

Role	Chief Investment Officer
Roles & Responsibilities	<ul style="list-style-type: none"> • To formulate the investment strategy and philosophy of UTI AMC Ltd and the funds belonging to various schemes therein. • Ensure adherence to SEBI risk management framework, investment policies (including Equity Research Process, Code of Conduct and Stewardship Code), risk management guidelines and risk appetite framework for schemes. • Ensure daily management of risk and necessary reporting relating to Investment risk of all scheme(s). • Review adequacy of disclosures made to the investors regarding significant risks. • Calculate overall risk by taking in to account the weighted average of the risk-o-meter and the events of defaults. • Monitor exceptions identified on review of the regular risk management activities and ensure corrective action • Report the key risk identified Report the key risks identified Report the key risks identified (Including Early warning signals, Emerging risks, Major findings, Near miss and loss events and Fraud incidents) and corrective and corrective actions taken to the CEO and CRO. • Formulate, review and periodically provide inputs to update the RCSA for key risks and controls and Perform and report outcomes of periodic testing of the RCSA to CRO

Role	Chief Risk Officer
Roles & Responsibilities	<ul style="list-style-type: none"> • Ensure all risk related policies are defined, reviewed, and updated periodically and placed at the relevant risk management committee for approval. • Responsible for implementation and governance of Risk Management Framework (“RMF”) across Asset Management Company (“AMC”) and Mutual Fund Schemes • Review and suggest changes to the risk appetite and risk metrics for AMC and scheme • Review specific responsibility of management of risk. • CRO shall be part of Risk Management Committee • Identify, assess and estimate emerging risks and their possible impact on AMC and mutual fund schemes • There is a DoP approved by the Board of AMC for risk management by CRO covering the following: Daily risk management Daily risk reporting Corrective actions at the level of Fund manager, CIO and CEO. • Put in place mechanism for reporting to CEO - Including outcomes for risk management function on monthly basis. • Put in place mechanism for risk reporting at least on a quarterly basis to the board of AMC, trustees and RMCs, covering all risks including risk metrics, escalation of material risk related incidents, timely and corrective actions taken, if any. • Report existing and emerging risks associated with the MF and AMC activities in a structured manner to CEO, Board Risk Management Committee of the AMC and Trustee

Role	Head - Equity
Roles & Responsibilities	<ul style="list-style-type: none"> • Overall in charge of planning, strategy and execution of Equity funds of the AMC and also of the Research Team. • Daily morning meetings, discussion of companies under coverage of Research. • Ensure adherence to SEBI risk management framework, investment policies (including Equity Research Process, Code of Conduct and Stewardship Code), risk management guidelines and risk appetite framework for schemes. • Ensure daily management of risk and necessary reporting relating to Investment risk of the scheme(s). • Review adequacy of disclosures made to the investors regarding significant risks. • Monitor exceptions identified on review of the regular risk management activities and ensure corrective action • Report the key risk identified Report the key risks identified Report the key risks identified (Including Early warning signals, Emerging risks, Major findings, Near miss and loss events and Fraud incidents) and corrective and corrective actions taken to the CIO. • Formulate, review and periodically provide inputs to update the RCSA for key risks and controls and Perform and report outcomes of periodic testing of the RCSA to CRO

Role	Head – Fixed Income
Roles & Responsibilities	<ul style="list-style-type: none"> • To manage the funds under the Fixed Income schemes: preparing strategy, taking decisions on asset allocation, portfolio creation and individual investments. • Mentoring and building the team. Assign responsibilities, provide guidance and monitor progress. • Ensuring adherence to investment policies and guidelines by Fund Managers. • Ensure adherence to SEBI risk management framework, investment policies (including Equity Research Process, Code of Conduct and Stewardship Code), risk management guidelines and risk appetite framework for schemes. • Ensure daily management of risk and necessary reporting relating to Investment risk of the scheme(s). • Review adequacy of disclosures made to the investors regarding significant risks. • Monitor exceptions identified on review of the regular risk management activities and ensure corrective action • Report the key risk identified Report the key risks identified Report the key risks identified (Including Early warning signals, Emerging risks, Major findings, Near miss and loss events and Fraud incidents) and corrective and corrective actions taken to the CIO. • Formulate, review and periodically provide inputs to update the RCSA for key risks and controls and Perform and report outcomes of periodic testing of the RCSA to CRO

