Sr.N o.	ARN of the MFD	Name of the MFD	Name of the employee of the MFD involved	EUIN of the employee of the MFD involved	Source of the complaint	Details where "Source of the complaint" is selected as "Others" **	Nature of Mis-Selling observed by the AMC	Summary of the incident	Amount of investment Involved in the incident	Corrective Action taken by the AMC prevent recurrence	Code of Conduct Violation	Action taken by the AMC against the errant MFD
1		Nirmal Bang Wealth Private Limited	Sudhakar M	Not Applicable	Unitholder	Others **	Unauthorized Change of ARN Code	1. Date of investor complaint: April 30, 2025 2. Date of change of broker initiation: February 4, 2025 Summary of Incident: Investor alleged an unauthorised change in distributor. The investor stated that he had neither signed nor requested a change of broker. A show cause notice was raised to the distributor. The distributor stated that this was done by one of their RMs, who has since been terminated. AMC has sent a warning communication advising the distributor to exercise caution. As part of the investigation, the AMC also conducted a verification of the investor?s signature against its records. It was confirmed that the signature on the transaction request matched the signature wailable on record before processing the change. Since, Sudhakar M was not NISM Certified, he intentionally use EUIN of an employee of Group company by using old form which was not in use in their company, Nirmalbang Wealth Pvt Ltd.	No impact on investment.Investor portfolio- 2.44lac	The distributor has already terminated the employee. AMC issued a warning to the distributor to strengthen their controls.	Yes	The employee associated with the distributor has already been terminated. AMC issued a warning to the distributor to strengthen their controls
2	70046	Akshay Rajendra Lunawat	Akshay Rajendra Lunawat	Not Applicable	Unitholder	NA NA	Unauthorized Switch Transaction	Complaints were received by AMC from 3 investors about unauthorised switch transactions in their respective folios. Upon receipt of these complaints, the matter was investigated by the AMC. Upon investigation, additional instances of unauthorised switch transactions were identified involving 3 more investors linked to the same distributor. AMC had given an opportunity to the distributor to provide response to the allegation. The distributor has not submitted adequate response. Based on the findings of the investigation and non-receipt of response from the distributor, it was concluded that the distributor had initiated unauthorized switch transaction.	11,19,582.71/-	The switch transactions have been reversed in the investor folio.	Fraudulent and unfair trade practices.	The AMC has debarred the MFD and revoked his empanelment from AMC.
3	70046	Akshay Rajendra Lunawat	Akshay Rajendra Lunawat	Not Applicable	Others (Please specify)	Email & SEBI Scores	Unauthorized Switch Transaction	The AMC received a complaint from investor claiming that the MFD has fraudulently submitted switch transactions without their knowledge and consent.	340513.44	Reversal of the alleged unauthorized switch transactions of the investor. De-empanelment of the MFD by AMC. Filing of complaint of mis-selling against the MFD with AMFI.	Fiduciary duties, Compliance related obligations	De-empaneled Mr. Akshay Rajendra Lunawat. Filed Complaint with AMFI.
4	70046	Akshay Rajendra Lunawat	Akshay Rajendra Lunawat	Not Applicable	Others (Please specify)	Email & SEBI Scores	Unauthorized Switch Transaction	The AMC received a complaint from investor claiming that the MFD has fraudulently submitted switch transactions without their knowledge and consent.	250496.5	Reversal of the alleged unauthorized switch transactions of the investor. De-empanelment of the MFD by AMC. Filing of complaint of mis-selling against the MFD with AMFI.	Fiduciary duties, Compliance related obligations	De-empaneled Mr. Akshay Rajendra Lunawat. Filed Complaint with AMFI.

