

# FORM NO. MGT-7

[Pursuant to sub-Section(1) of section 92 of the Companies Act, 2013 and sub-rule (1) of rule 11of the Companies (Management and Administration) Rules, 2014]



सत्यमेव जयते

## Annual Return (other than OPCs and Small Companies)

Form language ☒ English ☐ Hindi

Refer the instruction kit for filing the form.

### I. REGISTRATION AND OTHER DETAILS

(i) \* Corporate Identification Number (CIN) of the company

L65991MH2002PLC137867

Pre-fill

Global Location Number (GLN) of the company

\* Permanent Account Number (PAN) of the company

AAACU6260F

(ii) (a) Name of the company

UTI ASSET MANAGEMENT COM

(b) Registered office address

UTI TOWER GN BLOCK BANDRA KURLA COMPLEX  
BANDRA(E)  
MUMBAI  
Maharashtra  
400051

(c) \*e-mail ID of the company

cs@uti.co.in

(d) \*Telephone number with STD code

02266786666

(e) Website

https://utimf.com/

(iii) Date of Incorporation

14/11/2002

(iv)	Type of the Company	Category of the Company	Sub-category of the Company
	Public Company	Company limited by shares	Indian Non-Government company

(v) Whether company is having share capital

☒ Yes ☐ No

(vi) \*Whether shares listed on recognized Stock Exchange(s)

☒ Yes ☐ No

(a) Details of stock exchanges where shares are listed

S. No.	Stock Exchange Name	Code
1	BSE Limited	1
2	National Stock Exchange of India Limited	1,024

(b) CIN of the Registrar and Transfer Agent

U72400TG2017PTC117649

Pre-fill

Name of the Registrar and Transfer Agent

KFIN TECHNOLOGIES PRIVATE LIMITED

Registered office address of the Registrar and Transfer Agents

Selenium, Tower B, Plot No- 31 & 32,  
Financial District, Nanakramguda, Serilingampally

(vii) \*Financial year From date 01/04/2020 (DD/MM/YYYY) To date 31/03/2021 (DD/MM/YYYY)

(viii) \*Whether Annual general meeting (AGM) held ☒ Yes ☐ No

(a) If yes, date of AGM

28/07/2021

(b) Due date of AGM

30/09/2021

(c) Whether any extension for AGM granted

☐ Yes ☒ No

## II. PRINCIPAL BUSINESS ACTIVITIES OF THE COMPANY

\*Number of business activities

1

S.No	Main Activity group code	Description of Main Activity group	Business Activity Code	Description of Business Activity	% of turnover of the company
1	K	Financial and insurance Service	K6	Fund Management Services	100

## III. PARTICULARS OF HOLDING, SUBSIDIARY AND ASSOCIATE COMPANIES (INCLUDING JOINT VENTURES)

\*No. of Companies for which information is to be given

7

Pre-fill All

S.No	Name of the company	CIN / FCRN	Holding/ Subsidiary/Associate/ Joint Venture	% of shares held
1	UTI VENTURE FUNDS MANAGE	U65991MH2001PTC350211	Subsidiary	100
2	UTI RETIREMENT SOLUTIONS L	U66020MH2007GOI176785	Subsidiary	100

3	UTI CAPITAL PRIVATE LIMITED	U65900MH2011PTC217430	Subsidiary	100
4	UTI INTERNATIONAL LTD., GUE		Subsidiary	100
5	UTI PRIVATE EQUITY LTD.		Subsidiary	100
6	UTI INTERNATIONAL (SINGAPORE)		Subsidiary	100
7	UTI INVESTMENT MANAGEMENT		Subsidiary	100

#### IV. SHARE CAPITAL, DEBENTURES AND OTHER SECURITIES OF THE COMPANY

##### (i) \*SHARE CAPITAL

###### (a) Equity share capital

Particulars	Authorised capital	Issued capital	Subscribed capital	Paid up capital
Total number of equity shares	200,000,000	126,787,254	126,787,254	126,787,254
Total amount of equity shares (in Rupees)	2,000,000,000	1,267,872,540	1,267,872,540	1,267,872,540

