uti UTI Mutual Fund & CNBC TV18 PRESENT

10th FINANCIAL ADVISOR AWARDS 2018-19

A Decade of Honouring Excellence

POWERED BY ICRA

# NOMINATION APPLICATION FORM

## Only for Registered Investment Advisor of the Year

(Please read instructions carefully)

These Awards aim to recognize and reward the work that Registered Investment Advisers ("Adviser") have done in the past year. The information sought in this form will be analyzed to help develop a 360 degree view of an Adviser's 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 shortlist Advisers based on the self-declaration received from the nominated Advisers. Nominees shall be responsible for the accuracy of the information as provided by them. If the Advisers get shortlisted, further documents or information may be sought by ICRA.

**Note: 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. ARN Registration No. ☐☐☐☐☐☐

2. Full Legal Name (firm/sole proprietor):_____

3. Address for correspondence:_____

   Contact person for correspondence:_____

   City:_____ State:_____ Pin:_____ Tel No.:_____ Mobile:_____

   Fax: _____ Website address: _____ E-mail ID: _____

4. Date of incorporation/establishment_____

5. Constitution:

   ☐ Private Limited ☐ Sole Proprietorship ☐ Partnership ☐ Others (Specify)_____

6. 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:**

7. Qualification of Business Head / Division Head :

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

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

| | | | | |
|---|---|---|---|---|
| April 2017-March 2018 | ☐ Over 20 | ☐ 11-20 | ☐ 6-10 | ☐ 1-5 |
| April 2016-March 2017 | ☐ Over 20 | ☐ 11-20 | ☐ 6-10 | ☐ 1-5 |

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 2017-March 2018 ☐ Equal to 1 ☐ 2-5 ☐ More than 5

April 2016-March 2017 ☐ Equal to 1 ☐ 2-5 ☐ More than 5

**Financial Advisory:**

10. Assets under Management (Monthly Average, 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)

11. 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 | ..... | ..... | ..... | ..... | ..... |

12. 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.

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

| | | | | | |
|---|---|---|---|---|---|
| April 2017-March 2018 | ☐ >75% | ☐ 51-75% | ☐ 26-50% | ☐ 11-25% | ☐ <10% |
| April 2016-March 2017 | ☐ >75% | ☐ 51-75% | ☐ 26-50% | ☐ 11-25% | ☐ <10% |

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

| Financial Year | No. of Clients at the Start of the Period | No. of New Relationships Added | No. of Relationships Not Renewed / Exited | No. Clients at the end of the period |
|---|---|---|---|---|
| April 2017-March 2018 | | | | |
| April 2016-March 2017 | | | | |

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

15. SIP and Mutual Fund Investments Details:

| Starting No. of SIP Clients | New SIP Clients in 2017-18 | 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 |
|---|---|---|---|---|---|---|
| | | | | | | |

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

☐ >5 ☐ 3-5 ☐ 2-3 ☐ 1-2 ☐ 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.

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

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

18. 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 | ……..% |

19. What percent of your client facing employees are

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

20. Average Experience of your employees (years)
☐ >5 ☐ 3-5 ☐ 2-3 ☐ 1-2

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

21. Online Business Details:

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

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

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 T30* during these camps: _____

e) 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

23. 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

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

If yes, please specify_____

_____

_____

25. 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 Investment Adviser Awards ("Awards"), the term Adviser refers to all those who are engaged in the business of investment advisory and are registered with the Securities and Exchange Board of India (SEBI) under the SEBI (Investment Advisers) Regulations, 2013. As such, this definition is solely limited to the scope of Awards and it should not be construed in any other manner or applied for any other purpose whatsoever. Shortlisting and/or selection for Awards is not an endorsement of Adviser and the advice rendered by such Adviser and we take no responsibility for any advice that may have been so rendered. Shortlisting and/or selection for the Awards is also not an endorsement or acknowledgment of adherence to any applicable laws or regulations by such Adviser. We in particular, makes no representation or warranty, express or implied, about the services of Adviser. We shall not be liable for any losses incurred by any third party with relation to this.

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

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