Role	Head – Dealing
Roles & Responsibilities	<ul style="list-style-type: none"> • To oversee execution of deals in equity, Debt, money market, primary market and ensure that they are in compliance with the statutory guidelines and as per the directions of fund managers, and that trades are carried out to realize the maximum returns to UTI, and that the risk is contained within the stipulated guidelines. • Ensure adherence to investment policies (including Order Management and Execution Policy & Broker empanelment and business distribution Policy) and risk management guidelines • Monitor exceptions identified on review of the regular risk management activities and ensure corrective action • Report the key risks identified Report the key risks identified (Including Early warning signals, Emerging risks, Major findings, Near miss and loss events and Fraud incidents) and corrective actions taken to the CRO and CIO. • Monitor the activities of outsourced service providers, including custodian and bankers • Formulate, review and periodically provide inputs to update the RCSA for key risks and controls, and perform and report outcomes of periodic testing of the RCSA to CRO • Ensure adherence to the SEBI risk management framework.

Role	Head – PMS
Roles & Responsibilities	<ul style="list-style-type: none"> • Management of funds under our purview (Debt and Hybrid). Fund Management involves portfolio Asset / Security allocation as per desired objective, interacting and dealing with Brokers/Market participants, Security research, and other market participants. • Ensuring that various investment restrictions and other provisions relating to investments, laid down by SEBI, Internal Audit and covered under scheme provisions are adhered to. • Monitoring company / sector performance, visits companies, decides on asset resource allocation & stock selection with regard to the funds managed. • Monitor exceptions identified on review of the regular risk management activities and ensure corrective action as per delegation of powers. • Report the key risks identified (Including Early warning signals, Emerging risks, Major findings, Near miss and loss events and Fraud incidents) and corrective actions taken to CRO and CEO • Defining specific responsibility regarding risk management of key personnel reporting to them. • Maintaining risk level as per the risk metric. • Ensure adherence to the SEBI risk management framework and relevant policies framed thereunder

Role	Head – Sales
Roles & Responsibilities	<ul style="list-style-type: none"> • Lead , direct and control the entire sales function so that policies, procedures and activities meet the organisation's short & long-term business objectives, comply with regulations and standards and protect the organisation's public regulation. • Monitor the distribution channels and miss-selling incidents reported such as – <ul style="list-style-type: none"> Number of mis-selling incidents Negative comments in the inspection report relating to distribution Analysis of the portfolio of investors e.g. nature of investments vis-à-vis risk appetite of investor • Monitor exceptions identified on review of the regular risk management activities and ensure corrective action as per delegation of powers. • Report the key risks identified (Including Early warning signals, Emerging risks, Major findings, Near miss and loss events and Fraud incidents) and corrective actions taken to CRO and CEO • Defining specific responsibility regarding risk management of key personnel reporting to them. • Maintaining risk level as per the risk metric. • Ensure adherence to the SEBI risk management framework and relevant policies framed thereunder

Role	Chief Financial Officer
Roles & Responsibilities	<ul style="list-style-type: none">• Leads AMC finance & accounts by undertaking financial analysis in such areas as forecasting, budgeting, engaging in cost reduction analysis, and reviewing operational performance.• Monitor exceptions identified on review of the regular risk management activities and ensure corrective action as per delegation of powers.• Report the key risks identified (Including Early warning signals, Emerging risks, Major findings, Near miss and loss events and Fraud incidents) and corrective actions taken to CRO and CEO• Defining specific responsibility regarding risk management of key personnel reporting to them.• Maintaining risk level as per the risk metric.• Ensure adherence to the SEBI risk management framework and relevant policies framed thereunder

Role	Head– Human Resources
Roles & Responsibilities	<ul style="list-style-type: none"> • Establish HR as a strategic constituent of the overall business process. • Responsible to develop a strategic human capital plan that ensures Executive Compensation, Professional Development, Executive Recruitment and Retention are all aligned with the Company's Strategic objectives and goals. • Responsible for integrating HR policies into the company and co-ordinating succession planning. • Develop a positive Employer Brand. • Establish a culture that fosters high performance and commitment. • Responsible to provide a comprehensive HR framework to ensure the human resources within the organization achieve strategic business outcomes. • Adequate backup and succession plan for key positions and key people, to ensure that at no point of time the AMC is deprived of the services of any Key Managerial Person (KMP). • Ensure that risk related KRAs are defined for CXOs and one level below CXO as required by the SEBI RMF • Monitor exceptions identified on review of the regular risk management activities and ensure corrective action as per delegation of powers. • Report the key risks identified (Including Early warning signals, Emerging risks, Major findings, Near miss and loss events and Fraud incidents) and corrective actions taken to CRO and CEO • Defining specific responsibility regarding risk management of key personnel reporting to them. • Maintaining risk level as per the risk metric. • Ensure adherence to the SEBI risk management framework and relevant policies framed thereunder