Number of classes

1

Class of Shares	Authorised capital	Issued capital	Subscribed capital	Paid up capital
Equity Shares				
Number of equity shares	200,000,000	126,787,254	126,787,254	126,787,254
Nominal value per share (in rupees)	10	10	10	10
Total amount of equity shares (in rupees)	2,000,000,000	1,267,872,540	1,267,872,540	1,267,872,540

###### (b) Preference share capital

Particulars	Authorised capital	Issued capital	Subscribed capital	Paid-up capital
Total number of preference shares	0	0	0	0
Total amount of preference shares (in rupees)	0	0	0	0

Number of classes

0

Class of shares	Authorised capital	Issued capital	Subscribed capital	Paid up capital
Number of preference shares				
Nominal value per share (in rupees)				
Total amount of preference shares (in rupees)				

**(c) Unclassified share capital**

Particulars	Authorised Capital
Total amount of unclassified shares	0

**(d) Break-up of paid-up share capital**

Class of shares	Number of shares			Total nominal amount	Total Paid-up amount	Total premium
<b>Equity shares</b>	Physical	DEMAT	Total			
<b>At the beginning of the year</b>	346,516	126,440,738	126787254	1,267,872,5	1,267,872,5	
<b>Increase during the year</b>	0	100,511	100511	0	0	0
i. Public Issues	0	0	0	0	0	0
ii. Rights issue	0	0	0	0	0	0
iii. Bonus issue	0	0	0	0	0	0
iv. Private Placement/ Preferential allotment	0	0	0	0	0	0
v. ESOPs	0	0	0	0	0	0
vi. Sweat equity shares allotted	0	0	0	0	0	0
vii. Conversion of Preference share	0	0	0	0	0	0
viii. Conversion of Debentures	0	0	0	0	0	0
ix. GDRs/ADRs	0	0	0	0	0	0
x. Others, specify	0	100,511	100511	0	0	
Others						
<b>Decrease during the year</b>	100,511	0	100511	0	0	0
i. Buy-back of shares	0	0	0	0	0	0
ii. Shares forfeited	0	0	0	0	0	0
iii. Reduction of share capital	0	0	0	0	0	0
iv. Others, specify	100,511	0	100511	0	0	
Others						
<b>At the end of the year</b>	246,005	126,541,249	126787254	1,267,872,5	1,267,872,5	
<b>Preference shares</b>						



<b>At the beginning of the year</b>	0	0	0	0	0	
<b>Increase during the year</b>	0	0	0	0	0	0
i. Issues of shares	0	0	0	0	0	0
ii. Re-issue of forfeited shares	0	0	0	0	0	0
iii. Others, specify						
<b>Decrease during the year</b>	0	0	0	0	0	0
i. Redemption of shares	0	0	0	0	0	0
ii. Shares forfeited	0	0	0	0	0	0
iii. Reduction of share capital	0	0	0	0	0	0
iv. Others, specify						
<b>At the end of the year</b>	0	0	0	0	0	

ISIN of the equity shares of the company

INE094J01016

**(ii) Details of stock split/consolidation during the year (for each class of shares)**

0

Class of shares		(i)	(ii)	(iii)
Before split / Consolidation	Number of shares			
	Face value per share			
After split / Consolidation	Number of shares			
	Face value per share			

**(iii) Details of shares/Debentures Transfers since closure date of last financial year (or in the case of the first return at any time since the incorporation of the company) \***

☒ Nil

[Details being provided in a CD/Digital Media]

☐ Yes ☐ No ☐ Not Applicable

Separate sheet attached for details of transfers

☐ Yes ☐ No

Note: In case list of transfer exceeds 10, option for submission as a separate sheet attachment or submission in a CD/Digital Media may be shown.

