

PRESENT

# FINANCIAL ADVISOR AWARDS 2015-16

## NOMINATION APPLICATION FORM

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### Financial Advisor of the Year - Banks

**Nomination Application Form**  
(Please read instructions carefully)

These awards aim to recognize and reward the work that financial advisors have done in the past year. The information sought in this form will be analyzed to help develop a 360 degree view of your business from a qualitative as well as a quantitative perspective. No single data point will be used in isolation during the shortlisting process. ICRA powers this methodology and uses weighted scores to arrive at the shortlist and the entire process is synchronized with the environment so as to adapt to the same before identifying the top performers each year.

Note: Wherever applicable, all the amounts are required to be filled in the denomination of Rs. Crore. These amounts should be mentioned in number format only. For eg. Rs. 100 Crore should be mentioned as only 100 in respective boxes / fields.

1. Category:

Private     PSU     Foreign

Please tick the category applied for on the basis of the following definitions:

- Banks are defined as those who are governed by the Banking Regulations Act 1949 & regulated by RBI.

2. What is the business model of your bank?

Advisor     Distributor

3. ARN Registration No.

4. Address for correspondence \_\_\_\_\_

Contact person for correspondence \_\_\_\_\_

City: \_\_\_\_\_ State: \_\_\_\_\_ Pin: \_\_\_\_\_ Tel No.: \_\_\_\_\_ Mobile: \_\_\_\_\_

Website address: \_\_\_\_\_ E-mail ID: \_\_\_\_\_ Twitter handle \_\_\_\_\_

5. Full legal name (entity/organisation) \_\_\_\_\_

6. Date of incorporation/establishment \_\_\_\_\_

7. Tick all type(s) of advisory services that you provide:

- |  |   |
|--|---|
| <input type="checkbox"/> Financial planning services                   | <input type="checkbox"/> Portfolio management for individuals and/or small businesses                         |
| <input type="checkbox"/> Portfolio management for investment companies | <input type="checkbox"/> Portfolio management for businesses or institutional clients                         |
| <input type="checkbox"/> Pension consulting services                   | <input type="checkbox"/> Selection of other advisors  |
| <input type="checkbox"/> Publication of periodicals or newsletters     | <input type="checkbox"/> Security ratings or pricing services <input type="checkbox"/> Market timing services |
| <input type="checkbox"/> Others (Please specify) _____                 |   |

8. Number of years in operation of your Financial Advisory business:     >10     6-10     3-5     0-2

**Infrastructure:**

9. Number of sales employees (excluding clerical) in selling MF financial advisory:

Financial Year	Total
April 2014 - March 2015	_____
April 2013 - March 2014	_____

Include only those employees that are directly engaged in the business of advising on investment decisions of clients. Include full and part-time employees but do not include any clerical workers. If you are organized as a sole proprietorship, include yourself as an employee.

10. Names of Branches:

Top Cities: \_\_\_\_\_ Other Cities: \_\_\_\_\_

List of top cities – Mumbai (including Thane and Navi Mumbai), Delhi (including NCR), Bengaluru, Kolkata, Chennai, Pune, Ahmedabad, Hyderabad, Baroda, Panjim, Jaipur, Lucknow, Surat, Kanpur, Chandigarh

No. of branches: Top Cities: \_\_\_\_\_ Other Cities: \_\_\_\_\_ Total: \_\_\_\_\_

11. Software used for financial advisory:

No

Yes (Please Specify) \_\_\_\_\_

**Financial Advisory:**

12. Assets Under Management (Amt. in Rs. Crores) (For all products)

April 2014 - March 2015 \_\_\_\_\_ April 2013 - March 2014 \_\_\_\_\_

Please include only client's Assets Under Management from which you are deriving tangible financial advisory income. Monthly average AUM can be calculated as average of AUM at the end of each month i.e.  $((M1+M2+M3.....M12)/12)$

13. Asset Profile (specify as value of total client's Assets Under Management) (Amt. in Rs. Crores)

Financial Year	Debt + Cash/Liquid				Equity + Balanced Fund				Hybrid / Others				Total
	Top Cities		Other Cities		Top Cities		Other Cities		Top Cities		Other Cities		
	Top 5 Fund Houses	Top 6-15 Fund Houses	Top 5 Fund Houses	Top 6-15 Fund Houses	Top 5 Fund Houses	Top 6-15 Fund Houses	Top 5 Fund Houses	Top 6-15 Fund Houses	Top 5 Fund Houses	Top 6-15 Fund Houses	Top 5 Fund Houses	Top 6-15 Fund Houses	
April 2014- March 2015													
April 2013- March 2014													