Role	Head – Marketing
Roles & Responsibilities	<ul style="list-style-type: none"> • To design and drive corporate marketing/communication, alignment of brand strategy and build consensus for internal & external stakeholders and monitor the same on consistency and content. • 3 components of the role : Strategic - guiding framework for brand/ market planning ,innovation, developmental etc. - Operational - Delivering on the operating plans - Developmental - Team / capability etc. • Implementation of a 'new product approval' process to ensure that all functions have the systems, people, processes to support a new product • Monitor exceptions identified on review of the regular risk management activities and ensure corrective action as per delegation of powers. • Report the key risks identified (Including Early warning signals, Emerging risks, Major findings, Near miss and loss events and Fraud incidents) and corrective actions taken to CRO and CEO • Defining specific responsibility regarding risk management of key personnel reporting to them. • Maintaining risk level as per the risk metric. • Ensure adherence to the SEBI risk management framework and relevant policies framed thereunder

Role	Head – Operations
Roles & Responsibilities	<ul style="list-style-type: none"> • Handling the Fund accounting, treasury and market operation (back office) including trade settlements of UTI Mutual Fund Schemes in a most efficient and cost effective methods. • Handling all audits - Statutory, internal, System, SEBI, concurrent audits and all Banking arrangement with respect to mobilization under UTI Mutual Fund Schemes and payment to Unit Holder. • Supervise Operations to ensure world class service delivery through the R&T to Investors and intermediaries as per SLA in compliance with regulatory requirements. • Ensure process efficiencies and laid down processes and promptly attend to Investor Complaints and Grievances. • Review the internal controls implemented and suggest improvement to minimize both unintentional and intentions errors/actions • Monitor exceptions identified on review of the regular risk management activities and ensure corrective action • Report the key risks identified Report the key risks identified (Including Early warning signals, Emerging risks, Major findings, Near miss and loss events and Fraud incidents) and corrective actions taken to the Head-operations, CRO and CEO. • Monitor the activities of outsourced service providers, including custodian and bankers • Formulate, review and periodically provide inputs to update the RCSA for key risks and controls, and perform and report outcomes of periodic testing of the RCSA to CRO • Ensure adherence to the SEBI risk management framework

Role	Head – Legal
Roles & Responsibilities	<ul style="list-style-type: none"> • Lead, direct, and control legal activities to protect the UTI AMCs reputation and business interests and ensure it complies with all relevant laws and regulations. • Negotiating and settle commercial arrangements (e.g., loans, leases, purchase agreements, acquisitions, divestitures) and draft and review legal documents that protect the organization's legal and business interests. • Leading, directing, evaluating, and develop professional legal staff to ensure that the organization's legal activities are conducted accurately, ethically and according to established guidelines. • Ensure adherence to the SEBI risk management framework and relevant policies framed thereunder • Monitor exceptions identified on review of the regular risk management activities and ensure corrective action as per delegation of powers. • Report the key risks identified (Including Early warning signals, Emerging risks, Major findings, Near miss and loss events and Fraud incidents) and corrective actions taken to CRO and CEO • Defining specific responsibility regarding risk management of key personnel reporting to them. • Maintaining risk level as per the risk metric. • Ensure adherence to the SEBI risk management framework and relevant policies framed thereunder

Role	Head – Information Technology
Roles & Responsibilities	<ul style="list-style-type: none">• Direct and manage computing and information technology plans, policies, programs for business and finance data processing, computer services, network communications, and management information services to accomplish corporate goals and objectives.• Overseeing the development, design, and implementation of new applications and making changes to existing computer systems and software packages.• Ensuring compliance with Information security Policies, including Cyber Security Policy• Monitor the activities of outsourced service providers, and ensure compliance with IS policies and Service level agreements• Monitor exceptions identified on review of the regular risk management activities and ensure corrective action as per delegation of powers.• Report the key risks identified (Including Early warning signals, Emerging risks, Major findings, Near miss and loss events and Fraud incidents) and corrective actions taken to CRO and CEO• Defining specific responsibility regarding risk management of key personnel reporting to them.• Maintaining risk level as per the risk metric.• Ensure adherence to the SEBI risk management framework and relevant policies framed thereunder

