

Annexure - I

INSPECTION OF OFFICE OF BDAs / CAs

Check List cum Inspection Report

(For use of UFC for Inspection and Reporting)

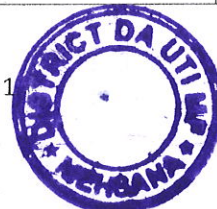
[This checklist is intended to serve as an indicative list. The officials inspecting are expected to build upon / elaborate the checklist based on their experience / observations.]

Inspection Report for the year 2022-23

Name of the District Associate	KAMLESHKUMAR C SHAH
Name of the District / Taluka	MEHSANA
Name of the Controlling UFC	MEHSANA
Name of Inspecting Official	JAYKUMAR N PATEL, RM

Marketing:

Areas to be checked	Observation	BDA/CA's Comment
Availability of the valid agreement entered into for the current Financial Year with the BDA/CA or valid Extension Letter.	NO, Waiting communication from Corporate	YES
Whether BDA is having OPA. [YES/NO]. If Yes, then whether BDA is overseeing activities such as Time Stamping, Investor & IFA handling by Karvy Staff, Infrastructure, quality of karvy staff etc.	NO	NOT APPLICABLE
Whether Office premise is owned / rental / residential etc.	OWNED	OWNED
Display of the name-board supplied by UTI AMC as specified in the agreement at the place of business (Guidelines are available on the Intranet Site under Marketing -> Channel	YES	YES



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Marketing -> Channel Retail)		
Display of NAVs/Sales & repurchase prices /posters /notice of 'CASH NOT ACCEPTED' /banners etc.	YES	YES
Periodic inspection of outdoor publicity media-promptness in reporting of errors and deviations, if any, to the AMC.	NOT APPLICABLE	NOT APPLICABLE
Customer / Relation Management :		
Availability of list of all / important investors /distributors/ IFAs of his jurisdiction along with contact details	YES	YES
System of communicating important messages / developments instantly to these distributors. Please provide following details: Mobile No: Email ID: Facebook A/c: Twitter A/c:	YES YES YES NO	9426055721 kcmehsana@yahoo.com 9426055721 NO
Proper system of liasoning with the Investors/IFAs/ Distributors under his jurisdiction – imparting of proper guidance /training to them.	YES	YES
Availability of list of important Institutes / PSUs / Pvt. Banks/ Post Offices under his jurisdiction alongwith contact details	YES	YES
Maintenance of records of meetings with Investors/ distributors / Institutions / PSUs /Pvt. Banks / Post Offices etc. with their feedback, suggestions, if any.	YES	YES



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Efforts taken to recommend competent persons for appointment of agents to increase the IFA force. No. of new IFAs recommended by the BDA during the year.	More efforts required. 2 MFDs appointed in current FY. 2022-23	Agreed
Efforts taken to train the existing as well as new IFAs specifically about the operational aspects to enable them to carry out their function efficiently.	YES	YES
Adherence to the code of conduct as defined from time to time.	YES	YES
Availability of sufficient quantity of Service Forms,	YES	YES
<u>Exclusivity:</u>		
Does the BDA/CA use the premises of the collection centre, for Services relating to UTI MF alone; or does he/she handle any other business (specify) also in the same premises?.	Premises used only for UTI MF alone.	Agreed
<u>Acceptance of Application:</u>		
Acceptance of Applications as per the guidelines in the agreement. Whether there are instances of application along with cash received has been noticed.	Not Applicable	Agreed
Availability of Bank Accounts. If yes, please provide the details. Viz. A/c No., Balance as on the end of previous month. Whether it is operative A/c	Not Applicable	Agreed
Promptness in deposition of cheques and forwarding of scheme-wise DDs favoring	Not Applicable	Agreed



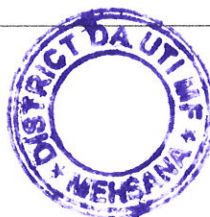
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UTIMF payable at the location of controlling UFC along with the application.		
Adequacy of monitoring of Bank branches designated to accept application in the said area to ensure quicker remittance of funds / dispatch of applications, wherever applicable.	Not Applicable	Agreed
<u>Fund Management:</u>		
Reconciliation of the application amounts with the amount of demand drafts before forwarding the same to the UFC.	Not Applicable	Agreed
Maintenance of records such as counterfoils of pay-in-slip (with bank-acknowledgements and along with cheque schedules) and cheque deposit registers etc.	Not Applicable	Agreed
Preparation of bank reconciliation-nature & amount of outstanding entries – action taken thereof. (Applicable for BDA's only)	Not Applicable	Agreed
<u>After Sales:</u>		
Availability of various forms in respect of after sales services.	YES	Agreed
Promptness in attending all investors' queries.	YES	Agreed
Promptness in inwarding and forwarding of repurchase/switchover cases to the controlling UFC.	Not Applicable	Agreed
Regularity in attending the CDRF cases-maintenance of records thereof.	No Such Cases	Agreed






