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APPENDIX I

QUESTIONNAIRE FOR RETAIL INVESTORS IN MUTUAL FUNDS

Dear Sir/ Madam,
Thank you for participating in the Investors’ survey. Please share your experience as an investor by responding to the questionnaire. Your responses will be held confidential and will be used for the purpose of academic research only.

Please put a tick mark in the square box corresponding to your choice. Thanks for your valuable time.

1. Gender : Male Female

2. Age in Years :  Upto 30 Years 31-45 46-60 Above 60 Years

3. Educational Qualification:
   - Up to Plus 2
   - Graduation
   - Post Graduation
   - Professional Degree

4. Area of your Residence:
   - Panchayath
   - Municipality
   - Corporation

5. Your District: (Pls specify)

6. Occupation:
   - Agriculture
   - Business /Self Employed
   - Salaried
   - Professional (Doctor, Engineer, Lawyer, Chartered Accountant)
   - NRI/ PIO
   - Retired.

7. Marital Status:
   - Single
   - Married
   - Other

8. Annual Income:
   - Upto 2 lakh
   - 200001- 5 lakh
   - 500001 -10 lakh
   - Above 10 lakh

9. Annual Saving:
   - Less than 50,000
   - 50,001- 1,00,000
   - 1,00,001- 2,00,000
   - 2,00,001- 3,00,000
   - Above 3,00,000

10. What is your attitude towards the following investment avenues?
    Please mark (√) between 1 to 7 for each investment avenues by ticking the suitable column

<table>
<thead>
<tr>
<th></th>
<th>Highly Favourable</th>
<th>Not at all Favourable</th>
</tr>
</thead>
<tbody>
<tr>
<td>1</td>
<td>Bank Deposit</td>
<td>7 6 5 4 3 2 1</td>
</tr>
<tr>
<td>2</td>
<td>Post Office Savings</td>
<td>7 6 5 4 3 2 1</td>
</tr>
<tr>
<td>3</td>
<td>National Savings Certificate</td>
<td>7 6 5 4 3 2 1</td>
</tr>
<tr>
<td>4</td>
<td>Pension &amp; Provident Fund</td>
<td>7 6 5 4 3 2 1</td>
</tr>
<tr>
<td>5</td>
<td>RBI/ Infrastructure Bond</td>
<td>7 6 5 4 3 2 1</td>
</tr>
<tr>
<td>6</td>
<td>Mutual Funds</td>
<td>7 6 5 4 3 2 1</td>
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<tr>
<td>7</td>
<td>Equity</td>
<td>7 6 5 4 3 2 1</td>
</tr>
<tr>
<td>8</td>
<td>Debentures(Private &amp; Govt.)</td>
<td>7 6 5 4 3 2 1</td>
</tr>
<tr>
<td>9</td>
<td>Insurance</td>
<td>7 6 5 4 3 2 1</td>
</tr>
<tr>
<td>10</td>
<td>Chits</td>
<td>7 6 5 4 3 2 1</td>
</tr>
<tr>
<td>11</td>
<td>Gold/ Silver</td>
<td>7 6 5 4 3 2 1</td>
</tr>
<tr>
<td>12</td>
<td>Real Estate</td>
<td>7 6 5 4 3 2 1</td>
</tr>
<tr>
<td>13</td>
<td>Others( Pls. Specify)</td>
<td>7 6 5 4 3 2 1</td>
</tr>
</tbody>
</table>
11. What are the objectives of your investment? (Please rank ‘1’ for the highest and ‘5’ for the least)
- Capital appreciation
- Supplement the current income
- Tax saving shelter
- To meet contingencies for specific purpose (Education, Marriage, Fixed Assets)
- Income after retirement

12. How long have you been investing in mutual funds?
- Upto 2 years
- 3-5 year
- 5-10 year
- Above 10 years

13. What are the channels through which you have made investment in mutual funds?
- Direct
- AMC
- Banks
- Broking firm/DP’s
- Agents/Personalized brokers

