Training Delivery Plan			
Program Name:	**Mutual Fund Agent**		
Qualification Pack Name & Ref. ID	**Mutual Fund Agent: BSC / Q 0601**		
Version No.	**.01**	**Version Update Date**	**07/08/2013**
Pre-requisites to Training (if any)	**Minimum level: Class XII** **Maximum level: Post Graduate** **Industry certification or Training by organization**		
Training Outcomes	**By the end of this program, the participants would have achieved the following competencies:** **1.** Conduct research on mutual funds **2.** Market and sale mutual fund **3.** Assist with purchase of mutual fund **4.** Perform after-sales activities		

S.No.	Module Name	Session Name	Session Objectives	NOS Reference	Methodology	Training Tools/Aids	Duration
1	Conduct research on mutual funds	Update knowledge On Mutual Fund Market	• Research the mutual fund market to determine top performing funds, investor interests, trends etc. • Analyze features of top funds and factors influencing them • Rank and compare performance of top funds with mutual funds offered by organization as well as other major indices such as SENSEX, NIFTY etc. • Register for regular stock market updates for additional insights • Draw up key insights and trends on the mutual fund market	BSC/ N 0601 PC1,PC2,PC3, PC4,PC5,PC6, KA1,KA2,KA3, KA4,KA5,KB1, KB2,KB3,KB4, KB5,SA3,SA4, SB3,SB4,SB5, SB6,SB7,SB8, SB9	Facilitation with PPT, Videos, Trainer led classroom discussion	White board, Marker, Overhead projector, Laptop, Internet access, Worksheets are available in Participant Workbook, All the activities are described in the Facilitator’s Guide	4 hrs

			• Speak to existing customers to gain customer perspective on the mutual fund market performance				
		Keep Up To Date On Regulations And Guidelines	• Regularly update oneself on changes in scheme information and norms in the mutual fund industry • Regularly update oneself on Stock Exchange Board of India (SEBI) mutual fund regulations and sales guidelines • Research potential customer base ideal for mutual fund schemes offered by organization • Develop basic profile of target customers according to research conducted	BSC/ N 0601 PC7,PC8,PC9, PC10,KA6,KA7, KA8,KA9,KA10, KA11,KB6,KB7, SA5,SA6,SA7	Facilitation with PPT, Videos, Trainer led classroom discussion	White board, Marker, Overhead projector, Laptop, Internet access, Worksheets are available in Participant Workbook, All the activities are described in the Facilitator's Guide	8 hrs
		Perform General/ Administrative Tasks	• Share reports/presentations developed with peers and customers • Share insights regarding possible poor performance of organization's mutual funds with supervisors for addressing	PC11,PC12,KB8, KB9,SA1,SA2, SB1,SB2	Facilitation with PPT, Videos, Trainer led classroom discussion	White board, Marker, Overhead projector, Laptop, Internet access, Worksheets are available in Participant Workbook, All the activities are described in the Facilitator's Guide	4 hrs

		Activity on updating knowledge On Mutual Fund Market	• Research the mutual fund market to determine top performing funds, investor interests, trends etc. • Analyze features of top funds and factors influencing them • Rank and compare performance of top funds with mutual funds offered by organization as well as other major indices such as SENSEX, NIFTY etc. • Register for regular stock market updates for additional insights • Draw up key insights and trends on the mutual fund market • Speak to existing customers to gain customer perspective on the mutual fund market performance	BSC/ N 0601 PC1,PC2,PC3, PC4,PC5,PC6, KA1,KA2,KA3, KA4,KA5,KB1, KB2,KB3,KB4, KB5,SA3,SA4, SB3,SB4,SB5, SB6,SB7,SB8, SB9	Internet Research, Project Preparation and Presentation	White board, Marker, Overhead projector, Laptop, Internet access, Worksheets are available in Participant Workbook, All the activities are described in the Facilitator’s Guide	8hrs
		Activity on keeping up to date on regulations and guidelines	• Regularly update oneself on changes in scheme information and norms in the mutual fund industry • Regularly update oneself on Stock Exchange Board of India (SEBI) mutual fund regulations and sales guidelines • Research potential customer base ideal for mutual fund schemes offered by organization • Develop basic profile of target customers according to research conducted	BSC/ N 0601 PC7,PC8,PC9, PC10,KA6,KA7, KA8,KA9,KA10, KA11,KB6,KB7, SA5,SA6,SA7	Internet Research, Project Preparation and Presentation, Case study	White board, Marker, Overhead projector, Laptop, Internet access, Worksheets are available in Participant Workbook, All the activities are described in the Facilitator’s Guide	14 hrs
		Activity on performing General/	• Share reports/presentations developed with peers and customers	PC11,PC12,KB8, KB9,SA1,SA2, SB1,SB2	Flipchart Preparation and Quiz	White board, Marker, Overhead projector, Laptop,	5hrs