Date of the previous annual general meeting				<input style="width: 100%;" type="text"/>			
Date of registration of transfer (Date Month Year)				<input style="width: 100%;" type="text"/>			
Type of transfer		<input style="width: 50%;" type="text"/>		1 - Equity, 2- Preference Shares,3 - Debentures, 4 - Stock			
Number of Shares/ Debentures/ Units Transferred		<input style="width: 50%;" type="text"/>		Amount per Share/ Debenture/Unit (in Rs.)		<input style="width: 50%;" type="text"/>	
Ledger Folio of Transferor				<input style="width: 100%;" type="text"/>			
Transferor's Name		<input style="width: 50%;" type="text"/>		<input style="width: 50%;" type="text"/>		<input style="width: 50%;" type="text"/>	
		Surname		middle name		first name	
Ledger Folio of Transferee				<input style="width: 100%;" type="text"/>			
Transferee's Name		<input style="width: 50%;" type="text"/>		<input style="width: 50%;" type="text"/>		<input style="width: 50%;" type="text"/>	
		Surname		middle name		first name	
Date of registration of transfer (Date Month Year)				<input style="width: 100%;" type="text"/>			
Type of transfer		<input style="width: 50%;" type="text"/>		1 - Equity, 2- Preference Shares,3 - Debentures, 4 - Stock			
Number of Shares/ Debentures/ Units Transferred		<input style="width: 50%;" type="text"/>		Amount per Share/ Debenture/Unit (in Rs.)		<input style="width: 50%;" type="text"/>	

Ledger Folio of Transferor							
Transferor's Name							
	Surname		middle name		first name		
Ledger Folio of Transferee							
Transferee's Name							
	Surname		middle name		first name		

**(iv) \*Debentures (Outstanding as at the end of financial year)**

Particulars	Number of units	Nominal value per unit	Total value
Non-convertible debentures	0	0	0
Partly convertible debentures	0	0	0
Fully convertible debentures	0	0	0
<b>Total</b>			0

**Details of debentures**

Class of debentures	Outstanding as at the beginning of the year	Increase during the year	Decrease during the year	Outstanding as at the end of the year
<b>Non-convertible debentures</b>	0	0	0	0
<b>Partly convertible debentures</b>	0	0	0	0
<b>Fully convertible debentures</b>	0	0	0	0

**(v) Securities (other than shares and debentures)**

0

Type of Securities	Number of Securities	Nominal Value of each Unit	Total Nominal Value	Paid up Value of each Unit	Total Paid up Value
<b>Total</b>					

**V. \*Turnover and net worth of the company (as defined in the Companies Act, 2013)**

**(i) Turnover**

9,681,569,308.94

**(ii) Net worth of the Company**

28,808,899,127.82

**VI. (a) \*SHARE HOLDING PATTERN - Promoters**

S. No.	Category	Equity		Preference	
		Number of shares	Percentage	Number of shares	Percentage
1.	Individual/Hindu Undivided Family				
	(i) Indian	0	0	0	
	(ii) Non-resident Indian (NRI)	0	0	0	
	(iii) Foreign national (other than NRI)	0	0	0	
2.	Government				
	(i) Central Government	0	0	0	
	(ii) State Government	0	0	0	
	(iii) Government companies	0	0	0	
3.	Insurance companies	0	0	0	
4.	Banks	0	0	0	
5.	Financial institutions	0	0	0	
6.	Foreign institutional investors	0	0	0	
7.	Mutual funds	0	0	0	
8.	Venture capital	0	0	0	
9.	Body corporate (not mentioned above)	0	0	0	
10.	Others	0	0	0	
	<b>Total</b>	0	0	0	0

