



PRESENT



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# NOMINATION APPLICATION FORM

## Only for Individual Financial Advisor of the Year

(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 in the respective categories. In addition to this, these Awards will also recognize the contribution of the IFAs in SIP, debt and equity segments.

### Note:

- **One ARN can apply in the only one category.**
- **Applicants who have won twice in the last three years will automatically graduate to the wall of fame in this year. Thus will have a cooling period for this year.**
- **Wherever applicable, all the amounts are required to be filled in the denomination of Rs. lakhs. These amounts should be mentioned in number format only. For eg. Rs. 100 lakhs should be mentioned as only 100 in respective boxes / fields.**

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

- Those who conduct Distribution business on an individual basis
- Employ less than or equal to 15 employees (excluding clerical), and
- Whose offices are less than or equal to 3

Please select the category of IFA you wish to apply for (One ARN should apply in one category only)

IFA Mega Cities     IFA Cities     IFA Up Country     Women IFA     Emerging IFA     IFA Online

These Awards will also recognize and reward the work that financial advisors have done in the past year in the SIP, debt and equity segments.

Metro	<input type="checkbox"/> North <input type="checkbox"/> West <input type="checkbox"/> East <input type="checkbox"/> South	Delhi NCR Region Mumbai Kolkata Chennai, Bengaluru
Tier 2 / Cities	<input type="checkbox"/> North <input type="checkbox"/> West <input type="checkbox"/> East <input type="checkbox"/> South	Chandigarh, Jaipur, Indore, Lucknow, Bhopal Pune, Nashik, Nagpur, Baroda, Surat, Panjim, Ahmedabad Raipur, Patna, Guwahati, Cuttack, Bhubaneswar Cochin, Mangalore, Mysore, Visakhapatnam, Coimbatore, Trivandrum, Hyderabad
District / Up Country	<input type="checkbox"/> North <input type="checkbox"/> West <input type="checkbox"/> East <input type="checkbox"/> South	All other locations other than the above will constitute district All other locations other than the above will constitute district All other locations other than the above will constitute district All other locations other than the above will constitute district
IFA Women		The best performing women advisors in the country
Emerging IFA		The best performing IFA with less than three years of track-record
IFA Online	<input type="checkbox"/> AUM less than Rs. 500 crore	The best performing IFA in the online business model with AUM less than Rs. 500 crore
	<input type="checkbox"/> AUM between Rs. 500 and Rs. 5,000 crore	The best performing IFA in the online business model with AUM between Rs. 500 and Rs. 5,000 crore
	<input type="checkbox"/> AUM greater than Rs. 5,000 crore	The best performing IFA in the online business model with AUM greater than Rs. 5,000 crore

2. ARN Registration No.

3. Full Legal Name (firm/sole proprietor): \_\_\_\_\_

4. Address for correspondence: \_\_\_\_\_  
 Contact person for correspondence: \_\_\_\_\_  
 City: \_\_\_\_\_ State: \_\_\_\_\_ Pin: \_\_\_\_\_ Tel No.: \_\_\_\_\_ Mobile: \_\_\_\_\_  
 Fax: \_\_\_\_\_ Website address: \_\_\_\_\_ E-mail ID: \_\_\_\_\_
5. Date of incorporation/establishment \_\_\_\_\_  
 Please provide date of commencement of business for individual ARN holders.
6. Constitution:  
 Private Limited  Sole Proprietorship  Partnership  Others (Specify) \_\_\_\_\_
7. Tick all type(s) of advisory services that you provide:  
 Financial planning services  Portfolio management for individuals and/or small businesses  
 Portfolio management for investment companies  Portfolio management for businesses or institutional clients  
 Pension consulting services  Selection of other advisors  
 Publication of periodicals or newsletters  Security ratings or pricing services  Market timing services  
 Others (Please specify) \_\_\_\_\_

**Infrastructure:**

8. Qualification of Business Head / Division Head :  
 Graduate  Post-Graduate  MBA  Holding degree in Financial & Investment Management/Related courses
9. Number of employees (excluding clerical) in Financial Advisory:

April 2017-March 2018	<input type="checkbox"/> 10-15	<input type="checkbox"/> 7-9	<input type="checkbox"/> 4-6	<input type="checkbox"/> 1-3
April 2016-March 2017	<input type="checkbox"/> 10-15	<input type="checkbox"/> 7-9	<input type="checkbox"/> 4-6	<input type="checkbox"/> 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.