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Sr.I	ARN of the MFD	Name of the MFD	Name of the employee of the MFD involved	EUIN of the employee of the MFD involved	Source of the complaint	Details where "Source of the complaint" is selected as "Others" **	Nature of Mis-Selling observed by the AMC	Summary of the incident	Amount of investment Involved in the incident	Corrective Action taken by the AMC prevent recurrence	Code of Conduct Violation	Action taken by the AMC against the errant MFD
5	47791	IIFL CAPITAL SERVICES LIMITED	Internal employee code C600199	E205247	Unitholder		Unauthorized Change of ARN Code	The investor raised complaint through call centre on May 15, 2025 stating a change of broker code request was neither submitted nor signed by the investor. The investor wanted the old broker code restored in all the schemes in the folio with us and a temporary lock of the folio to avoid any misuse. Simultaneously, the cold distributor with ARN-7987 (Wealth Doctor Investment Services Private Limited) had reached through X platform (former Twitter) raising concerns of change of broker submitted without investor?s consent. Upon investigation of the request, it was found that there was a signature variance between request and original application form, confirming the investor did not initiate the change of broker. The old broker details were restored and the investor was informed via email.	Rs. 2,158,611	The distributor against whom the complaint was received was contacted at multiple intervals through phone and email. However, no response was received through either mode.	None	Requests received from ARN-47791 and respective EUIN will be closely monitored.
6	70046	Akshay Rajendra Lunawat		Not Applicable	Unitholder		Unauthorized Switch Transaction	Unauthorized Switch Transaction initiated	390126	De-Empanelled the MFD & Reversed Switch Transactions	Yes	De-Empanelled the MFD & Reversed
7	70046	Akshay Rajendra Lunawat	Mr. Akshay Rajendra Lunawat	Mr. Akshay Rajendra Lunawat	Unitholder		Unauthorized Switch Transaction	without investor consent Compliant received about unauthorized switch transactions initiated in the folios of investor by the aforesaid Distributor.	0.4 million	ARN has been terminated	Alleged unauthorized switch	Switch Transactions Based on communication from AMFI, the AMC has dis-empanelled/terminated the said Distributor.
8	10	Bajaj Capital Ltd.	Aryan Jaiswal	E 515583	Unitholder		Unauthorized Switch Transaction	An investor complained regarding unauthorized switches in their folios executed by EUIN holder of Bajai Capital. Subsequently, clarification from the distributor and we are awaiting revert from them. However, for the sake of good order, the transactions were reversed and units re- instated in the original scheme		We have reported the EUIN to the distributor	Yes	We have reported the EUIN to the Distributor
9	70046	Akshay Rajendra Lunawat	Akshay Rajendra Lunawat	E 061449	Unitholder		Unauthorized Switch Transaction	An investor complained regarding unauthorized switches in their folios executed by Mr. Akshay Lunawat. Subsequently, clarification from the distributor was sought and he claimed to have submitted the switch requests only after receiving investor?s consent and confirmation. However, for the sake of good order, the transactions were reversed and units re- instated in the original scheme.	Арргх. 5.61 Lacs	Initially, it was not considered as mis-selling hence no action was taken against the distributor as such. But later basis newspaper reporting and AMFI email, the distributor ARN was cancelled in AMC records.	Yes	ARN is cancelled by AMFI
10	255782	AKASH PANDEY	Akash Pandey subbroker with Centricity Financial Distribution Private Limited	E476986	Unitholder		Unauthorized Change of ARN Code	An unauthorized change of ARN request reported under ARN 189274 Centricity Financial Distributors Pvt. Ltd. with a sub-broker code ARN 255782 bearing EUIN E476986. The initial request was submitted on December 3, 2024, to change the ARN code from HDFC Bank to ARN 189274 in multiple folios of the investor, Upon receiving a complaint from the investor, who is based in Singapore, denying having signed any such requests, we rejected the ARN code change request and retained the ARN of HDFC Bank in all the folios. Subsequently, on March 19, 2025, we received another change of ARN request for the same investor under the same ARN and sub-broker code. Once again, the investor raised a complaint alleging fraudulent activities being carried out in her folios with malicious intent.	Approx 1.4 cr		Conduct for Mutual Fund Distributors, which states that MFDs shall not indulge in fraudulent or unfair trade practices of any kind while marketing, selling or	The matter was reported to principal distributor Centricity Financial, and they terminated the sub-broker contract w.e.f. from April 1, 2025 as per mail received from Compliance team of Centricity. Additionally from NIMF side, we've also terminated the empanelment of ARN255782 w.e.f. April 2, 2025 as the ARN was directly empanelled with NIMF also.