		Administrative Tasks	• Share insights regarding possible poor performance of organization's mutual funds with supervisors for addressal			Internet access, Worksheets are available in Participant Workbook, All the activities are described in the Facilitator's Guide	
		Field Visit- Mutual Fund organizations	• Research the mutual fund market to determine top performing funds, investor interests, trends etc. • Analyze features of top funds and factors influencing them • Rank and compare performance of top funds with mutual funds offered by organization as well as other major indices such as SENSEX, NIFTY etc. • Register for regular stock market updates for additional insights • Draw up key insights and trends on the mutual fund market • Speak to existing customers to gain customer perspective on the mutual fund market performance	BSC/ N 0601 PC1,PC2,PC3, PC4,PC5,PC6, KA1,KA2,KA3, KA4,KA5,KB1, KB2,KB3,KB4, KB5,SA3,SA4, SB3,SB4,SB5, SB6,SB7,SB8, SB9	Field visit, Project preparation based on field work. Presentation of project in classroom	Tie up organizations/ institutions where the field visit needs to be done	10 hrs
2	Market and sale mutual fund	Approach And Market Various Mutual Funds Schemes To Prospective Customer Identified	• Approach prospective customers from leads given by supervisor/manager or through referral network to market the mutual funds • Respond to new customers who approach organization for purchasing mutual funds	BSC/ N 0602 PC1,PC2,PC3, PC4,PC5,KA1, KA2,KA3,KA4, KA5,KA6,KA7, KB1,KB2,KB3, KB4,KB5,KB6, SA3,SA4,SA5, SB1,SB2	Facilitation with PPT, Videos, Trainer led classroom discussion	White board, Marker, Overhead projector, Laptop, Internet access, Worksheets are available in Participant Workbook, All the activities are	6 hrs

			• Educate first-time prospective customers on mutual fund schemes and the functioning of the mutual fund market • Inform the investor on the various schemes and products offered by the organization • Use market analysis conducted to share market trends and insights into the mutual fund market			described in the Facilitator's Guide	
		Assist Customer With Determining Most Suitable Mutual Fund Scheme According To Needs	• Listen to prospective customer's needs and financial requirements to understand their financial goals • Map the prospective customer's goals to appropriate mutual fund schemes available • Suggest schemes and highlight their benefits and success factors • Provide details of the suggested mutual fund scheme's past and projected performance • Conduct a risk profiling of prospective customer to verify if their risk appetite is in line with the mutual fund scheme's risk rating • Disclose details of discussed schemes including risk level of the investment options	BSC/ N 0602 PC6,PC7, PC8, PC9,PC10,PC11, PC12,PC13,PC14, PC15,PC16,PC17, KA12,KA13,KA14, KB7,KB8,KB9,SA6, SA7,SA8,SB3,SB4, SB5	Facilitation with PPT, Videos, Trainer led classroom discussion	White board, Marker, Overhead projector, Laptop, Internet access, Worksheets are available in Participant Workbook, All the activities are described in the Facilitator's Guide	6 hrs