14. Your investment decisions are based on
- Own initiative
- Own initiative, but with the help of an expert
- Made by expert on my behalf

15. How did you come to know about mutual fund investment scheme?
(Please Tick the applicable ones)
- Fund prospectus
- Investment literature from mutual fund research house
- Professional investment consultant/analyst
- Brokers/Agents
- Banker
- Magazines & Newspapers
- Channels
- Reference groups & Friends
- Websites & Internet
- Comprehensive Data Source & Independent Ranking

16. How would you like to avail yourself the information regarding the various schemes before investing?
- Information in graphical format
- Alphanumeric information
- Summary information
- Written text format (Descriptive)

17. Which type of schemes do you prefer?
1. Operational Classifications:
   - Open ended schemes
   - Close ended schemes
   - Interval schemes
2. Portfolio Classification:
   - Equity
   - Debt
   - Hybrid/Balance
   - Money market/Liquid

18. Please tick the type of mutual funds in which you have invested
- Gilt funds
- Sector funds
- Thematic funds
- ELSS
- Arbitrage funds
- Monthly income plan
- Capital protected schemes
- Gold funds
- Exchange traded funds
- Income fund

19. Mutual fund investment option preferred by you
- New Fund Offer
- Lump sum investment
- Systematic Investment Plan
- Systematic Transfer Plan

20. Which option you prefer
- Growth
- Dividend

21. Please express your experience regarding the returns received from mutual fund investment
- Very high (above 20%)
- High (15-20%)
- Average (10-15%)
- Low (5-10%)
- Very low (below 5%)
22. When do you sell your investment in mutual funds? (Tick one Option)

- Sell mutual fund within a year
- Sell when investment objective is achieved
- Keep revising the target as prices increases
- When share market goes up & down
- Not interested in selling

23. What are the major problems/limitations you face in mutual fund investment?

Please mark (✓) between 1 to 7 for each statement by ticking the suitable column

<table>
<thead>
<tr>
<th></th>
<th>Strongly Agree</th>
<th>Strongly Disagree</th>
</tr>
</thead>
<tbody>
<tr>
<td>1 Funds not performing</td>
<td>7 6 5 4 3 2 1</td>
<td></td>
</tr>
<tr>
<td>2 Lack of portfolio customization</td>
<td>7 6 5 4 3 2 1</td>
<td></td>
</tr>
<tr>
<td>3 Overload of schemes</td>
<td>7 6 5 4 3 2 1</td>
<td></td>
</tr>
<tr>
<td>4 Too much of scheme variants</td>
<td>7 6 5 4 3 2 1</td>
<td></td>
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<tr>
<td>5 Variation in return</td>
<td>7 6 5 4 3 2 1</td>
<td></td>
</tr>
<tr>
<td>6 Major changes in attribute of funds</td>
<td>7 6 5 4 3 2 1</td>
<td></td>
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<tr>
<td>7 High expense ratio for funds</td>
<td>7 6 5 4 3 2 1</td>
<td></td>
</tr>
<tr>
<td>8 Fund manager has changed</td>
<td>7 6 5 4 3 2 1</td>
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</tr>
<tr>
<td>9 Fees by investment adviser/ agent</td>
<td>7 6 5 4 3 2 1</td>
<td></td>
</tr>
<tr>
<td>10 Fund risk</td>
<td>7 6 5 4 3 2 1</td>
<td></td>
</tr>
<tr>
<td>11 Lack of service standards and disclosures</td>
<td>7 6 5 4 3 2 1</td>
<td></td>
</tr>
<tr>
<td>12 Under performance of professional fund managers</td>
<td>7 6 5 4 3 2 1</td>
<td></td>
</tr>
<tr>
<td>13 Grievance redressal has not been effective</td>
<td>7 6 5 4 3 2 1</td>
<td></td>
</tr>
</tbody>
</table>