10. Number of offices:
- April 2017-March 2018  Equal to 1  2-3  4-5  
 April 2016-March 2017  Equal to 1  2-3  4-5

**Financial Advisory:**

11. Assets under Management (Amt. in Rs. Lakhs) (For all products)

Financial Year	Amt. in Rs. Lakhs
April 2017-March 2018	
April 2016-March 2017	

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)

12. Asset Profile (specify as percent of total client's Assets under Management, Amt. in Rs. Lakhs)

Financial Year	Debt (Rs. lakh)	Equity (Rs. lakh)	Balanced (Rs. lakh)	Cash/Liquid (Rs. lakh)	Others (Rs. lakh)
April 17 - March 18	.....	.....	.....	.....	.....
April 16 - March 17	.....	.....	.....	.....	.....

13. Amount of Financial Advisory/Distribution Income (Rs.) (p.a.) (Amt. in Rs. Lakhs):

Financial Year	Amt in Rs Lakhs
April 17 - March 18	.....
April 16 - March 17	.....

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

14. Indicate proportion of financial advisory/distribution income as percent of total income for the last 2 years:

April 2017-March 2018	<input type="checkbox"/> >75%	<input type="checkbox"/> 51-75%	<input type="checkbox"/> 26-50%	<input type="checkbox"/> 11-25%	<input type="checkbox"/> <10%
April 2016-March 2017	<input type="checkbox"/> >75%	<input type="checkbox"/> 51-75%	<input type="checkbox"/> 26-50%	<input type="checkbox"/> 11-25%	<input type="checkbox"/> <10%

15. What percentage of your financial advisory/distribution income comes from the following categories of products?

Products	April 2017-March 2018	April 2016-March 2017
Insurance	.....(%)	.....(%)
Mutual Funds	.....(%)	.....(%)
Bonds	.....(%)	.....(%)
Stocks/Secondary Market	.....(%)	.....(%)
PPF/NSC/Small Savings	.....(%)	.....(%)
Others(Please Specify).....	.....(%)	.....(%)

16. Approximately, to how many clients did you provide services during:

Financial Year	Nos.
April 2017-March 2018	
April 2016-March 2017	

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

17. SIP and Mutual Fund Investments Details:

Starting No. of SIP Clients #	New SIP Clients in 2017-18 #	Closing No. of SIP Clients #	Amount of New SIPs in 2017-18 (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 2017-18

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 number of clients as indicated in Question 16.

19. Value of Investment Redeemed (Amount In Rs. Lakhs)

Financial Year	Amt. in Rs. Lakhs
April 2017-March 2018	
April 2016-March 2017	

20. Investment horizon of your clients (Short Term < 1 year, Medium Term 1-2 years, Long Term above 2 years).

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

21. What percent of your client facing employees are

Graduates	Post Graduates	MBA	Holding degree in Financial & Investment Management/Related courses
.....%	.....%	.....%	.....%

22. Average Experience of your employees (years)

>10  6-10  3-5  0-2

Average Experience equals cumulative experience of employees divided by number of employees as indicated in Question 9.

23. Online Business Details:

Financial Year	No. of online customers (Nos.)	Online Sales revenue (Rs. Crore)	Online AUM (Rs. Crore)
April 2017-March 2018			
April 2016-March 2017			

24. Investor Education initiatives during April 2017-March 2018:

- No. of investor camps conducted: \_\_\_\_\_
- No. of investors touched during these camps: \_\_\_\_\_
- No. of cities covered during these camps: \_\_\_\_\_
- No. of cities tagged under T30\* during these camps: \_\_\_\_\_
- No. of cities tagged under B30\* during these camps: \_\_\_\_\_

\* T30 stands for top 30 cities, while B30 means beyond (top) 30 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 for yourself securities 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.  
\_\_\_\_\_  
\_\_\_\_\_

**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.

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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