Role	Head – Investor Service Management
Roles & Responsibilities	<ul style="list-style-type: none"> • To Guide, plan and ensure world class service delivery by the R & T Agent to our investors and intermediaries as per SLA, in compliance with regulatory requirements, ensure process efficiencies and laid down processes • Supervise the operations including those of the R&T at all UFCs / OPAs of UTI MF in all Regions across India through Regional Operations Coordinators. • To promptly attend to Investor Complaints and Grievances. • Report the key risks identified (Including Early warning signals, Emerging risks, Major findings, Near miss and loss events and Fraud incidents) and corrective actions taken to Head-Operations, CRO and CEO • Defining specific responsibility regarding risk management of key personnel reporting to them. • Maintaining risk level as per the risk metric. <p>Ensure adherence to the SEBI risk management framework and relevant policies framed thereunder</p>

Role	Head – Fund Accounts
Roles & Responsibilities	<ul style="list-style-type: none"> • Handling the Fund accounting operation of UTI Mutual Fund Schemes in a most efficient and cost effective methods. • Handling the treasury and market operation (back office) including trade settlements. • Handling Statutory auditors, SEBI and Internal and concurrent audits, System Audit, SEBI audit. All Banking arrangement with respect to mobilization under UTI Mutual Fund Schemes and payment to Unit Holder. • Review the internal controls implemented and suggest improvement to minimize both unintentional and intentions errors/actions • Monitor exceptions identified on review of the regular risk management activities and ensure corrective action • Report the key risks identified Report the key risks identified (Including Early warning signals, Emerging risks, Major findings, Near miss and loss events and Fraud incidents) and corrective actions taken to the Head-operations, CRO and CEO. • Monitor the activities of outsourced service providers, including custodian and bankers • Formulate, review and periodically provide inputs to update the RCSA for key risks and controls, and perform and report outcomes of periodic testing of the RCSA to CRO • Ensure adherence to the SEBI risk management framework

Role	EA to CEO & Head of Corporate Strategy & Communications & Investor Relations
Roles & Responsibilities	<ul style="list-style-type: none">• To provide support in developing the CEO's overall corporate strategy and plans along with the various Business Heads and supporting the CEO in day to day working.• Design corporate communication strategy and ensuring consistency in content and method in internal and external communication• Monitor exceptions identified on review of the regular risk management activities and ensure corrective action as per delegation of powers.• Report the key risks identified (Including Early warning signals, Emerging risks, Major findings, Near miss and loss events and Fraud incidents) and corrective actions taken to CRO and CEO• Defining specific responsibility regarding risk management of key personnel reporting to them.• Maintaining risk level as per the risk metric.• Ensure adherence to the SEBI risk management framework and relevant policies framed thereunder

Role	Company Secretary
Roles & Responsibilities	<ul style="list-style-type: none"> • To guide company directors about the day-to-day management of their organizations, including compliance with legal and statutory requirements. • To hold a strategic position at the heart of governance operations within an organization and act as a point of communication between the board of directors and company shareholders. • Monitor exceptions identified on review of the regular risk management activities and ensure corrective action as per delegation of powers. • Report the key risks identified (Including Early warning signals, Emerging risks, Major findings, Near miss and loss events and Fraud incidents) and corrective actions taken to CRO and CEO • Defining specific responsibility regarding risk management of key personnel reporting to them. • Maintaining risk level as per the risk metric. • Ensure adherence to the SEBI risk management framework and relevant policies framed thereunder

Role	Compliance Officer
Role Responsibilities	<ul style="list-style-type: none">• To govern and manage Compliance Risk.• Monitor exceptions identified on review of the regular risk management activities and ensure corrective action as per delegation of powers.• Report the key risks identified (Including Early warning signals, Emerging risks, Major findings, Near miss and loss events and Fraud incidents) and corrective actions taken to CRO and CEO• Defining specific responsibility regarding risk management of key personnel reporting to them.• Maintaining risk level as per the risk metric.• Ensure adherence to the SEBI risk management framework and relevant policies framed thereunder