24. What are the factors you consider important while selecting the mutual fund for investment?

Please mark (✓) between 1 to 7 for each statement by ticking the suitable column

<table>
<thead>
<tr>
<th></th>
<th>Highly Important</th>
<th>Not at all Important</th>
</tr>
</thead>
<tbody>
<tr>
<td>1 Scheme Performance and track record of the fund</td>
<td>7 6 5 4 3 2 1</td>
<td></td>
</tr>
<tr>
<td>2 Fund managers reputation and tenure</td>
<td>7 6 5 4 3 2 1</td>
<td></td>
</tr>
<tr>
<td>3 Management fees &amp; Expense Ratio</td>
<td>7 6 5 4 3 2 1</td>
<td></td>
</tr>
<tr>
<td>4 Systematic way of investing (SIP,STP)</td>
<td>7 6 5 4 3 2 1</td>
<td></td>
</tr>
<tr>
<td>5 Better information accessibility</td>
<td>7 6 5 4 3 2 1</td>
<td></td>
</tr>
<tr>
<td>6 Funds rated by rating entity</td>
<td>7 6 5 4 3 2 1</td>
<td></td>
</tr>
<tr>
<td>7 Grievance redressal machinery</td>
<td>7 6 5 4 3 2 1</td>
<td></td>
</tr>
<tr>
<td>8 Minimal follow up with brokers and companies</td>
<td>7 6 5 4 3 2 1</td>
<td></td>
</tr>
</tbody>
</table>
25. What will you do when your mutual funds under perform?

(Please Tick the Applicable one)

- Stop investing in that fund and redeem my investment in search of a better mutual fund.
- Buy better performing funds, but don’t sell the current holdings anticipating that fund will catch up with the market.
- Buy under performing funds more aggressively thinking they would benefit from rupee cost averaging.
- Switch over with other schemes within the same AMC
- Redeem underperforming funds and prefer to sit outside with a feel that selecting a right mutual fund is too difficult a task.
26. Do you have any plan to opt out of mutual fund

☐ Yes  ☐ No

27. If yes, please tick the reasons

☐ Investment in mutual fund is risky  ☐ Provides low return  ☐ High fund expense

☐ Fund managers have underperformed across the scheme  ☐ Grievance redressal has not been effective

28. Please point out the level of satisfaction for the following factors by placing a tick mark in the appropriate box

<table>
<thead>
<tr>
<th>Factor</th>
<th>Highly Satisfied</th>
<th>Satisfied</th>
<th>Neutral</th>
<th>Dissatisfied</th>
<th>Highly dissatisfied</th>
</tr>
</thead>
<tbody>
<tr>
<td>1 Return</td>
<td>5</td>
<td>4</td>
<td>3</td>
<td>2</td>
<td>1</td>
</tr>
<tr>
<td>2 Liquidity (ease with which an mutual fund can be converted into cash)</td>
<td>5</td>
<td>4</td>
<td>3</td>
<td>2</td>
<td>1</td>
</tr>
<tr>
<td>3 Safety</td>
<td>5</td>
<td>4</td>
<td>3</td>
<td>2</td>
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<tr>
<td>4 Marketability (a measure of the ability to be bought and sold)</td>
<td>5</td>
<td>4</td>
<td>3</td>
<td>2</td>
<td>1</td>
</tr>
<tr>
<td>5 Reliability (stable and consistent)</td>
<td>5</td>
<td>4</td>
<td>3</td>
<td>2</td>
<td>1</td>
</tr>
<tr>
<td>6 Growth</td>
<td>5</td>
<td>4</td>
<td>3</td>
<td>2</td>
<td>1</td>
</tr>
<tr>
<td>7 Information availability</td>
<td>5</td>
<td>4</td>
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<tr>
<td>8 Fees and load structure</td>
<td>5</td>
<td>4</td>
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</tbody>
</table>

29. Perception of Investors towards Mutual Funds

Please point out your agreement or disagreement for the following statements by placing a tick mark in the appropriate box of choice.

