

**Two Days Workshop conducted by ABS, AUUP**  
**on**  
**“Investment Planning & Capital Markets”**  
**Collaboration with National Institute of Security Market (NISM)**

Amity Business School, Amity University Uttar Pradesh, in collaboration with the National Institute of Securities Markets (NISM)—a capacity building initiative of the Securities and Exchange Board of India (SEBI)—organized a two-day workshop on **“Investment Planning & Capital Markets”** on 28<sup>th</sup> and 29<sup>th</sup> July 2025.

The financial services landscape in India is undergoing a rapid transformation, driven by digitization, regulatory reforms, and an increasing emphasis on investor education. In this context, equipping future professionals with a strong foundation in investment planning, capital markets, and regulatory compliance has become critically important.

This workshop was designed as an experiential learning platform for students specializing in Finance, Management, and allied domains. Its core objective was to enhance participants’ understanding of capital market instruments, portfolio strategies, risk-return frameworks, and regulatory mechanisms governed by SEBI.

The sessions were taken by Dr. Mukul Jain, an empanelled NISM-SEBI faculty member and Corporate Trainer. The workshop integrated theoretical knowledge with practical applications. Students engaged in structured learning modules, including real-world case analysis, portfolio simulations, and compliance-based decision-making exercises.



**Session Coordinators:** - Dr. Lakhwinder Kaur Dhillon Associate Professor & Head Department of Accounts and Finance, Dr Vijit Chaturvedi, Head-Dept of OB, HR & Psychology Professor; Dr. Ritu Wadhwa, Associate Professor, Department of Accounts and Finance; Dr. Richa Sharma, Professor, OB, HR & Psychology, Amity Business School, AUUP

## **Day 1 : Foundational Financial Literacy and Investment Strategies (28-07-2025)**

The inaugural session commenced with an introduction to the **importance of investment planning** in achieving long-term financial security. Dr. Mukul Jain emphasized how early awareness and disciplined financial behavior contribute significantly to wealth creation.

### **Key Concepts Discussed:**

- **Time Value of Money & Inflation Impact:** Dr. Jain used relatable scenarios to explain how inflation erodes purchasing power and why early investment is key.
- **Personal Budgeting & Financial Goal Setting:** Students learned techniques to allocate income for necessities, savings, and discretionary spending.
- **Risk-Return Framework:** The fundamental investment triangle—Risk, Return, Liquidity was unpacked to help students evaluate investment vehicles.
- **Asset Classes Explored:** A comprehensive overview of:
  - Equity (stocks, mutual funds)
  - Debt (bonds, fixed deposits)
  - Hybrid Instruments, Commodities & Gold Real Estate
- **Government Schemes & Savings Plans:** Insightful discussion on:
  - PPF, NSC, and Sukanya Samriddhi Yojana
  - Importance of long-term tax-saving instruments
- **Banking Essentials:** Explanation of three key financial accounts:
  - Bank Account
  - Trading Account
  - Demat Account

### **Learning Outcomes:**

Participants carried away with:

- A structured understanding of core financial instruments
- Clarity on how to create a diversified investment portfolio
- Awareness of regulatory institutions like SEBI and NISM
- Insight into the practical setup of trading infrastructure

This impactful workshop marks a significant stride in enhancing financial literacy and investor confidence among students, bridging the gap between academic understanding and market realities.

The session provided a comprehensive understanding of the foundational principles of financial literacy, with a particular emphasis on adolescent awareness and empowerment. By connecting personal financial decision-making to broader life skills such as planning, responsibility, and resilience, the session highlighted how early financial education plays a pivotal role in shaping confident and capable future leaders. Aligned with NISM's commitment to investor education and financial capability building, the session served as a meaningful step toward fostering informed, disciplined, and self-reliant individuals.



## **Day 2: Financial Markets, Mutual Funds & Primary Market Fundamentals (29-07-2025)**

The session commenced with a warm welcome, introductions, and an ice-breaker to foster engagement. A pre-session quiz was conducted to assess basic financial awareness among participants. A ceremonial sapling was presented to Dr. Mukul Jain as a symbol of growth and appreciation.

### **Key Concepts Discussed:**

- **Introduction to Financial Markets:** Participants were introduced to the structure and functioning of capital markets, highlighting the role of SEBI and other regulatory bodies in ensuring investor protection.

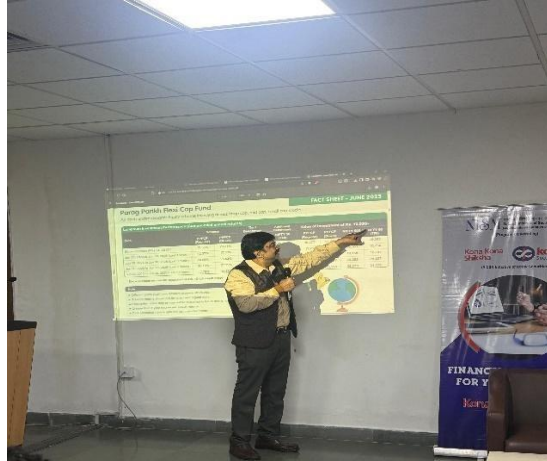
- **Understanding Mutual Funds:** The concept of mutual funds was explained in detail, including:
  - Types of funds: Equity, Debt, Hybrid
  - Fund categories: Growth vs. Dividend, Direct vs. Regular
  - The role of Asset Management Companies (AMCs)
  - Fund selection methods based on risk appetite
- **Risk and Return Analysis:** Also explained how investors can evaluate mutual funds using the **Risk-o-Meter**, along with tools like NAV and SIP for structured investment.
- **Key Investment Documents:** Participants learned how to navigate and interpret:
  - Scheme Information Document (SID)
  - Statement of Additional Information (SAI)
  - SEBI's regulatory Rule 110
- **Live Demonstration:** The Grow app was used to demonstrate how to access mutual fund details, compare performance, and make informed investment decisions.
- **Primary Market and IPOs:** The concept of **Initial Public Offerings (IPOs)** was introduced, including:
  - IPO Process
  - Draft Red Herring Prospectus (DRHP)
  - How to analyse IPOs using financial portals and news sources
  - Importance of regulatory compliance in primary markets
- **Capital Flex Funds & Risk Profiling:** Students gained exposure to flexible capital funds and how they manage risk. Real-life scenarios involving risk in equity and debt markets were discussed along with the role of diversification.

## Learning Outcomes:

Participants take away with:

- A clear understanding of mutual fund structures and market-linked products
- Practical exposure to IPO processes and DRHP analysis
- Familiarity with SEBI regulations and investor protection tools
- Skills to compare and assess mutual funds using apps and portals
- Deeper insights into risk management and capital market infrastructure

This session not only highlighted the intricacies of adolescent development but also drew meaningful parallels to leadership development in organizational settings. By placing emotional intelligence at the heart of both parenting and leadership, the session effectively linked personal development with professional success—underscoring the foundational values of the NISM workshop series.



The financial literacy workshop conducted by the National Institute of Securities Markets (NISM) as part of its educational outreach in 2025 successfully empowered student participants with crucial financial skills, leadership awareness, and future-ready capabilities. Through a series of immersive and theme-based sessions, the program laid the foundation for responsible financial behaviour, self-leadership, and social consciousness among youth. In alignment with NISM's mission to build financially aware and empowered citizens, the workshop successfully reinforced the values of responsibility, inclusiveness, and strategic thinking—essential traits for young individuals aspiring to be future-ready professionals and contributors to India's development.