			• Calculate dividends and other payments receivable to customer for suggested product • Provide customer with brochures and documents outlining the mutual fund scheme • Inform the customer about investment approach and risk control in simple terms. • Explain the terms and conditions of the mutual fund and commissions received for the scheme • Explain circumstances and implications in the case of an early termination, if Applicable • Disclose if investment includes derivatives and respond to any queries on the same the prospective customer may have				
		Receive Approval For Initiating Purchase Process	• Receive approval from customer for purchasing the fund and initiate the purchase process • Explain the process of purchasing the mutual fund, the documents required and processing timelines to the customer	BSC/ N 0602 PC18,PC19,KA8, KA9,KB10,KB11, KB12,SB6,SB7	Facilitation with PPT, Videos, Trainer led classroom discussion	White board, Marker, Overhead projector, Laptop, Internet access, Worksheets are available in Participant Workbook, All the activities are described in the Facilitator's Guide	6 hrs
		Perform General/	• Prepare reports on number mutual funds sold and submit to supervisor/manager	BSC/ N 0602 PC20,PC21,PC22, PC23,KA10,KA11,	Facilitation with PPT, Videos, Trainer led classroom discussion	White board, Marker, Overhead projector, Laptop,	4 hrs

		Administrative Tasks	• Prepare internal reports on number of leads converted into sales • Discuss with supervisor/manager to set or update sales/revenue targets • Share insights regarding possible poor performance of organization's mutual funds with supervisors for addressal	SA1,SA2, SB8,SB9		Internet access, Worksheets are available in Participant Workbook, All the activities are described in the Facilitator's Guide	
		Activity on Approaching And Marketing Various Mutual Funds Schemes To Prospective Customer Identified	• Approach prospective customers from leads given by supervisor/manager or through referral network to market the mutual funds • Respond to new customers who approach organization for purchasing mutual funds • Educate first-time prospective customers on mutual fund schemes and the functioning of the mutual fund market • Inform the investor on the various schemes and products offered by the organization • Use market analysis conducted to share market trends and insights into the mutual fund market	BSC/ N 0602 PC1,PC2,PC3, PC4,PC5,KA1, KA2,KA3,KA4, KA5,KA6,KA7, KB1,KB2,KB3, KB4,KB5,KB6, SA3,SA4,SA5, SB1,SB2	Flipchart Presentation, Role Play and Classroom Discussion	White board, Marker, Overhead projector, Laptop, Internet access, Worksheets are available in Participant Workbook, All the activities are described in the Facilitator's Guide	12 hrs

		Activity on Assisting Customer With Determining Most Suitable Mutual Fund Scheme According To Needs	• Listen to prospective customer's needs and financial requirements to understand their financial goals • Map the prospective customer's goals to appropriate mutual fund schemes available • Suggest schemes and highlight their benefits and success factors • Provide details of the suggested mutual fund scheme's past and projected performance • Conduct a risk profiling of prospective customer to verify if their risk appetite is in line with the mutual fund scheme's risk rating • Disclose details of discussed schemes including risk level of the investment options • Calculate dividends and other payments receivable to customer for suggested product • Provide customer with brochures and documents outlining the mutual fund scheme • Inform the customer about investment approach and risk control in simple terms. • Explain the terms and conditions of the mutual fund and commissions received for the scheme	BSC/ N 0602 PC6,PC7, PC8, PC9,PC10,PC11, PC12,PC13,PC14, PC15,PC16,PC17, KA12,KA13,KA14, KB7,KB8,KB9,SA6, SA7,SA8,SB3,SB4, SB5	Field Visit, Project Preparation, Case Study	White board, Marker, Overhead projector, Laptop, Internet access, Worksheets are available in Participant Workbook, All the activities are described in the Facilitator's Guide	12 hrs