<table>
<thead>
<tr>
<th>Statement</th>
<th>Strongly Agree</th>
<th>Agree</th>
<th>Neutral</th>
<th>Disagree</th>
<th>Strongly Disagree</th>
</tr>
</thead>
<tbody>
<tr>
<td>1 Mutual Fund is an ideal option for individual investors who do not have</td>
<td>5</td>
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<tr>
<td>the time, knowledge &amp; expertise in the stock market</td>
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<tr>
<td>2 Reputation of AMC, is the important quality I look forward before</td>
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<tr>
<td>investing in a fund</td>
<td></td>
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<tr>
<td>3 Flexibility in investment pattern (withdrawal facilities, minimum</td>
<td>5</td>
<td>4</td>
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<tr>
<td>investment, innovative schemes etc) attracts me.</td>
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<td>4 Mutual fund have failed to provide adequate return in investments to</td>
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<td>4</td>
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<tr>
<td>me</td>
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<tr>
<td>5 The private sector mutual funds have benefited the investors by</td>
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<td>providing them more option and better services</td>
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<tr>
<td>6 Day to day disclosure of NAV by the funds is really beneficial for</td>
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<td>me</td>
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<td>7 SEBI and other controlling bodies are effective in regulating the</td>
<td>5</td>
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<tr>
<td>mutual fund market</td>
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<tr>
<td>8 Public sector mutual fund players are more secure than private sector</td>
<td>5</td>
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<tr>
<td>players</td>
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<tr>
<td>9 Loads and taxes reduces the investors return that is earned by the</td>
<td>5</td>
<td>4</td>
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<tr>
<td>scheme</td>
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<tr>
<td>10 Mutual funds with large corpus perform better</td>
<td>5</td>
<td>4</td>
<td>3</td>
<td>2</td>
<td>1</td>
</tr>
<tr>
<td>11 Investment in mutual funds by AMC’s are based own adequate research</td>
<td>5</td>
<td>4</td>
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<td>and after ensuring prudent process</td>
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<tr>
<td>12 Disclosure norms prescribed by SEBI and AMFI are significant factors</td>
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<td>4</td>
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<tr>
<td>in investor services</td>
<td></td>
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<tr>
<td>13 The Mutual Funds are quite wrongly promoted as an alternative to</td>
<td>5</td>
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</tr>
<tr>
<td>equity investing and create very high expectations in the minds of the</td>
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<tr>
<td>investors.</td>
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</table>
The mutual funds are investing in the funds as per the investment objectives of each scheme published in the offer document

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Mutual fund provides the service of experienced and skilled professionals in fund management

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Mutual fund investment helps in diversification and reduction of risk

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There is greater dissemination of information for investors regarding mutual funds through various sources of media

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Close ended funds have a fixed maturity and can be bought and sold in a stock exchange

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Fund managers keep track of investments and changes in market conditions

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There is no credit rating for mutual funds, and the rating given to the funds by rating agency has no legal sanctity.

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Systematic ways of investing (SIP, STP) are enormously useful in making a disciplined investment and average the cost of investment.

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Close end mutual funds are able to give better return

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Mutual funds provide a shield against risk of loss than to direct investment in shares

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<th></th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td>5</td>
<td>4</td>
<td>3</td>
<td>2</td>
<td>1</td>
</tr>
</tbody>
</table>

Good structural requirements of mutual fund ensure the investors protection (Trust, Sponsor, AMC, Custodian etc)

<p>| | | | | | |</p>
<table>
<thead>
<tr>
<th></th>
<th></th>
<th></th>
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<th></th>
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</tr>
</thead>
<tbody>
<tr>
<td></td>
<td>5</td>
<td>4</td>
<td>3</td>
<td>2</td>
<td>1</td>
</tr>
</tbody>
</table>

