UTI Mutual Fund & CNBC TV18 PRESENT

FINANCIAL ADVISOR AWARDS 2017 -18

POWERED BY ICRA

TV18

NOMINATION APPLICATION FORM

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. ARN Registration No. ☐☐☐☐☐☐
3. Full Legal Name (entity/organisation):
4. Address for correspondence:

Contact person for correspondence:		
City:	State:	Pin:
Telephone No: Mobile:	Fax No:	
Website address:	E-mail address:	

5. Date of Incorporation/Establishment:
6. Number of years in operation of your Financial Advisory/Distribution Business:

☐ >10 ☐ 6-10 ☐ 3-5 ☐ 0-2

Infrastructure:

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

Financial Year	Total
April 2016-March 2017	
April 2015-March 2016	

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.

8. Names of Branches: Top Cities (T15*): Other Cities (B15*):

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

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

Financial Advisory:

9. Assets Under Management (AUM) and its Profile (Amt. in Rs. Crore)

Financial Year	Debt + Cash/Liquid	Equity + Balanced Fund	Portfolio Management/Others	Total AUM
April 2016-March 2017				
April 2015-March 2016				

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

10. Indicate value of financial advisory/distribution income out of total income (Amt. in Rs. Crore)

Financial Year	Debt + Cash/Liquid	Equity + Balanced Fund	Portfolio Management/Others	Total Income
April 2016-March 2017				
April 2015-March 2016				

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

Products	**April 2016-March 2017**	**April 2015-March 2016**
Insurance	(%)	(%)
Mutual Funds	(%)	(%)
Bonds	(%)	(%)
Stocks/Secondary Market	(%)	(%)
PPF/NSC/Small Savings	(%)	(%)
Others(Please Specify)	(%)	(%)

12. Aging of Equity AUM (as on March 31, 2017)

☐ Less than 12 months ☐ 12-24 months ☐ 24-36 months ☐ Above 36 months

13. Client Profile:

Financial Year	April 2016-March 2017	April 2015-March 2016
Total No. of clients to whom Financial Advisory services were provided (only those clients from whom advisory/distribution income is being accrued)*		
No. of clients who have signed up for SIP through you		
No. of clients who have signed up for Lump sum (non SIP) Mutual fund investments through you		

14. 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 13*.

15. Online Business Details:

Financial Year	No. of online customers (Nos)	Online Sales revenue (Rs. Crore)	Online AUM (Rs. Crore)
April 2016-March 2017			
April 2015-March 2016			

16. Have there been any penalties/disciplinary actions by SEBI or any other regulatory body? ☐ Yes ☑ No
If yes, please specify:

17. Investor Education initiatives during April 2016-March 2017:

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

18. 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)

DISCLAIMER:

With respect to the Financial Advisor Awards, the term 'Financial Advisor' refers to all those who are engaged in the business of financial advisory and/or distribution of financial products. As such, this definition is solely limited to the scope of 'Financial Advisor Awards' and it should not be construed in any other manner or applied for any other purpose whatsoever. Shortlisting and/or selection for the 'Financial Advisor Awards' is not an endorsement of Financial Advisor and the advice rendered by such Financial Advisor and we take no responsibility for any advice that may have been so rendered. Shortlisting and/or selection for the 'Financial Advisor Awards' is also not an endorsement or acknowledgment of adherence to any applicable laws or regulations by such Financial Advisor.

Please note that we reserve the right to remove, eliminate, alter or create any category at our sole discretion at any time during the nomination process or Jury Rounds. Upon alteration, elimination or removal of any category for any reason whatsoever, we are under no obligation to adjust the eliminated participants, if any, into other categories.

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.

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UTI Mutual Fund

Haq, ek behtar zindagi ka.

CNBC TV18

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