**Total number of shareholders (promoters)**

0

**(b) \*SHARE HOLDING PATTERN - Public/Other than promoters**

S. No.	Category	Equity		Preference	
		Number of shares	Percentage	Number of shares	Percentage

1.	Individual/Hindu Undivided Family				
	(i) Indian	9,987,726	7.88	0	
	(ii) Non-resident Indian (NRI)	413,067	0.33	0	
	(iii) Foreign national (other than NRI)	27	0	0	
2.	Government				
	(i) Central Government	0	0	0	
	(ii) State Government	0	0	0	
	(iii) Government companies	0	0	0	
3.	Insurance companies	12,665,051	9.99	0	
4.	Banks	44,651,485	35.22	0	
5.	Financial institutions	0	0	0	
6.	Foreign institutional investors	6,787,366	5.35	0	
7.	Mutual funds	20,178,199	15.92	0	
8.	Venture capital	0	0	0	
9.	Body corporate (not mentioned above)	741,567	0.58	0	
10.	Others Foreign Portfolio Investors,	31,362,766	24.74	0	
	<b>Total</b>	126,787,254	100.01	0	0

**Total number of shareholders (other than promoters)**

218,163

**Total number of shareholders (Promoters+Public/  
Other than promoters)**

218,163

**(c) \*Details of Foreign institutional investors' (FIIs) holding shares of the company**

16

Name of the FII	Address	Date of Incorporation	Country of Incorporation	Number of shares held	% of shares held
LAZARD EMERGING M	DEUTSCHE BANK AG, DB HOUSE, F			1,697,990	1.34
HSBC GLOBAL INVEST	HSBC SECURITIES SERVICES, GORE			1,606,387	1.27
HSBC INDIAN EQUITY	HSBC SECURITIES SERVICES, GORE			764,614	0.6
MIRAE ASSET INDIA M	CITIBANK NA CUSTODY SERVICES,			616,044	0.49

Name of the FII	Address	Date of Incorporation	Country of Incorporation	Number of shares held	% of shares held
LORD ABBETT INTERN	DEUTSCHE BANK DB HOUSE POST			448,518	0.35
KUWAIT INVESTMENT	CITIBANK NA CUSTODY SERVICES,			445,957	0.35
MIRAE ASSET INDIA SM	CITIBANK NA CUSTODY SERVICES I			311,108	0.25
ELARA INDIA OPPORT	ICICI BANK LTD EMPIRE COMPLEX			270,324	0.21
GOVERNMENT PENSIC	CITIBANK NA CUSTODY SERVICES I			250,000	0.2
INTEGRATED CORE ST	DEUTSCHE BANK AG, DB HOUSE, F			107,541	0.08
SHBNPP INDIA SECURI	HSBC SECURITIES SERVICES GOREC			95,500	0.08
RISING INDIA FOCUS F	STANDARD CHARTERED BANK FOI			90,000	0.07
ROBECO CAPITAL GRC	JPMORGAN CHASE BANK NA MAL			41,959	0.03
PROBUS OPPORTUNIT	STANDARD CHARTERED BANK FOI			23,500	0.02
HSBC INDIAN EQUITY	CITIBANK NA CUSTODY SERVICES I			16,674	0.01
LAZARD ASSET MANA	CITIBANK NA CUSTODY SERVICES I			1,250	0

**VII. \*NUMBER OF PROMOTERS, MEMBERS, DEBENTURE HOLDERS**  
**(Details, Promoters, Members (other than promoters), Debenture holders)**

Details	At the beginning of the year	At the end of the year
Promoters	0	0
Members (other than promoters)	1,709	218,163
Debenture holders	0	0

**VIII. DETAILS OF DIRECTORS AND KEY MANAGERIAL PERSONNEL**

**(A) \*Composition of Board of Directors**

Category	Number of directors at the beginning of the year		Number of directors at the end of the year		Percentage of shares held by directors as at the end of year	
	Executive	Non-executive	Executive	Non-executive	Executive	Non-executive
<b>A. Promoter</b>	0	0	0	0	0	0
<b>B. Non-Promoter</b>	1	10	1	8	0	0
(i) Non-Independent	1	2	1	2	0	0

(ii) Independent	0	8	0	6	0	0
<b>C. Nominee Directors representing</b>	0	0	0	0	0	0
(i) Banks & FIs	0	0	0	0	0	0
(ii) Investing institutions	0	0	0	0	0	0
(iii) Government	0	0	0	0	0	0
(iv) Small share holders	0	0	0	0	0	0
(v) Others	0	0	0	0	0	0
Total	1	10	1	8	0	0

