

Template for Mis-selling Reporting

Particulars	Inputs to be filled by AMC
1. Name of the Mutual Fund	The Wealth Company Mutual Fund
2. ARN of the MFD	Nil
3. Name of the MFD	Nil
4. Name of the employee of the MFD involved	Nil
5. EUIN of the employee of the MFD involved	Nil
6. Source of the complaint	Nil
7. Nature of Mis-Selling observed by the AMC	Nil
8. Summary of the incident	Nil
9. Amount of investment Involved in the incident	Nil
10. Corrective Action taken by the AMC prevent recurrence	Nil
11. Code of Conduct Violation (other than mis-selling) if any	Nil
12. Action taken by the AMC against the errant MFD	Nil