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o.	ARN of the MFD	Name of the MFD	Name of the employee of the MFD involved	EUIN of the employee of the MFD involved	Source of the complaint	Details where "Source of the complaint" is selected as "Others" **	Nature of Mis-Selling observed by the AMC	Summary of the incident	Amount of investment Involved in the incident	Corrective Action taken by the AMC prevent recurrence	Code of Conduct Violation	Action taken by the AMC against the errant MFD
11	31171	P Rama Murthy	P Rama Murthy	E046717	Unitholder	Others **	Fraud / Forgery / Cheating	During 2014 Nippon RM who died in 2021 took	Approx 20 cr.	Employee as well as the ARN of	Clause 6a of AMFI Code of	The employee involved in the misconduct,
								investment from an investor family Tirupati by		the father is terminated and a	Conduct for Mutual Fund	has been terminated with immediate
								giving commitment of 12pc return. During the		police complaint is filed to initiate	Distributors, which states that	effect. A police complaint has been filed to
								period RM initiated unauthorised transactions		legal proceedings in the matter.	MFDs shall not indulge in	initiate legal proceedings. The associated
								with Sainath Pabbichetty.Some of the			fraudulent or unfair trade	ARN ARN 31171 has been terminated.
								investments of the family were done under			practices of any kind while	
								code of Sainaths father P Rama Murthy			marketing, selling or	
								ARN31171.On May 5,2025 Sainath and his			distributing any Mutual Fund	
								father both were found absconding. On the			scheme. MFDs and their	
								same day investor representative visited AMC's			Representatives must observe	
								irupati branch to inquire about the status of			high standards of integrity	
								investments wherein the entire matter came to			and consistently conduct their	
								light.The detailed investigation revealed that			dealings in a manner to	
								there were multiple redemption switch			uphold the professional image	
								transactions carried out in multiple folios of			of the Mutual Fund industry.	
								investor family and forged statements were				
								provided to show incorrect picture. While investor had signed few transactions, he denied				
								signing for regular redemptions.In some folios				
								the email and mobile no were also				
								changed.Sainath had not disclosed details of				
								father ARN as per company policy while				
								commissions were getting paid to him.				
								3,1				
12	321935	Ashwani Kumar	Ashwani Kumar	E610366	Others (Please specify)	Unitholders Distributor ARN-	Unauthorized Change of ARN	We received a request to change the ARN from	Approx 32 lacs	ARN empanelment is terminated	Clause 6a of AMFI Code of	After repeated failed attempts to connect
						0019, Axis Bank	Code	ARN 0019 of Axis Bank to ARN 312935 in the		w.e.f. June 27, 2025	Conduct for Mutual Fund	with the MFD and non-response to
								name of Ashwani Kumar. The request was				multiple reminders to emails, it was
								processed after duly following the signature			MFDs shall not indulge in	decided to terminate the empanelment of
								verification process at our end. The investor			fraudulent or unfair trade	the MFD w.e.f. June 27, 2025
								through the old ARN complained of			practices of any kind while	
								unauthorized change of ARN request in his folio. When we tried reaching the MFD, the			marketing, selling or distributing any Mutual Fund	
								contact no. was not reachable/out of service,			scheme. MFDs and their	
								and there was no one available at his address.			Representatives must observe	
								The address registered with AMFI itself is			high standards of integrity	
								incomplete and raises suspicion. When we			and consistently conduct their	
								investigated further into the matter, it was			dealings in a manner to	
								found that the entire AUM under the ARN was			uphold the professional image	
								through change of ARN code. In the random			of the Mutual Fund	
								calling done to the investors, two of the			industry.Clause 5c which	
								investors denied having known to the MFD. To			states that MFDs shall co-	
								seek response on this, when we tried reaching			operate with and provide	
								out to the MFD again, multiple attempts to			assistance, to AMCs, AMFI,	
			1				1	connect with him failed. Even multiple email			SEBI, competent authorities,	
1								reminders sent on the registered email id have			due diligence agencies	
