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	362680
3. Name of the MFD	Ashish Dey
4. Name of the employee of the MFD involved	NA
5. EUIN of the employee of the MFD involved	NA
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)	Unauthorized Switch Transaction
8. Summary of the incident	On 17/08/2026, a physical request was received to switch units in folio no. 560356330104, held in the name of Md. Shafiqur Rahman. The request was to switch units from UTI Nifty 50 Index Fund-Regular Plan-Growth to UTI Large Cap Fund-Regular Plan Growth).The request was submitted by MFD Ashish Dey with his ARN 362680.After receiving the SMS, Md. Shafiqur Rahman immediately informed the Guwahati UFC that he had not made this request.
9. Amount of investment Involved in the incident	Rs. 15.80 Lakhs
10. Corrective Action taken by the AMC prevent recurrence	Following confirmation from the unitholder, AMC immediately informed the concerned RTA to stop the switch transaction for folio no. 560356330104. Discontinued commission payable for the business canvassed September, 2026 onwards.
11. Code of Conduct Violation (other than mis-selling) if any	As per Clause No.6 .a. Code of Conduct for Mutual Fund Distributors. MFDs shall not indulge in fraudulent or unfair trade practices of any kind while marketing, selling or distributing any Mutual Fund scheme. MFDs and their Representatives must observe high standards of integrity and consistently conduct their dealings in a manner to uphold the professional image of the Mutual Fund industry.
12. Action taken by the AMC against the errant MFD	The matter has been reported to AMFI, and the distributor has been de-empanelled. Discontinued commission since September 2026.