

Infrastructure

8. Number of employees (excluding clerical) in financial advisory:

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.

9. Branches: Top Cities _____ Other Cities _____

List of Top Cities - Mumbai, Chennai, Bengaluru, Chandigarh, Jaipur, Bhopal, Pune, Ahmedabad, Kolkata, Delhi, Patna, Cochin, Coimbatore, Hyderabad, Goa, Lucknow, Ludhiana, Surat.

Financial Advisory

10. Assets Under Management (Amt. in Rs. Crore) (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. $((M1+M2+M3+.....M12)/12)$

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

Financial Year	Debt + Cash/Liquid		Equity + Balanced Fund		Hybrid / Others		Total
	Top	Other	Top	Other	Top	Other	
	Cities	Cities	Cities	Cities	Cities	Cities	
Apr 14-Mar 15	_____	_____	_____	_____	_____	_____	_____
Apr 13-Mar 14	_____	_____	_____	_____	_____	_____	_____

For the definition of top cities please refer Q.9

12. Indicate value proportion of financial advisory income of total income (Amt. in Rs. Crore)

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

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

April 2014 - March 2015	<input type="checkbox"/> >75%	<input type="checkbox"/> 51-75%	<input type="checkbox"/> 26-50%	<input type="checkbox"/> 11-25%	<input type="checkbox"/> 5-10%	<input type="checkbox"/> <5%
April 2013 - March 2014	<input type="checkbox"/> >75%	<input type="checkbox"/> 51-75%	<input type="checkbox"/> 26-50%	<input type="checkbox"/> 11-25%	<input type="checkbox"/> 5-10%	<input type="checkbox"/> <5%

14. 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(PIs Specify): _____	_____ (%)	_____ (%)

15. 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. Crore)

Apr 14 - Mar 15 _____ Apr 13 - Mar 14 _____

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

Apr 14 - Mar 15 _____ Apr 13 - Mar 14 _____

c) Total Number of NRI clients (No. of clients):

Apr 14 - Mar 15 _____ Apr 13 - Mar 14 _____

16. Online Business Details:

1. No. of online customers: Apr 14 - Mar 15 _____ Apr 13 - Mar 14 _____

2. Online Sales revenue: Apr 14 - Mar 15 _____ Apr 13 - Mar 14 _____

3. Online AUM: Apr 14 - Mar 15 _____ Apr 13 - Mar 14 _____

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

Apr 14 - Mar 15 _____ Apr 13 - Mar 14 _____

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

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

20. Number of clients for:

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

21. 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

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

If yes, please specify: _____

23. What percent of your Financial Advisors are:

(%) Graduate (%) Post-Graduate (%) MBA

(%) Holding degree in Financial & Investment Management/Related courses

24. 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.

25. 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

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

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.



Powered by

