Questionnaire for the investors
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Dear respondent,

I (Prof Virendra V Tatake) am pursuing my PhD in Banking & Finance (Commerce) from Modern College of Commerce, Arts and Commerce under the guidance of Dr Y.R. Waghmare. My topic of PhD is “A Study of Performance of Selected Index Mutual Funds & Investors’ Response to Index Funds’ Investments.” I request you to spare your some valuable time to fill up the questionnaire. This questionnaire is very important in the analysis work of my PhD course.

1. Name

2. Address

3. Occupation (Please tick )

   - Professional
   - Housewife
   - Business
   - Service
   - Retired
   - Student
   - Other (please specify)

4. Age (in full years)

5. Annual Income (Tick mark whichever is applicable)

   - Upto Rs 2 Lacs
   - More than Rs.2 Lacs to Rs 5 Lacs
6. How do you rate your awareness about the mutual funds investment? (please tick mark)

<table>
<thead>
<tr>
<th>Good Knowledge</th>
<th>Working Knowledge</th>
<th>Not aware at all</th>
</tr>
</thead>
</table>

7. Do you have financial liabilities like Home Loan / Car Loan etc? Please specify

8. What is regularity of your mutual fund investment?
   - Regular Investor
   - Irregular Investor

9. For how many years you are investing in mutual funds?
   - Less than 1 year
   - 1 to 5 years
   - More than 5 years

10. For how many years your are planning to invest in mutual funds in future?
    - Less than 1 year
    - 1 to 5 years
    - More than 5 years
11. Which mode of investment you prefer?
   Lump Sum (One time investment)
   SIP(Systematic Investment Plan)

12. Give weights to the investment criteria you consider before investing in mutual funds between 1 to 5 (5 being most important criteria)

<table>
<thead>
<tr>
<th>Weights</th>
<th>Performance of the fund</th>
<th>Investment Strategy of the fund</th>
<th>Convenience in transactions</th>
<th>Stock Market Movement</th>
<th>Dividend frequency by the fund</th>
<th>Lock-in Period</th>
<th>Advice by the Mutual Funds Advisor</th>
</tr>
</thead>
<tbody>
<tr>
<td>1 to 5</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

13. Which type of equity funds do you prefer for investment?
   a) Diversified Funds
   b) Sectoral Funds
   c) Index Funds
   d) Any other (please specify)

14. Are you aware about Market Indices in Indian stock market “Sensex” and “Nifty”?  
   Yes
   No
15. Would you like to invest in “Sensex shares” and “Nifty Shares” rather than investing in shares selected by individual Fund Manager?
Yes
No
Neutral

16. Are you aware about the workings and investment style of Index Funds?
1. Fully aware
2. Aware to some extent
3. Not aware at all

17. How much percentage of your total investment in mutual funds do you allocate to Index Funds?
0%
0 to 25%
26 to 50%
51 % and above

18. Do you agree with the following statement-
“Index Funds are simpler & cheaper way of investing with a capacity of delivering equally good returns as compared to any other type of mutual funds “
(Please tick mark )
19. Do you agree with the following statement –
“Index Funds should be part of every Mutual Fund Investors’ portfolio.”
(Please tick mark)

<table>
<thead>
<tr>
<th>Strongly Disagree</th>
<th></th>
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<tr>
<td>Disagree</td>
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</tr>
<tr>
<td>Neutral</td>
<td></td>
</tr>
<tr>
<td>Agree</td>
<td></td>
</tr>
<tr>
<td>Strongly Agree</td>
<td></td>
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20. Please write down any other points about Index Funds which you think suitable to share.
Questionnaire for the Mutual Fund Advisors
Questionnaire for the Mutual Fund Advisors

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1. Name

2. Address

3. Occupation (Please tick )
   - Professional
   - Housewife
   - Business
   - Service
   - Retired
   - Student
   - Other (please specify)

3. Number of years in Mutual Funds Advisory business ?
   - Less than three years
   - 3 years and more
5. Give weights to the investment criteria considered by your clients before investing in mutual funds between 1 to 5 (5 being most important criteria)

<table>
<thead>
<tr>
<th>Weight</th>
<th>Performance of the fund</th>
<th>Investment Strategy of the fund</th>
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6. Which type of equity funds do your clients prefer for investment?
   a) Diversified Funds
   b) Sectoral Funds
   c) Index Funds
   d) Any other (please specify)

7. How do you rate Index Funds on following factors as against other equity funds. (1 being the lowest rating and 5 for highest rating)

<table>
<thead>
<tr>
<th>Type of fund</th>
<th>Capacity to give returns in the long run</th>
<th>Simplicity in investment philosophy</th>
<th>Cost effectiveness</th>
</tr>
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<tbody>
<tr>
<td>Rating (1 to 5)</td>
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8. Do you agree with the following statement-
   “Index Funds are simpler & cheaper way of investing with a capacity of delivering equally good returns as compared to any other type of mutual funds”
9. Do you agree with the following statement – “Index Funds should be part of every Mutual Fund Investors’ portfolio.”

(Please tick mark)

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