For the definition of top cities please refer Q.10

14. Indicate value proportion of financial advisory income of total income (Amt. in Rs. Crores)

Financial Year	Equity + Balanced Fund	Debt + Cash/Liquid	Portfolio Management Services	Total Income
April 2014 - March 2015				
April 2013 - March 2014				

15. What percentage of your income comes from the following categories of products?

Products	April 2014 - March 2015	April 2013 - March 2014
Insurance	_____ (%)	_____ (%)
Mutual Funds	_____ (%)	_____ (%)
Bonds	_____ (%)	_____ (%)
Stocks/ Secondary Market	_____ (%)	_____ (%)
PPF/NSC/Small Savings	_____ (%)	_____ (%)
Others(Pls Specify) _____	_____ (%)	_____ (%)

16. Aging of Equity AUM (as on March 31, 2015)

less than 12 months    12-24 months    24-36 months    Above 36 months

17. To approximately how many clients did you provide financial advisory services during:

April 2014 - March 2015 \_\_\_\_\_

April 2013 - March 2014 \_\_\_\_\_

Advisory Clients include only those customers from whom advisory income is being accrued.

(a) Number of clients who have signed up for SIP through you during 2014-15? \_\_\_\_\_

(b) Number of clients who have signed up for 'Lump sum' (non SIP) Mutual Fund investments through you during 2014-15? \_\_\_\_\_

18. Average tenure of your relationship with your present client base (years):

>10    6-10    4-5    2-3    0-1

Average tenure of your relationship with your present client base (years) equals cumulative relationship years of clients divided by total number of clients as indicated in Question 17.

19. Number of clients for:

Financial Year	Lump sum investments	SIP investments	Total
April 2014 - March 2015			
April 2013 - March 2014			

20. If you are a National Financial Advisor sourcing Mutual Funds from NRI clients, then please answer the questions below:

a) Value of AUMs in Mutual Funds from Non-Resident Indian clients only (Amt. in Rs. Crores)

April 2014 - March 2015 \_\_\_\_\_ April 2013 - March 2014 \_\_\_\_\_

b) Income from Mutual Fund distribution from Non-Resident Indian clients only (Amt. in Rs. Crores)

April 2014 - March 2015 \_\_\_\_\_ April 2013 - March 2014 \_\_\_\_\_

c) Total number of NRI clients (No. of clients)

April 2014 - March 2015 \_\_\_\_\_ April 2013 - March 2014 \_\_\_\_\_

21. Online business details:

1. No. of online customers

April 2014 - March 2015 \_\_\_\_\_ April 2013 - March 2014 \_\_\_\_\_

2. Online sales revenue (Amt. in Rs. Crores)

April 2014 - March 2015 \_\_\_\_\_ April 2013 - March 2014 \_\_\_\_\_

3. Online AUM (Amt. in Rs. Crores)

April 2014 - March 2015 \_\_\_\_\_ April 2013 - March 2014 \_\_\_\_\_

22. Have there been any penalties/disciplinary actions by SEBI or any other regulatory body?

No

Yes (Pls Specify): \_\_\_\_\_

23. Investor Education initiatives during April 2014-March 2015:

- a) Number of investor camps conducted: \_\_\_\_\_
- b) Number of investors touched during these camps: \_\_\_\_\_
- c) Number of cities covered during these camps: \_\_\_\_\_
- d) Number of cities tagged under T15\* during these camps: \_\_\_\_\_
- e) Number of cities tagged under B15\* during these camps: \_\_\_\_\_

\* T15 stands for top 15 cities, while B15 means beyond (top) 15 cities as classified by AMFI

24. Any other information you consider relevant to the nature of services rendered by you/your company.

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Declaration: This is to certify that the above information is correct and true to the best of my knowledge.

Authorised signatory  
(Company stamp)

**Please complete the form & mail it to:**

The Manager, Financial Advisor Awards, CNBC-TV18, 414, Empire Complex, Senapati Bapat Marg, Lower Parel, Mumbai 400013 or  
Alternatively, you can also drop off the form at the nearest UTI Financial Centre. In case of any query, call on (022) 4001 9000.

Presented by



*Haq, ek behtar zindagi ka.*

Mutual Fund investments are subject to market risks, read all scheme related documents carefully.



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