**Number of Directors and Key managerial personnel (who is not director) as on the financial year end date** 12

**(B) (i) \*Details of directors and Key managerial personnel as on the closure of financial year**

Name	DIN/PAN	Designation	Number of equity share(s) held	Date of cessation (after closure of financial year : If any)
Dinesh Kumar Mehrotra	00142711	Director	810	
Imtaiyazur Rahman	01818725	Whole-time director	1,971	
Deepak Kumar Chatterjee	03379600	Director	0	
Dipali H Sheth	07556685	Director	0	
Edward Cage Bernard	08243277	Director	0	
Flemming Madsen	02904543	Director	0	
Jayashree Vaidhyanathan	07140297	Director	0	
Narasimhan Seshadri	03486485	Director	351	
Rajeev Kakar	01888608	Director	0	
Imtaiyazur Rahman	AFDPR0276D	CEO	1,971	
Surojit Saha	AAFPS1795P	CFO	3,513	
Arvind Patkar	AKLPR0892G	Company Secretary	0	

**(ii) Particulars of change in director(s) and Key managerial personnel during the year**

5

Name	DIN/PAN	Designation at the beginning / during the financial year	Date of appointment/ change in designation/ cessation	Nature of change (Appointment/ Change in designation/ Cessation)
Dinesh Kumar Mehrotra	00142711	Director	28/11/2020	Reappointment
Narasimhan Seshadri	03486485	Director	28/11/2020	Reappointment
Imtaiyazur Rahman	AFDPR0276D	CEO	13/06/2020	Appointment
Ashok Shah	01194846	Director	28/11/2020	Cessation
Uttara Dasgupta	06570950	Director	28/11/2020	Cessation

## IX. MEETINGS OF MEMBERS/CLASS OF MEMBERS/BOARD/COMMITTEES OF THE BOARD OF DIRECTORS

### A. MEMBERS/CLASS /REQUISITIONED/NCLT/COURT CONVENED MEETINGS

Number of meetings held

1

Type of meeting	Date of meeting	Total Number of Members entitled to attend meeting	Attendance	
			Number of members attended	% of total shareholding
Annual General Meeting	27/11/2020	431,095	92	45.62

### B. BOARD MEETINGS

\*Number of meetings held

12

S. No.	Date of meeting	Total Number of directors associated as on the date of meeting	Attendance	
			Number of directors attended	% of attendance
1	29/04/2020	11	11	100
2	12/06/2020	11	10	90.91
3	22/07/2020	11	11	100
4	26/08/2020	11	11	100
5	12/09/2020	11	11	100
6	21/09/2020	11	11	100
7	28/09/2020	11	10	90.91
8	03/10/2020	11	11	100



S. No.	Date of meeting	Total Number of directors associated as on the date of meeting	Attendance	
			Number of directors attended	% of attendance
9	28/10/2020	11	11	100
10	17/11/2020	11	10	90.91
11	29/01/2021	9	9	100
12	05/02/2021	9	9	100

### C. COMMITTEE MEETINGS

Number of meetings held

15

S. No.	Type of meeting	Date of meeting	Total Number of Members as on the date of the meeting	Attendance	
				Number of members attended	% of attendance
1	Audit Committee	29/04/2020	5	5	100
2	Audit Committee	22/07/2020	5	5	100
3	Audit Committee	28/09/2020	5	4	80
4	Audit Committee	28/10/2020	5	5	100
5	Audit Committee	29/01/2021	5	5	100
6	Nomination and Remuneration	28/04/2020	5	5	100
7	Nomination and Remuneration	05/06/2020	5	5	100
8	Nomination and Remuneration	12/06/2020	5	5	100
9	Nomination and Remuneration	23/10/2020	5	5	100
10	Nomination and Remuneration	27/01/2021	4	4	100