Higher the dividend and capital gain earned by the scheme, higher would be the NAV

<p>| | | | | | |</p>
<table>
<thead>
<tr>
<th></th>
<th></th>
<th></th>
<th></th>
<th></th>
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</tr>
</thead>
<tbody>
<tr>
<td></td>
<td>5</td>
<td>4</td>
<td>3</td>
<td>2</td>
<td>1</td>
</tr>
</tbody>
</table>

Mutual fund units involve investment risk including the possible loss of principal amount

<p>| | | | | | |</p>
<table>
<thead>
<tr>
<th></th>
<th></th>
<th></th>
<th></th>
<th></th>
<th></th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td>5</td>
<td>4</td>
<td>3</td>
<td>2</td>
<td>1</td>
</tr>
</tbody>
</table>

Past performance of the scheme does not guarantee future performance of scheme

<p>| | | | | | |</p>
<table>
<thead>
<tr>
<th></th>
<th></th>
<th></th>
<th></th>
<th></th>
<th></th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td>5</td>
<td>4</td>
<td>3</td>
<td>2</td>
<td>1</td>
</tr>
</tbody>
</table>

30. Which of the following statement is true to you?

- Willingness to take substantial financial risk
- Willingness to take above average financial risk
- Willingness to take average financial risk
- Not willing to take any financial risk

31. Please point out your agreement or disagreement for the following statements by placing a tick mark in the appropriate box of choice.

<table>
<thead>
<tr>
<th></th>
<th>Strongly Agree</th>
<th>Agree</th>
<th>Neutral</th>
<th>Disagree</th>
<th>Strongly Disagree</th>
</tr>
</thead>
<tbody>
<tr>
<td>1</td>
<td>Current income is most important to me</td>
<td>5</td>
<td>4</td>
<td>3</td>
<td>2</td>
</tr>
<tr>
<td>2</td>
<td>I can accept short term losses to maximize the potential to achieve my investment goals</td>
<td>5</td>
<td>4</td>
<td>3</td>
<td>2</td>
</tr>
<tr>
<td>3</td>
<td>My investment portfolio mostly consist of term deposits, bonds and savings accounts</td>
<td>5</td>
<td>4</td>
<td>3</td>
<td>2</td>
</tr>
<tr>
<td>4</td>
<td>I am willing to accept large fluctuations in the value of my investments for the expectation of the higher return in future</td>
<td>5</td>
<td>4</td>
<td>3</td>
<td>2</td>
</tr>
<tr>
<td>5</td>
<td>I highly prefer to invest in Mutual Funds rather than directly investing in shares</td>
<td>5</td>
<td>4</td>
<td>3</td>
<td>2</td>
</tr>
<tr>
<td>6</td>
<td>Short term losses are more important to me than meeting my investment goals</td>
<td>5</td>
<td>4</td>
<td>3</td>
<td>2</td>
</tr>
<tr>
<td>7</td>
<td>My potential return will be sought from the combination of capital appreciation and regular return</td>
<td>5</td>
<td>4</td>
<td>3</td>
<td>2</td>
</tr>
<tr>
<td>8</td>
<td>I enjoy exploring new investment opportunities for my money</td>
<td>5</td>
<td>4</td>
<td>3</td>
<td>2</td>
</tr>
<tr>
<td>9</td>
<td>My investment is for a longer period and the investment objective is more important</td>
<td>5</td>
<td>4</td>
<td>3</td>
<td>2</td>
</tr>
</tbody>
</table>
### APPENDIX II

**Average Assets under Management for the quarter - January - March 2013**

(Rs. in crore)