			1				l	also remained unanswered till date.			appointed by AMFI/AMCs - as	l l
			1				1				applicable in relation to their	
			1				1				services to the AMCs	
			1				1				including by providing copies of relevant documents of the	
			1				1				investors in their possession	
			1				l				as may be required by AMCs	l l
			1				1				from time to time or as may	
			1				1				be called for by SEBI/AMFI /	
			1				1				competent authority pursuant	
1											to any investigation or other	
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Columbia										,,,			team who after investigaiton confirmed
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Code Bank of India posted at Udajour Regional office, the intimated AM Code of Union Bank of India through Mr. Pravis Singh P AND 4 All Saste Management Company Private Unified at Udajour on \$1 May 1024 All-owers, later twas identified by the investor that the SP was routed through ARN 1-56133, Mr. Vahal Bhatmagar has intimated that he does not know Mr. Shubham Singh (ARN-156133) of Mirzapur Based on the investor complaint, we have changed the ARN code to Union Bank i.e., ARN-4480. 15 156135 Shubham Singh Shubham Singh Shubham Singh Unitholder NA Unauthorized Change of ARN Code Unintholder NA Unauthorized Change of ARN Code Union Bank i.e., ARN-4480. Unauthorized Change of ARN Code Union Bank i.e., ARN-4480. Unauthorized Change of ARN Code Union Bank i.e., ARN-4480. Unauthorized Change of ARN Code Union Bank i.e., ARN-4480. Unauthorized Change of ARN Code With ARN code of Union Bank of India through ARN-156135, Investor has confirmed that he had invested under the ARN code of Union Bank i.e., ARN-4480. Code Code What Shubham Singh ARN-156135, Investor has confirmed that he had invested under the ARN code of Union Bank i.e., ARN-4480. Code Code Para Singh Shubham Singh ARN-156135, Investor has confirmed that he had invested though ARN-156135, Investor has confirmed that he has not invested though ARN-156135, Investor has confirmed that he has not invested though ARN-156135, Investor has confirmed that he has not invested though ARN-156135, Investor has confirmed that he has not invested though ARN-156135, one confirmed that he has not invested though ARN-156135, one confirmed that he has not invested though ARN-156135, one considered though and has not provided the ARN code of Union Bank for India 7 ARN-4480, Based on the investor complaint, dated April 12, 2025, we changed the ARN code													
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an SP with ARN code of Union Bank of India through Mr. Prawn Singh? 84 of Asset Management Company Private Limited at Udalpur on 15th April 1024 Novemey, fater it was identified by the investor that the SP was outset through ARN of Mr. Shubham Singh (ARN-156135) for Mirrapur Based on the investor complaint, the November of Mr. Shubham Singh (ARN-156135) for Mirrapur Based on the investor complaint, the November of Mr. Shubham Singh (ARN-156135) for Mirrapur Based on the investor complaint, the November of Mr. Shubham Singh (ARN-156135) for Mirrapur Based on the investor complaint, the November of Mr. Shubham Singh (ARN-156135) for Mirrapur Based on the investor complaint, the November of Mr. Shubham Singh (ARN-156135) for Mirrapur Based on the investor complaint, the November of Mr. Shubham Singh (ARN-156135) for Mirrapur Based on the investor complaint, the November of Mr. Shubham Singh (ARN-156135) for Mirrapur Based on the investor complaint, the November of Mr. Shubham Singh (ARN-156135) for Mirrapur Based on the investor complaint, the November of Mr. Shubham Singh (ARN-156135) for Mirrapur Based on the investor complaint, the November of Mr. Shubham Singh (ARN-156135) for Mirrapur Based on the investor complaint, the November of Mr. Shubham Singh (ARN-156135) for Mirrapur Based on the investor complaint, the November of Mr. Shubham Singh (ARN-156135) for Mirrapur Based on the Investor through ARN of Mr. Shubham Singh (ARN-156135) for Mirrapur Based on the Investor through ARN of Mr. Shubham Singh (ARN-156135) for Mirrapur Based on the Investor Complaint, the SP was content through ARN of Mr. Shubham Singh (ARN-156135) for Mirrapur Based on the Investor Complaint, the SP was content through ARN of Mr. Shubham Singh (ARN-156135) for Mirrapur Based on the Investor through ARN of Mr. Shubham Singh (ARN-156135) for Mirrapur Based on the Investor Complaint, the SP was content through ARN of Mr. Shubham Singh (ARN-156135) for Mirrapur Based on the Investor Complaint, the Investor Complaint, the SP was content th			_	_				Code	Bank of India posted at Udaipur Regional office.		we have reinstated the units	Code	empanelled by us on 9th May
