Dr.)D.N.Ganjewar</b>
<b>(BIM Co-ordinator)</b>	<b>(Vice-Principal, SFC)</b>	<b>(Principal)</b>

DI/R-IPS/EXAM/00

## **SCHEDULE OF VIVA VOCE SYBIM**

<b>Sr. No</b>	<b>Date</b>	<b>Day</b>	<b>Time</b>	<b>Name of Course</b>	<b>Name of Faculty</b>
<b>1</b>	<b>9th February, 2026</b>	MONDAY	9am	Security Analysis and Portfolio Management	Mansi Bafna
<b>2</b>	<b>10th February, 2026</b>	TUESDAY	11am	Minor in Accounting and Finance paper III	Hitesh Sharma
<b>3</b>	<b>11th February, 2026</b>	WEDNESDAY	9am	Data Driven Investment Strategies	Krishna Gupta
<b>4</b>	<b>11th February, 2026</b>	WEDNESDAY	11am	KYC Documentation And Compliance In Investment Sector	Namrata M
<b>5</b>	<b>12th February, 2026</b>	THURSDAY	11am	Environmental Management & Sustainable Development -II	Dr. Neha Chitlangiya
<b>6</b>	<b>12th February, 2026</b>	THURSDAY	1PM	Business Communication	Manjula Kamath

### **2.SUBJECT - Security Analysis and Portfolio Management**

Answer the following questions

1. Meaning, nature, and scope of Fundamental Analysis
2. Role of Fundamental Analysis in long-term investing
3. Fundamental Analysis in primary vs secondary markets
4. Meaning, nature, and scope of Technical Analysis
5. Basic assumptions of Technical Analysis
6. Technical Analysis as a tool for market timing
7. Difference between Technical Analysis and Fundamental Analysis
8. Role of psychology in Technical Analysis
9. Technical Analysis and behavioral finance
10. Market efficiency and Technical Analysis

### **3.SUBJECT- KYC Documentation And Compliance In Investment Sector**

Assignment (Select Any 2 Topics) from the topics mentioned below-

1. Role and Objectives of KYC in the Investment Sector (investor protection, market integrity, fraud prevention)
2. Regulatory Framework for KYC in Investments: overview of SEBI, PMLA, and related compliance obligations
3. KYC Documentation Standards: Officially Valid Documents (OVDs), proof of identity/address, and common documentation rules
4. KYC Process for Mutual Fund Investors: documentation flow from investor to AMC/RTA/KRA
5. KYC Process for Stockbroking and Trading Accounts: account opening documentation and compliance checkpoints
6. KYC for Depository Accounts (Demat): DP documentation requirements and compliance controls
7. In-Person Verification (IPV) and Its Compliance Importance in investment onboarding
8. e-KYC and Digital Onboarding in Investments: e-sign, OTP-based verification, and video verification (conceptual framework)
9. Central KYC (CKYC) System: purpose, CKYC number, and how it supports investment onboarding
10. Role of KYC Registration Agencies (KRAs): functions, data sharing, and benefits for market participants
11. Risk-Based KYC in Investments: customer risk profiling, risk categories, and enhanced due diligence triggers
12. Enhanced Due Diligence (EDD) in the Investment Sector: cases such as high-risk clients, unusual patterns, and large transactions
13. KYC for NRIs/Foreign Investors: documentation, address verification challenges, and compliance considerations
14. KYC for Minors and Joint Holders in Investment Accounts: documentation and operational handling
15. KYC Documentation for Non-Individuals: companies, partnership firms, LLPs, trusts—required documents and authorization checks
16. Beneficial Ownership (UBO) in Investments: meaning, identification, and compliance relevance for non-individual accounts
17. FATCA/CRS Compliance in Investments: purpose, investor declarations, and documentation implications

18. Sanctions Screening and PEP Checks: concept, rationale, and compliance handling in investment onboarding
19. Record Keeping, Audit Trail, and Data Retention in KYC: documentation storage, retrieval, and compliance audits
20. Common KYC Non-Compliance Issues in Investments: typical gaps, consequences (penalties/rejections), and preventive controls

#### GUIDELINES FOR THE ASSIGNMENT-

- A. Introduction
- B. Key Definitions / Concepts
- C. Detailed Explanation
- D. Diagram / Flowchart / Table
- E. Advantages and Limitations
- F. Applications / Examples
- G. Conclusion

#### Length and Presentation

- Total length: 10–12 pages (A4) excluding cover page.

#### Diagram Requirement (Important)

- Each topic must include at least one of the following:
  - Flowchart, block diagram, conceptual framework, comparison table, or labeled illustration.
- Diagrams can be hand-drawn and must be neat and labeled.

#### 4.SUBJECT- Environmental Management & Sustainable Development -II

SYBIM- SEMESTER IV- EMSD II

#### ASSIGNMENT QUESTIONS

1. Explain in short primary & secondary pollutants.
2. Define noise. Discuss its adverse impact on human health
3. State the sources and impact of thermal pollution

4. Discuss Cost-Benefit Analysis.
5. Discuss the concept of 3R and Sustainability with the help of examples
6. Elaborate Millennium Development Goals.
7. Write a short note on:
  - a. Ramsar Convention on Wetlands, 1971
  - b. Montreal Protocol, 1987
8. Write a short note on:
  - a. The Water (Prevention and Control of Pollution) Act, 1974
  - b. The Environment (Protection) Act,

ALL THE QUESTIONS ARE COMPULSORY

5.SUBJECT- Minor in Accounting and Finance paper III

- 1)Accounting standard AS and IFRS
- 2)Explain important concept
  - A)Realisation
  - B) Accural
  - C) Materiality
  - D)Dual aspect.
  - E)Convertism
  - F)Consistency concept
  - G)Cost concept
  - H)Money measurement
- 3)Meaning & Definition Double entry book keeping. keeping
- 4) Advantage of Double entry Book keeping system

6.SUBJECT- Business Communication

1. Define interview and steps involved in interviewing process
2. Discuss WASP technique of interview
3. Steps involved in conducting an appraisal interview
4. Online interview
5. Advantages and disadvantages of an interview

6.Business Communication

20 marks assignment for Business Communication.

1. Define interview and steps involved in interviewing process
2. Discuss WASP technique of interview
3. Steps involved in conducting an appraisal interview
4. Online interview
5. Advantages and disadvantages of an interview

This needs to be handwritten and needs to be submitted on the given date.

Note: Subject : Data Driven Investment Strategies assignment will be uploaded Separately .