



# NOMINATION APPLICATION FORM

## Only for National/Regional 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.

### Note:

- One ARN can apply in 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. 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: Please tick the category applied for on the basis of the following definitions. (One ARN should apply in one category only)

Category	Definition
<input type="checkbox"/> Regional Level Financial Advisor (tick the region from which you derive more than 75% of your revenues) <input type="checkbox"/> North <input type="checkbox"/> West <input type="checkbox"/> East <input type="checkbox"/> South	-Derive more than 75% of their revenues from a particular region i.e. North/South/East/West, -Employ more than 15 employees (excluding clerical), and -Whose offices are more than 3
Please note that those who do not meet the above criteria will be defined as National Financial Advisors	
<input type="checkbox"/> National Level Retail Financial Advisor	-Derive more than 60% of their revenues from the retail client segment
<input type="checkbox"/> National Level Institutional Financial Advisor	-Derive more than 60% of their revenues from the institutional client segment
<input type="checkbox"/> Equity Brokers	-Are members of one or more Stock Exchange
<input type="checkbox"/> Wealth Distributors	-Derive more than 70% of their Assets Under Management (AUM) from High Networth Individuals (with minimum Rs. 1 crore AUM)
<input type="checkbox"/> NRI Category (See Q.16)	-Comprises of National Financial Advisors sourcing Mutual Funds from NRI clients

2. ARN Registration No.

3. Full Legal Name (entity/organisation): \_\_\_\_\_

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: \_\_\_\_\_

6. Constitution:  
 Public Limited  Private Limited  Sole Proprietorship  Partnership  Others (Specify): \_\_\_\_\_

7. Tick all type(s) of advisory services that you provide:

- |  |   |
|--|---|
| <input type="checkbox"/> Financial planning services                   | <input type="checkbox"/> Portfolio management for individuals and/or small businesses                         |
| <input type="checkbox"/> Portfolio management for investment companies | <input type="checkbox"/> Portfolio management for businesses or institutional clients                         |
| <input type="checkbox"/> Pension consulting services                   | <input type="checkbox"/> Selection of other advisors  |
| <input type="checkbox"/> Publication of periodicals or newsletters     | <input type="checkbox"/> Security ratings or pricing services <input type="checkbox"/> Market timing services |
| <input type="checkbox"/> 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:

Financial Year	No. of Employees in Financial Advisory	How Many of them are AMFI Certified
April 2017-March 2018		
April 2016-March 2017		

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. No. of Branches: Top Cities (T30\*): ..... Other Cities (B30\*): .....

\*T30 stands for top 30 cities; while B30 means beyond (top) 30 cities as classified by AMFI

**Financial Advisory:**

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

Financial Year	Amt. in Rs. Crore
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 value of total client's Assets under Management) (Amt. in Rs. Crore)

Financial Year	Debt		Equity		Balanced		Cash/Liquid		Other MF		Portfolio Management Services/Others		Total AUM	
	Top Cities	Other Cities	Top Cities	Other Cities	Top Cities	Other Cities	Top Cities	Other Cities	Top Cities	Other Cities	Top Cities	Other Cities	Top Cities	Other Cities
April 2017-March 2018														
April 2016-March 2017														

For the definition of top cities please refer Q.10

13. 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 Services/Others	Total Income
April 2017-March 2018				
April 2016-March 2017				

14. 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%  5-10%  < 5%

April 2016-March 2017  >75%  51-75%  26-50%  11-25%  5-10%  < 5%

15. What percentage of your income (advisory/distribution) 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. If you are a National Financial Advisor sourcing Mutual Funds (MFs) from NRI clients then please answer this question (for participants applying for NRI category):

Financial Year	April 2017-March 2018	April 2016-March 2017
AUMs in MFs from NRIs only (Rs. Crore)		
Income from MF distribution from NRIs only (Rs. Crore)		
Total number of NRI clients (No. of clients)		

17. 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			

18. Client Profile:

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

19. 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 18\*.

20. Aging of Equity AUM (as on March 31, 2018)

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

21. What percent of your Financial Advisors are

Graduates .....%	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 9.

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. 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

26. 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)**

#### **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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