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Sr.N	ARN of the MFD	Name of the MFD	Name of the employee of the MFD involved	EUIN of the employee of the MFD involved	Source of the complaint	Details where "Source of the	Nature of Mis-Selling observed	Summary of the incident	Amount of investment	Corrective Action taken by the	Code of Conduct Violation	Action taken by the AMC against the
0.			MIFD involved	INFD Involved		complaint" is selected as "Others" **	by the AMC		Involved in the incident	AMC prevent recurrence		errant MFD
					(-1) (-1)							
16	257790	AVIJIT CHAKRABORTY	Avijit Chakraborty	E481761	Others (Please specify)	AMC?s Internal Monitoring &	Fraud / Forgery / Cheating	25 Switch (9 folios MOP Single & 19 Folios	60,01,487.07	1.We have emailed to Mr. Avijit		1.We have emailed to Mr. Avijit
						Surveillance mechanism		Either or Survivor) requests submitted at UFC				Chakraborty to seek clarification in the
								Kalyani Kolkata without the knowledge of the			Distributors. MFDs shall not	said matter. 2. We have also sent
								unitholders into NFO-UTI Multi Cap Fund, by		sent registered letter on date		registered letter on date 17/06/2025,
								Sub Broker ARN code 257790, EUIN E481761		17/06/2025, consignment no.	trade practices of any kind	consignment no. AX954442332IN allowing
								(PRUDENT Corporate Advisory Services Ltd.		AX954442332IN allowing a period		a period of 7 days from the date of receipt
								ARN 9992) on 09.05.2025. Official of AMC		of 7 days from the date of receipt		of the letter to submit his response.
								Branch called the primary holder to confirm the		of the letter to submit his		3.Upon receipt of clarification from Mr.
								switch transaction, which was denied by him.			•	Avijit Chakraborty, the matter will also be
								Thereafter both the holders (Primary/ Joint 1)		of such incidents, front desk	high standards of integrity	intimated to MFD Prudent regarding the
								submitted letters to stop all the switch				activities of their sub-broker, for their
								requests. We also reached out to the sub-				necessary review and further action.
								broker to verify submission of switch request			uphold the professional image	
								which he confirmed. Later, he was not			of the Mutual Fund industry.	
								reachable. It may be concluded the switch		involving bulk submissions or		
								transactions received were bearing the forged		unusual patterns. Additionally,		
								signature of the investors.		they may contact unitholders		
										directly to confirm the		
										authenticity of the transaction,		
										wherever deemed necessary.		
										4.Further we have terminated Mr.		
										Avijit Chakraborty from UTI MF.		
17	70046	Akshay Rajendra Lunawat	Akshay Rajendra Lunawat	61449	Unitholder		Fraud / Forgery / Cheating	The complaint was received at end of March	90,96,810.33	Following confirmation, RTA was	As per Clause No.6 .a. Code of	1.Mark ARN-70046 Mr. Akshay Rajendra
			, ,					2025. The review and scrutiny of complaint		informed to: 1.Mark ARN-70046	Conduct for Mutual Fund	Lunawat as De-empanelled in ARN master.
								was concluded by end of April 2025 and		Mr. Akshay Rajendra Lunawat as	Distributors. MFDs shall not	2.Forfeit commission due / payable as on
								accordingly added in June 2025 quarter report.		De-empanelled in ARN master.	indulge in fraudulent or unfair	30th May 2025.
								Switch requests in various folios which were		2.Forfeit commission due /	trade practices of any kind	•
								transacted without investor knowledge.		payable as on 30th May 2025. 3.	while marketing, selling or	
								Communication received from investor/s Rita		The ARN-70046 has been	distributing any Mutual Fund	
								Nandkumar Jhawar and Nandkumar Jhawar		terminated by AMFI.	scheme. MFDs and their	
								dated 15/03/2025 to stop switch requests in		•	Representatives must observe	
								various folios which were transacted without			high standards of integrity	
								their knowledge. Further Nandkumar Brijratan			and consistently conduct their	
								Jhawar also submitted letter to UFC,			dealings in a manner to	
							1	Ahmednagar on 17.03.2025. where he			uphold the professional image	
							1	mentioned in the letter that he handed over his			of the Mutual Fund industry.	
								AADHAAR, PAN and photo for KYC purpose and			·	
								modification of bank account form of Mutual				
							1	fund to the MFD Akshay Lunawat. However he				I
							1	never signed any switch application or any				
							1	other form of Mutual Fund.				I
							1					