			• Explain circumstances and implications in the case of an early termination, if Applicable • Disclose if investment includes derivatives and respond to any queries on the same the prospective customer may have				
		Activity on Receiving Approval For Initiating Purchase Process	• Receive approval from customer for purchasing the fund and initiate the purchase process • Explain the process of purchasing the mutual fund, the documents required and processing timelines to the customer	BSC/ N 0602 PC18,PC19,KA8, KA9,KB10,KB11, KB12,SB6,SB7	Role Play and Classroom Discussion, Case Study, Quiz	White board, Marker, Overhead projector, Laptop, Internet access, Worksheets are available in Participant Workbook, All the activities are described in the Facilitator’s Guide	8 hrs
		Activity on Performing General/ Administrative Tasks	• Prepare reports on number mutual funds sold and submit to supervisor/manager • Prepare internal reports on number of leads converted into sales • Discuss with supervisor/manager to set or update sales/revenue targets • Share insights regarding possible poor performance of organization’s mutual funds with supervisors for addressal	BSC/ N 0602 PC20,PC21,PC22, PC23,KA10,KA11, SA1,SA2, SB8,SB9	Role Plays, Simulations, Brainstorming, Group Discussion, Assessment	White board, Marker, Overhead projector, Laptop, Internet access, Worksheets are available in Participant Workbook, All the activities are described in the Facilitator’s Guide	5 hrs

3	Assist with purchase of mutual fund	Assist Customer With The Application Process For Purchasing The Mutual Fund	• Provide Customer/Investor with forms required for application for purchase of the mutual fund • Assist Investor in filling in the required forms and obtaining necessary documents for processing the purchase • Explain the payment process and accepted payment methods to the customer	BSC/ N 0603 PC1,PC2,PC3,KA1 KA2,KA3,KA4,KA5, KB1,KB2,KB3,KB4, SA3,SA4,SA5,SA6, SA7,SB10,SB1	Facilitation with PPT, Videos, Trainer led classroom discussion	White board, Marker, Overhead projector, Laptop, Internet access, Worksheets are available in Participant Workbook, All the activities are described in the Facilitator's Guide	4 hrs
		Collect And Ensure Payments Are Processed At The Bank/Organization	• Complete purchase process by collecting payment through accepted channels such as cheque demand draft, online transfer • Submit the application forms and payment collected to the processing team at the bank/organization • Provide customer with acknowledgement of application and payment received • Receive notification from processing team if payment has been successful • Assist the investor and resolve any issue in the case of rejection of payment	BSC/ N 0603 PC4,PC5,PC6,PC7, PC8,KA6,KA7,KA8 KA12,KB5,KB6, KB7,SB11,SB2, SB3,SB12	Facilitation with PPT, Videos, Trainer led classroom discussion	White board, Marker, Overhead projector, Laptop, Internet access, Worksheets are available in Participant Workbook, All the activities are described in the Facilitator's Guide	4 hrs
		Deliver Proof Of Purchase And Plan Follow-Up Sessions	• Collect mutual fund certificate from the bank/organization • Deliver mutual fund certificate to investor	BSC/ N 0603 PC9,PC10,PC11, PC12,KA9,KA10 KB8,KB9,SB4	Facilitation with PPT, Videos, Trainer led classroom discussion	White board, Marker, Overhead projector, Laptop, Internet access, Worksheets are available in	4 hrs

			• Upload purchase history and investor details into the information system or records maintained by the organization • Plan periodic follow-up sessions with customer if required			Participant Workbook, All the activities are described in the Facilitator's Guide	
		Perform General/ Administrative Tasks	• Prepare reports on processed mutual fund applications and certificates delivered • Discuss with supervisor/manager to set or update sales/revenue targets • Share insights regarding possible poor performance of organization's mutual funds with supervisors for addressal	BSC/ N 0603 PC13,PC14,PC15, KA10,KA11,KB10, SA1,SA2,SB13,SB5	Facilitation with PPT, Videos, Trainer led classroom discussion	White board, Marker, Overhead projector, Laptop, Internet access, Worksheets are available in Participant Workbook, All the activities are described in the Facilitator's Guide	3 hrs
		Activity on Assisting Customer With The Application Process For Purchasing The Mutual Fund	• Provide Customer/Investor with forms required for application for purchase of the mutual fund • Assist Investor in filling in the required forms and obtaining necessary documents for processing the purchase • Explain the payment process and accepted payment methods to the customer	BSC/ N 0603 PC1,PC2,PC3,KA1 KA2,KA3,KA4,KA5, KB1,KB2,KB3,KB4, SA3,SA4,SA5,SA6, SA7,SB10,SB1	Role Play, Practical Exercise in Classroom, Case Studies, Online Assessments	White board, Marker, Overhead projector, Laptop, Internet access, Worksheets are available in Participant Workbook, All the activities are described in the Facilitator's Guide	8 hrs

