Disclosure of actions taken against MFDs related to misconduct by UTI AMC	
Particulars	**Inputs to be filled by AMC**
1. Name of the Mutual Fund	UTI Mutual Fund
2. ARN of the MFD	ARN-167274
3. Name of the MFD	Sonu Prasad Gupta
4. Name of the employee of the MFD involved	Shibu Firstrise Private Limited
5. EUIN of the employee of the MFD involved	E326591
6. Source of the complaint (to be selected from drop down menu)	Unitholder
7. Nature of Mis-Selling observed by the AMC (to be selected from drop down menu)	Others *(Sonu Prasad Gupta has allegedly Committed misconduct)*
8. Summary of the incident	Mr. Chandidas Majumdar has been invested in UTI Mutual Fund since 2018, with initial investment of Rs. 700,000 in UTI Large Cap Fund – Regular Plan – Growth. An online lien marking request was received from DSP Finance Private Limited on 23 March 2025 for pledging all units held under the following schemes in the above folio: • UTI Large Cap Fund – Regular Plan – Growth & UTI MNC Fund – Regular Plan – Growth • Subsequently, DSP Finance Private Limited submitted an online invocation request on 09 June 2026 seeking redemption of the entire pledged units and payment of the redemption proceeds to DSP Finance Private Limited. Upon receiving the redemption alert through email/SMS, Mr. Chandidas Majumdar approached the Kalyani UFC and submitted a written request to stop the redemption. He also furnished: • A copy of the FIR lodged dtd. 30th May 2026 against Mr. Sonu Prasad Gupta, ARN-167274 SHIBU FIRSTRISE PRIVATE LIMITED with the local police authorities. • A copy of the complaint letter submitted to the SEBI Kolkata Office.
9. Amount of investment Involved in the incident	Rs. 15 Lacs
10. Corrective Action taken by the AMC prevent recurrence	-
11. Code of Conduct Violation (other than mis-selling) if any	Misuse of Unitholders Data and followed unethical practices.
12. Action taken by the AMC against the errant MFD	1)The said ARN is under the suspension from April 23, 2026 to October 22, 2026 2)) Commission which is payable has been withheld for ARN-167274. 2) A communication has been sent to ARN-167274 seeking clarification regarding the complaint received.