<table>
<thead>
<tr>
<th>Sr. No.</th>
<th>Name of the Asset Management Company</th>
<th>Average Assets Under Management for the quarter</th>
<th>Sr. No.</th>
<th>Name of the Asset Management Company</th>
<th>Average Assets Under Management for the quarter</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>A</strong></td>
<td>BANK SPONSORED</td>
<td></td>
<td><strong>(i)</strong></td>
<td>JOINT VENTURES - PREDOMINANTLY INDIAN</td>
<td></td>
</tr>
<tr>
<td>1</td>
<td>BNP Paribas Asset Management India Private Limited</td>
<td>3,726</td>
<td>2</td>
<td>Daiwa Asset Management (India) Private Limited</td>
<td>266</td>
</tr>
<tr>
<td>2</td>
<td>Franklin Templeton Asset Management (India) Private Ltd.</td>
<td>41,564</td>
<td>4</td>
<td>Goldman Sachs Asset Management (India) Private Limited</td>
<td>4,800</td>
</tr>
<tr>
<td>3</td>
<td>Miraas Asset Global Investments (India) Private Ltd.</td>
<td>540</td>
<td>6</td>
<td>Morgan Stanley Investment Management Private Ltd.</td>
<td>2,660</td>
</tr>
<tr>
<td>4</td>
<td>PineBridge Investments Asset Management Company (India) Pvt. Ltd.</td>
<td>1,099</td>
<td>8</td>
<td>Pramerica Asset Managers Private Limited</td>
<td>2,592</td>
</tr>
<tr>
<td><strong>TOTAL</strong></td>
<td>........................................</td>
<td>A (i)</td>
<td><strong>(ii)</strong></td>
<td>JOINT VENTURES - PREDOMINANTLY FOREIGN</td>
<td></td>
</tr>
<tr>
<td>1</td>
<td>Axis Asset Management Company Ltd.</td>
<td>12,114</td>
<td><strong>(iii)</strong></td>
<td>JOINT VENTURES - PREDOMINANTLY INDIAN</td>
<td></td>
</tr>
<tr>
<td>2</td>
<td>Birla Sun Life Asset Management Co. Ltd.</td>
<td>77,046</td>
<td>4</td>
<td>Principal Pnb Asset Management Co. Private Ltd.</td>
<td>5,574</td>
</tr>
<tr>
<td>3</td>
<td>DSP BlackRock Investment Managers Private Ltd.</td>
<td>32,342</td>
<td>5</td>
<td>ICICI Prudential Asset Management Co. Ltd.</td>
<td>87,835</td>
</tr>
<tr>
<td>4</td>
<td>HDFC Asset Management Co. Ltd.</td>
<td>101,720</td>
<td>6</td>
<td>IDFC Asset Management Company Private Limited</td>
<td>32,886</td>
</tr>
<tr>
<td>5</td>
<td>ICICI Prudential Asset Management Co. Ltd.</td>
<td>87,835</td>
<td><strong>TOTAL</strong></td>
<td>........................................</td>
<td>C (iii)</td>
</tr>
<tr>
<td><strong>TOTAL</strong></td>
<td>........................................</td>
<td>B</td>
<td><strong>(iv)</strong></td>
<td>JOINT VENTURES - PREDOMINANTLY FOREIGN</td>
<td></td>
</tr>
<tr>
<td>1</td>
<td>HSBC Asset Management (India) Private Ltd.</td>
<td>5,230</td>
<td><strong>(v)</strong></td>
<td>JOINT VENTURES - PREDOMINANTLY INDIAN</td>
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<tr>
<td>2</td>
<td>ING Investment Management (India) Private Ltd.</td>
<td>993</td>
<td>4</td>
<td>Principal Pnb Asset Management Co. Private Ltd.</td>
<td>5,574</td>
</tr>
<tr>
<td>3</td>
<td>JPMorgan Asset Management (India) Private Ltd.</td>
<td>15,836</td>
<td>5</td>
<td>ICICI Prudential Asset Management Co. Ltd.</td>
<td>87,835</td>
</tr>
<tr>
<td><strong>TOTAL</strong></td>
<td>........................................</td>
<td>C (iv)</td>
<td><strong>TOTAL</strong></td>
<td>........................................</td>
<td>C (iv+i+ii+iii)</td>
</tr>
<tr>
<td><strong>TOTAL</strong></td>
<td>........................................</td>
<td>C (i)</td>
<td><strong>TOTAL</strong></td>
<td>........................................</td>
<td>A (i+ii+iii)</td>
</tr>
<tr>
<td><strong>TOTAL</strong></td>
<td>........................................</td>
<td><strong>TOTAL</strong></td>
<td>........................................</td>
<td><strong>TOTAL</strong></td>
<td>........................................</td>
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</tbody>
</table>
## AVERAGE ASSETS UNDER MANAGEMENT FOR THE QUARTER ENDED MARCH 2014