		Activity on Collection And Ensuring that Payments Are Processed At The Bank/Organization	• Complete purchase process by collecting payment through accepted channels such as cheque demand draft, online transfer • Submit the application forms and payment collected to the processing team at the bank/organization • Provide customer with acknowledgement of application and payment received • Receive notification from processing team if payment has been successful • Assist the investor and resolve any issue in the case of rejection of payment	BSC/ N 0603 PC4,PC5,PC6,PC7, PC8,KA6,KA7,KA8 KA12,KB5,KB6, KB7,SB11,SB2, SB3,SB12	Role Play, Practical Exercise in Classroom, Case Studies, Online Assessments	White board, Marker, Overhead projector, Laptop, Internet access, Worksheets are available in Participant Workbook, All the activities are described in the Facilitator's Guide	6 hrs
		Activity on Delivering Proof Of Purchase And Planning Follow-Up Sessions	• Collect mutual fund certificate from the bank/organization • Deliver mutual fund certificate to investor • Upload purchase history and investor details into the information system or records maintained by the organization • Plan periodic follow-up sessions with customer if required	BSC/ N 0603 PC9,PC10,PC11, PC12,KA9,KA10 KB8,KB9,SB4	Field Visit, Project Preparation, Case Study	White board, Marker, Overhead projector, Laptop, Internet access, Worksheets are available in Participant Workbook, All the activities are described in the Facilitator's Guide	8 hrs
		Activity to perform General/ Administrative Tasks	• Prepare reports on processed mutual fund applications and certificates delivered	BSC/ N 0603 PC13,PC14,PC15, KA10,KA11,KB10, SA1,SA2,SB13,SB5	Flipchart presentation, Report Making	White board, Marker, Overhead projector, Laptop, Internet access, Worksheets are	3 hours

			• Discuss with supervisor/manager to set or update sales/revenue targets • Share insights regarding possible poor performance of organization's mutual funds with supervisors for addressal			available in Participant Workbook, All the activities are described in the Facilitator's Guide	
4	Perform after-sales activities	Post Sales Service-Developing Long-Term Relationships With Customers	• Build and maintain long-term relationships with customers • Plan and execute regular follow-up visits with customer to periodically review customers financial goals	BSC/ N 0604 PC1,PC2,KA8, KA9,KA10,KB4, SA7,SA8,SB3,SB4	Facilitation with PPT, Videos, Trainer led classroom discussion	White board, Marker, Overhead projector, Laptop, Internet access, Worksheets are available in Participant Workbook, All the activities are described in the Facilitator's Guide	6 hrs
		Post Sales Service-Responding To Customer Queries And Clarifications And Advise The Customers On Existing Product And New Schemes	• Respond to any customer queries or clarifications regarding the performance of the mutual fund • Inform customers of any change in performances that might impact their investment • Provide post-sale customer services such as delivering forms for change of address, delivering payments, setting-up automatic updates etc. • Maintain shareholder account statements and financial documents released and update the customers on the same. • Re-map customer requirements according to their current financial	BSC/ N 0604 PC3,PC4,PC5,PC6, PC7,PC8,KA1,KA2, KA3,KA4,KA5,KA6, KA7,KB1,KB2,KB3, KB5,KB6,KB7,KB8, SA4,SA5,SA6,SB1, SB2	Facilitation with PPT, Videos, Trainer led classroom discussion	White board, Marker, Overhead projector, Laptop, Internet access, Worksheets are available in Participant Workbook, All the activities are described in the Facilitator's Guide	6 hrs