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<u>Management Information System:</u>		
Correctness and promptness of sending the monthly activity reports with all the information as specified in the agreement duly filled in.	Regularly Received	Agreed
Promptness in sending bank reconciliations and bank statement copies to the controlling UFC, every month.	Not Applicable	Agreed
<u>Usage of Technology:</u>		
Preferred mode of communication Inbound (to BDA –CA) / Outbound (from BDA – CA)	Whatsup, Email & Telephonic	Agreed
Usage of Emails – Is the Email ID used is same as informed to UTI AMC and how frequently it is used?	YES	Yes, As and When required ,Daily
Awareness of UTIMF Websites/ UTI MF Mobile Apps – Frequent usage of features / links of the website	YES	Agreed, Daily
<u>Major Social Media / Applications used</u>		
Facebook	YES	kcmehsana@yahoo.com
Twitter	NO	Not in use
Whatsapp	YES	9426055721
<u>Special Initiatives / Activities/ Good work done, if any</u>		
<u>Nil</u>		



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Date:17-Aug-22

Name and Signature of the Official who has carried out the inspection	Name and Signature of the BDA/CA inspected	Name and Signature of the Chief Manager
 (JAYKUMAR N PATEL) Relationship Manager	 (KAMLESHKUMAR C SHAH) District Associate	 (RAJESH M SHAH) CHIEF MANAGER

KAMLESH C. SHAH
DA-UTI MUTUAL FUND
MEHSANA DISTRICT



Rajesh M. Shah
Vice President,
UTI Asset Management Co. Ltd.
1st Floor, A One Complex, Nr. Umiya Shopping Center,
Opp. Mehsana Urban Corporate Office, Nr. Yes Bank,
Highway, Mehsana-384002

QUESTIONNAIRE

(To be filled in by the Business Development Advisor / Chief Agent during the Inspection)

Inspection Report for the year 2022-23

Name of District Associate : MR KAMLESHKUMAR C SHAH
District / Taluka : MEHSANA
Name of Controlling UFC : MEHSANA
Region : GUJARAT
Date of Inspection : 17-AUG-22

Question	Yes/No/NA/ Comments
Marketing :	
1. Is valid BDA /CA Agreement for the current term / Extension Letter available with you?	No, awaiting communications from co
2. Are the terms and conditions / code of conduct of the agreement with the UTI AMC strictly adhered to?	YES
3. Are outdoor publicity media, if any, periodically inspected and any errors / deviations, reported to the UFC Chief Manager, immediately?	N.A.
4. Do you receive sufficient number of application forms, pamphlets, bulletins, information regarding various service requirements?	YES
Acceptance of applications:	
1. Whether proper 'Date stamp' is affixed on all sales and repurchase applications.	N.A.
2. Is it ensured that no DDs payable at places other than the place of the UFC location is accepted with fresh sales applications?	N.A.
3. Whether all the sales applications are forwarded to the controlling UFCs promptly as per the instructions from UTI AMC from time to time.	N.A.
4. Whether separate DDs are taken for each scheme?	N.A.
5. Whether any cash applications are accepted?	NO
Fund Management:	
1. Are there any inoperative bank accounts and needs closure? If yes, please mention the number of accounts?	N.A.
2. Are local cheques accepted and deposited with the bank?	N.A.
3. Is Demand Draft (DD) for the sales amount is taken immediately on clearance of cheques?	N.A.
4. Are the applications along with demand drafts duly	



reconciled with the application amounts, before forwarding to the controlling UFC?	N.A.
5. Have there been instances of bank balance in the non-operative account, exceeding the minimum balance stipulated? If, so, please furnish details and reasons for keeping such balance, separately?	N.A.
6. Are Unpaid Cheques returned only against the acknowledgement receipt to the investors?	N.A.
7. Is Cheque Returned Unpaid presented again?	N.A.
After-sales Activities :	
1. Are necessary forms in respect of after-sale services made available to the investors on demand?	YES
2. Are all investor-grievances promptly addressed and followed up?	YES
3. Are all repurchase cases and other papers accepted on behalf UTI AMC inwarded on a daily basis, and forwarded to the office concerned, promptly?	N.A.
4. Are all repurchase cases properly stamped with date?	N.A.
5. Is the process and parameters for signature verification strictly adhered to?	YES
General & Administration :	
1. Are all consumer forum cases attended in time, whichever referred to you? Whether records are maintained thereof?	N.A.
2. Are the premises of the BDAs / CAs used exclusively for services relating to UTI MF only?	YES
Management Information System :	
1. Is Monthly Activity Report sent to UFC on a monthly basis?	YES
Usage of Technology	
1. Is technology used to communicate with the IFAs / Investors?	YES
2. Are social media / applications viz. Facebook, Twitter, Whatsapp used for communication?	YES
3. Is UTI MF website referred frequently?	YES

Certified that the above information furnished by me is correct to the best of my knowledge.



Signature of District Associate

Name: MR KAMLESHKUMAR C SHAH, DA

Place: MEHSANA

Date: 17-Aug.-22