### D. \* ATTENDANCE OF DIRECTORS

S. No.	Name of the director	Board Meetings			Committee Meetings			Whether attended AGM held on
		Number of Meetings which director was entitled to attend	Number of Meetings attended	% of attendance	Number of Meetings which director was entitled to attend	Number of Meetings attended	% of attendance	
								28/07/2021 (Y/N/NA)
1	Dinesh Kumar	12	12	100	11	11	100	Yes
2	Imtaiyazur Ral	12	12	100	1	1	100	Yes

3	Deepak Kuma	12	12	100	8	8	100	Yes
4	Dipali H Sheth	12	12	100	6	6	100	Yes
5	Edward Cage	12	12	100	6	6	100	No
6	Flemming Mac	12	10	83.33	9	7	77.78	No
7	Jayashree Vai	12	12	100	4	4	100	No
8	Narasimhan S	12	12	100	13	13	100	Yes
9	Rajeev Kakar	12	12	100	8	8	100	Yes

**X. \*REMUNERATION OF DIRECTORS AND KEY MANAGERIAL PERSONNEL**

☐ Nil

Number of Managing Director, Whole-time Directors and/or Manager whose remuneration details to be entered

1

S. No.	Name	Designation	Gross Salary	Commission	Stock Option/ Sweat equity	Others	Total Amount
1	Imtaiyazur Rahman	Whole-time Dire	51,801,452	0	24,853,755		76,655,207
	Total		51,801,452	0	24,853,755	0	76,655,207

Number of CEO, CFO and Company secretary whose remuneration details to be entered

3

S. No.	Name	Designation	Gross Salary	Commission	Stock Option/ Sweat equity	Others	Total Amount
1	Imtaiyazur Rahman	CEO	51,801,452	0	24,853,755	0	76,655,207
2	Surojit Saha	CFO	10,329,425	0	2,541,190	24,591	12,895,206
3	Arvind Patkar	CS	2,678,085	0	240,868	0	2,918,953
	Total		64,808,962	0	27,635,813	24,591	92,469,366

Number of other directors whose remuneration details to be entered

8

S. No.	Name	Designation	Gross Salary	Commission	Stock Option/ Sweat equity	Others	Total Amount
1	Dinesh Kumar Mehra	Director	0	0	0	2,200,000	2,200,000
2	Deepak Kumar Chandra	Director	0	0	0	2,100,000	2,100,000
3	Dipali Hemant Shetty	Director	0	0	0	1,550,000	1,550,000
4	Jayashree Vaidhyar	Director	0	0	0	1,450,000	1,450,000
5	Narasimhan Seshadri	Director	0	0	0	2,350,000	2,350,000

S. No.	Name	Designation	Gross Salary	Commission	Stock Option/ Sweat equity	Others	Total Amount
6	Rajeev Kakar	Director	0	0	0	1,650,000	1,650,000
7	Edward Cage Berna	Director	0	0	0	0	0
8	Flemming Madsen	Director	0	0	0	0	0
	Total		0	0	0	11,300,000	11,300,000

#### XI. MATTERS RELATED TO CERTIFICATION OF COMPLIANCES AND DISCLOSURES

\* A. Whether the company has made compliances and disclosures in respect of applicable provisions of the Companies Act, 2013 during the year ☒ Yes ☐ No

B. If No, give reasons/observations

#### XII. PENALTY AND PUNISHMENT - DETAILS THEREOF

(A) DETAILS OF PENALTIES / PUNISHMENT IMPOSED ON COMPANY/DIRECTORS /OFFICERS ☒ Nil

Name of the company/ directors/ officers	Name of the court/ concerned Authority	Date of Order	Name of the Act and section under which penalised / punished	Details of penalty/ punishment	Details of appeal (if any) including present status

(B) DETAILS OF COMPOUNDING OF OFFENCES ☒ Nil

Name of the company/ directors/ officers	Name of the court/ concerned Authority	Date of Order	Name of the Act and section under which offence committed	Particulars of offence	Amount of compounding (in Rupees)

#### XIII. Whether complete list of shareholders, debenture holders has been enclosed as an attachment

☐ Yes ☒ No

(In case of 'No', submit the details separately through the method specified in instruction kit)

#### XIV. COMPLIANCE OF SUB-SECTION (2) OF SECTION 92, IN CASE OF LISTED COMPANIES

In case of a listed company or a company having paid up share capital of Ten Crore rupees or more or turnover of Fifty Crore rupees or more, details of company secretary in whole time practice certifying the annual return in Form MGT-8.