(\text{Rs. in Crores})

<table>
<thead>
<tr>
<th>Sr. No.</th>
<th>Name of the Asset Management Company</th>
<th>Average Assets Under Management for the quarter ended March 2014</th>
</tr>
</thead>
<tbody>
<tr>
<td>A</td>
<td>BANK SPONSORED</td>
<td></td>
</tr>
<tr>
<td>(i)</td>
<td>JOINT VENTURES - PREDOMINANTLY INDIAN</td>
<td></td>
</tr>
<tr>
<td>1</td>
<td>B) AXA Investment Managers Private Limited</td>
<td>1,851</td>
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<tr>
<td>2</td>
<td>Canara Robeco Asset Management Co. Ltd.</td>
<td>4,499</td>
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<tr>
<td>3</td>
<td>SBI Funds Management Private Ltd.</td>
<td>65,489</td>
</tr>
<tr>
<td>4</td>
<td>Union KG C Asset Management Company Pvt. Ltd.</td>
<td>2,947</td>
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<tr>
<td>TOTAL</td>
<td></td>
<td>76,836</td>
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<tr>
<td>(ii)</td>
<td>JOINT VENTURES - PREDOMINANTLY FOREIGN</td>
<td></td>
</tr>
<tr>
<td>1</td>
<td>Baroda Pioneer Asset Management Company Limited</td>
<td>8,106</td>
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<tr>
<td>TOTAL</td>
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<td>8,106</td>
</tr>
<tr>
<td>(iii)</td>
<td>OTHERS</td>
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<tr>
<td>1</td>
<td>IDBI Asset Management Ltd.</td>
<td>5,929</td>
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<td>UTI Asset Management Company Ltd.</td>
<td>74,253</td>
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<td>165,104</td>
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<tr>
<td>B</td>
<td>INSTITUTIONS</td>
<td></td>
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<tr>
<td>(i)</td>
<td>INDIAN</td>
<td></td>
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<tr>
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<td>IFCL Asset Management Co. Ltd.</td>
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<td>168</td>
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<tr>
<td>(ii)</td>
<td>JOINT VENTURES - PREDOMINANTLY INDIAN</td>
<td></td>
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<tr>
<td>1</td>
<td>LIC NCMR Mutual Fund Asset Management Co. Ltd.</td>
<td>10,584</td>
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<tr>
<td></td>
<td></td>
<td>10,732</td>
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<tr>
<td>C</td>
<td>PRIVATE SECTOR</td>
<td></td>
</tr>
<tr>
<td>(i)</td>
<td>INDIAN</td>
<td></td>
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<tr>
<td>1</td>
<td>Deutsche Asset Management (India) Private Ltd.</td>
<td>18,786</td>
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<td>Edelweiss Asset Management Limited</td>
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<td>3</td>
<td>Escorts Asset Management Ltd.</td>
<td>299</td>
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<td>4</td>
<td>IL&amp;FS Infra Asset Management Limited</td>
<td>415</td>
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<tr>
<td>5</td>
<td>India Infoline Asset Management Co. Ltd.</td>
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<td>Indiabulls Asset Management Company Ltd.</td>
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<td>7</td>
<td>JM Financial Asset Management Private Ltd.</td>
<td>6,466</td>
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<td>8</td>
<td>Kotak Mahindra Asset Management Co. Ltd.</td>
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<td>9</td>
<td>L&amp;T Investment Management Limited</td>
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<td>10</td>