			status offer additional schemes if needed • Assist customers with managing their risk with respect to the funds invested prior to acquisition				
		Assisting In Termination Of Investment	• Assist in the termination process when customers wish to close their investment before the tenure of the fund is complete • Submit the termination request and obtain all the documents necessary for the same from the customer • Process the cancellation of the mutual fund certificate once termination process is complete • Process payments in case the term of the mutual fund is also complete or extend the investment period further according to customers instructions	BSC/ N 0604 PC9,PC10,PC11, PC12,KA11,KA12, KA13,KB9,KB10, KB11,KB12,KB13, SB5,SB6,SB7	Facilitation with PPT, Videos, Trainer led classroom discussion	White board, Marker, Overhead projector, Laptop, Internet access, Worksheets are available in Participant Workbook, All the activities are described in the Facilitator's Guide	2 hrs
		Perform General/Administrative Tasks	• Prepare reports on status of funds held by customers • Prepare reports on number funds terminated early • Update information of customer into the digital system/records, if applicable • Discuss with supervisor/manager to set or update sales/revenue targets • Share insights regarding possible poor performance of organization's mutual funds with supervisors for addressal	BSC/ N 0604 PC13,PC14,PC15, PC16,PC17,KA14, SA1,SA2,SA3,SB8, SB9	Facilitation with PPT, Videos, Trainer led classroom discussion	White board, Marker, Overhead projector, Laptop, Internet access, Worksheets are available in Participant Workbook, All the activities are described in the Facilitator's Guide	1 hr

		Activity on Post Sales Service- Developing Long-Term Relationships With Customers	• Build and maintain long-term relationships with customers • Plan and execute regular follow-up visits with customer to periodically review customers financial goals	BSC/ N 0604 PC1,PC2,KA8, KA9,KA10,KB4, SA7,SA8,SB3,SB4	Internet Research, Flipchart Preparation and presentation, Quiz	White board, Marker, Overhead projector, Laptop, Internet access, Worksheets are available in Participant Workbook, All the activities are described in the Facilitator's Guide	8 hrs
		Activity on Responding To Customer Queries And Clarifications And Advise The Customers On Existing Product And New Schemes	• Respond to any customer queries or clarifications regarding the performance of the mutual fund • Inform customers of any change in performances that might impact their investment • Provide post-sale customer services such as delivering forms for change of address, delivering payments, setting-up automatic updates etc. • Maintain shareholder account statements and financial documents released and update the customers on the same. • Re-map customer requirements according to their current financial status offer additional schemes if needed • Assist customers with managing their risk with respect to the funds invested prior to acquisition	BSC/ N 0604 PC3,PC4,PC5,PC6, PC7,PC8,KA1,KA2, KA3,KA4,KA5,KA6, KA7,KB1,KB2,KB3, KB5,KB6,KB7,KB8, SA4,SA5,SA6,SB1, SB2	Role Play, Practical Exercise in Classroom, Case Studies, Online Assessments	White board, Marker, Overhead projector, Laptop, Internet access, Worksheets are available in Participant Workbook, All the activities are described in the Facilitator's Guide	8 hrs

		Activity on Assisting In Termination Of Investment	• Assist in the termination process when customers wish to close their investment before the tenure of the fund is complete • Submit the termination request and obtain all the documents necessary for the same from the customer • Process the cancellation of the mutual fund certificate once termination process is complete • Process payments in case the term of the mutual fund is also complete or extend the investment period further according to customers instructions	BSC/ N 0604 PC9,PC10,PC11, PC12,KA11,KA12, KA13,KB9,KB10, KB11,KB12,KB13, SB5,SB6,SB7	Internet Research, Project preparation and Presentation, Quiz	White board, Marker, Overhead projector, Laptop, Internet access, Worksheets are available in Participant Workbook, All the activities are described in the Facilitator's Guide	5 hrs
		Activity on Performing General/Administrative Tasks	• Prepare reports on status of funds held by customers • Prepare reports on number funds terminated early • Update information of customer into the digital system/records, if applicable • Discuss with supervisor/manager to set or update sales/revenue targets • Share insights regarding possible poor performance of organization's • mutual funds with supervisors for addressal	BSC/ N 0604 PC13,PC14,PC15, PC16,PC17,KA14, SA1,SA2,SA3,SB8, SB9	Role play, Simulations, Online assessments	White board, Marker, Overhead projector, Laptop, Internet access, Worksheets are available in Participant Workbook, All the activities are described in the Facilitator's Guide	4 hrs

Total: 200 hours