



**Infrastructure:**

8. Number of employees (excluding clerical) in Financial Advisory:

- April 2014-March 2015       10-15     7-9     4-6     1-3  
 April 2013-March 2014       10-15     7-9     4-6     1-3

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.

9. Number of offices:

- April 2014-March 2015       Equal to 1     2-3             4-5  
 April 2013-March 2014       Equal to 1     2-3             4-5

10. Approximate number of computers:     10-15     7-9     4-6     1-3     None

If your answer is none, please mention the points below:

1) Do you operate from a cyber cafe?     Yes     No

11. Software used for financial advisory:     No     Yes (Please Specify) \_\_\_\_\_

**Financial Advisory:**

12. If you are an IFA with an AUM of less than Rs. 100 lakhs as on 31st March '15 then please apply in the Special Jury Award by answering the questions below.

1. Number of clients in different range of AUMs:

Financial Year	Upto Rs. 10 lakhs	Above Rs. 10 lakhs to Rs. 25 lakhs	Above Rs. 25 lakhs to Rs. 50 lakhs	Above Rs. 50 lakhs to Rs. 75 lakhs	Above Rs. 75 lakhs upto Rs. 100 lakhs
Apr 14 - Mar 15	.....	.....	.....	.....	.....
Apr 13 - Mar 14	.....	.....	.....	.....	.....

2. Value of Investment Redeemed (Amt. in Rs. Lakhs)

Apr 14 - Mar 15 .....      Apr 13 - Mar 14 .....

3. Investment Horizon of Investors (Short Term <1 year, Medium Term 1-2 years, Long Term above 2 years).

Short Term .....%                      Medium Term .....%                      Long Term .....%

4. Do you do any Risk Profiling and Need Analysis ?     Yes     No

5. Do you have a questionnaire for doing Risk Profiling and Need Analysis?  Yes     No

6. Average frequency of visits per client in a year. ....

7. How often do you update your client portfolio:  Monthly     Quarterly     Half-Yearly     Yearly

8. Percentage of NFOs to total AUMs sourced in a year: Apr 14 - Mar 15.....%    Apr 13 - Mar 14.....%

13. Assets Under Management (Amt. in Rs. Lakhs) (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).

14. Asset Profile (specify as percent of total client's Assets Under Management)

Financial Year	Debt (%)	Equity (%)	Cash/Liquid (%)	Others (%)
April 2014 - March 2015	.....	.....	.....	.....
April 2013 - March 2014	.....	.....	.....	.....

15. Amount of Financial Advisory Income (Rs.) (p.a.) (Amt. In Rs. Lakhs):

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

Please indicate only the income earned by advising on investment decisions of clients. Advisory income could be from commissions, hourly charges or subscription fees.

16. Indicate proportion of financial advisory income as percent of total income for the last three years:

April 2014-March 2015       >75%       51-75%       26-50%       11-25%       <10%

April 2013-March 2014       >75%       51-75%       26-50%       11-25%       <10%

17. What percentage of your Financial Advisory 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(PIs Specify)_____	.....(%)	.....(%)

18. Approximately, to 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.

19. SIP and Mutual Fund investment details:

Starting No. of SIP Clients \_\_\_\_\_

New SIP Clients in 2014-15 \_\_\_\_\_

Amount of New SIPs in 2014-15 (in Rs. lakh) \_\_\_\_\_

Total Amount of SIPs per month (in Rs. lakh) \_\_\_\_\_

% of your total customers exposed to SIPs \_\_\_\_\_

Average Tenure of SIPs (in years) \_\_\_\_\_

No. of clients signed up for Mutual Fund investments through you during 2014-15 \_\_\_\_\_

20. 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 number of clients as indicated in Question 18.

21. What percent of your Financial Advisors are:

( ) Graduate    ( ) Post-Graduate    ( ) MBA    ( ) Holding degree in Financial & Investment Management/Related courses

22. Average experience of your Financial Advisors (in years):     >10       6-10       3-5       0-2

Average experience equals cumulative experience of employees divided by number of employees as indicated in Question 8.

23. Online business details:

1. Number of online customers

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

2. Online sales revenue (Amount in Rs. lakhs)

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

3. Online AUM (Amount in Rs. lakhs)

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

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

- a) No. of investor camps conducted: \_\_\_\_\_
- b) No. of investors touched during these camps: \_\_\_\_\_
- c) No. of cities covered during these camps: \_\_\_\_\_
- d) No. of cities tagged under T15\* during these camps: \_\_\_\_\_
- e) No. 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

25. Do you or any related person:

- a) Buy securities for yourself from advisory clients or sell securities you own to advisory clients?  Yes  No
- b) Buy or sell securities for yourself that you also recommend to advisory clients?  Yes  No
- c) Recommend securities (or other investment products) to advisory clients in which you or any related person has some other proprietary (ownership) interest?  Yes  No
- d) As a broker-dealer or registered representative of a broker-dealer, execute securities trades for brokerage customers in which advisory client securities are sold to or bought from the brokerage customer (agency cross transactions)?  Yes  No
- e) Recommend purchase of securities to advisory clients for which you or any related person serves as underwriter, general or managing partner or purchaser representative?  Yes  No
- f) Recommend purchase or sale of securities to advisory clients for which you or any related person has any other sales interest (other than the receipt of sales commissions as a broker or registered representative of a broker-dealer)?  Yes  No

26. Have there been any penalties/disciplinary actions by SEBI or any other regulatory body?  Yes  No

If yes, please specify: \_\_\_\_\_

27. 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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