<td>Moha (Dewli) Asset Management Co. Ltd.</td>
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<tr>
<td>11</td>
<td>Pareto Funds Management Co. Ltd.</td>
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<tr>
<td>12</td>
<td>PPFAS Asset Management Pvt. Ltd.</td>
<td>340</td>
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<tr>
<td>13</td>
<td>Quantum Asset Management Co. Private Ltd.</td>
<td>366</td>
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<tr>
<td>14</td>
<td>Reliance Capital Asset Management Ltd.</td>
<td>103,542</td>
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<tr>
<td>15</td>
<td>Sahara Asset Management Co. Private Ltd.</td>
<td>191</td>
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<tr>
<td>16</td>
<td>Shriram Asset Management Co. Ltd.</td>
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<tr>
<td>17</td>
<td>Sundaram Asset Management Company Limited</td>
<td>16,422</td>
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<tr>
<td>18</td>
<td>Tata Asset Management Ltd.</td>
<td>21,364</td>
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<td>19</td>
<td>Taurus Asset Management Co. Ltd.</td>
<td>3,332</td>
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<td>229,235</td>
</tr>
<tr>
<td>Sr. No.</td>
<td>Name of the Asset Management Company</td>
<td>Average Assets Under Management for the quarter ended March 2014 (Rs. in Cr.)</td>
</tr>
<tr>
<td>---------</td>
<td>-------------------------------------</td>
<td>-------------------------------------------------</td>
</tr>
<tr>
<td>(iii)</td>
<td>FOREIGN</td>
<td></td>
</tr>
<tr>
<td>1</td>
<td>BNP Paribas Asset Management India Private Limited</td>
<td>3.446</td>
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<tr>
<td>2</td>
<td>Franklin Templeton Asset Management (India) Private Ltd.</td>
<td>45.404</td>
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<td>3</td>
<td>Goldman Sachs Asset Management (India) Private Limited</td>
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<td>4</td>
<td>Mirae Asset Global Investments (India) Private Ltd.</td>
<td>692</td>
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<tr>
<td>5</td>
<td>Morgan Stanley Investment Management Private Ltd.</td>
<td>2,672</td>
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<tr>
<td>6</td>
<td>PineBridge Investments Asset Management Company (India) Pvt. Ltd</td>
<td>649</td>
</tr>
<tr>
<td>7</td>
<td>Pramerica Asset Management Private Limited</td>
<td>2,411</td>
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<tr>
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<td>TOTAL (iii)</td>
<td>58,938</td>
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<td>(iv)</td>
<td>JOINT VENTURES - PREDOMINANTLY INDIAN</td>
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<td>Asian Asset Management Company Ltd.</td>
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<td>DSP BlackRock Investment Management Ltd.</td>
<td>31,651</td>
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<td>4</td>
<td>HDFC Asset Management Co. Ltd.</td>
<td>112,963</td>
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<td>ICICI Prudential Asset Management Co. Ltd.</td>
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<tr>
<td>6</td>
<td>IDFC Asset Management Company Private Limited</td>
<td>41,349</td>
</tr>
<tr>
<td>7</td>
<td>Religare Invesco Asset Management Company Private Limited</td>
<td>14,450</td>
</tr>
<tr>
<td></td>
<td>TOTAL (iv)</td>
<td>412,466</td>
</tr>
<tr>
<td></td>
<td>TOTAL (iii + iv)</td>
<td>571,404</td>
</tr>
<tr>
<td></td>
<td>TOTAL (i + ii + iii + iv)</td>
<td>935,120</td>
</tr>
</tbody>
</table>