Name

Vishal N Manseta

Whether associate or fellow

☒ Associate ☐ Fellow

Certificate of practice number

8981

**I/We certify that:**

- (a) The return states the facts, as they stood on the date of the closure of the financial year aforesaid correctly and adequately.  
(b) Unless otherwise expressly stated to the contrary elsewhere in this Return, the Company has complied with all the provisions of the Act during the financial year.

**Declaration**

I am Authorised by the Board of Directors of the company vide resolution no. ... **17(a)** dated **11/10/2006**  
(DD/MM/YYYY) to sign this form and declare that all the requirements of the Companies Act, 2013 and the rules made thereunder in respect of the subject matter of this form and matters incidental thereto have been complied with. I further declare that:

1. Whatever is stated in this form and in the attachments thereto is true, correct and complete and no information material to the subject matter of this form has been suppressed or concealed and is as per the original records maintained by the company.
2. All the required attachments have been completely and legibly attached to this form.

**Note: Attention is also drawn to the provisions of Section 447, section 448 and 449 of the Companies Act, 2013 which provide for punishment for fraud, punishment for false statement and punishment for false evidence respectively.**

**To be digitally signed by**

Director

Digitally signed by  
IMTAIYAZU  
R RAHMAN  
Date: 2021.09.25  
18:16:58 +05'30'

DIN of the director

01818725

**To be digitally signed by**

Digitally signed by  
Arvind  
Bhagwan  
Das Patkar  
Date: 2021.09.25  
18:18:31 +05'30'

- ☒ Company Secretary  
☐ Company secretary in practice

Membership number

21577

Certificate of practice number

**Attachments**

1. List of share holders, debenture holders
2. Approval letter for extension of AGM;
3. Copy of MGT-8;
4. Optional Attachement(s), if any

**Attach****Attach****Attach****Attach****List of attachments**

MGT-8.pdf

Clarification Letter.pdf

**Remove attachment**

Modify

Check Form

Prescrutiny

Submit

**This eForm has been taken on file maintained by the Registrar of Companies through electronic mode and on the basis of statement of correctness given by the company**



**VISHAL N. MANSETA** (B.Com, A. C. S.)

Practicing Company Secretary

Off. No. 12, B Wing, Smital Avenue, Hatkesh Udyog Nagar Road, Near JP North,  
Mira Road (East), Thane - 401107. Mob. : +91 99870 66314, +91 93217 99780

Web : [www.vishalmanseta.com](http://www.vishalmanseta.com) Email : [vishal\\_manseta@rediffmail.com](mailto:vishal_manseta@rediffmail.com) / [vishal@vishalmanseta.com](mailto:vishal@vishalmanseta.com)

**Form No. MGT-8**

[Pursuant to section 92(2) of the Companies Act, 2013 and Rule 11(2) of Companies  
(Management and Administration) Rules, 2014]

**CERTIFICATE BY A COMPANY SECRETARY IN PRACTICE**

I have examined the registers, records and books and papers of **UTI ASSET MANAGEMENT COMPANY LIMITED** (the Company) as required to be maintained under the Companies Act, 2013 (the Act) and the Rules made thereunder for the financial year ended on 31<sup>st</sup> March 2021. In my opinion and to the best of my information and according to the examinations carried out by me and explanations furnished to me by the Company, its officers and agents, I certify that:

- A. the Annual Return states the facts as at the close of the aforesaid financial year correctly and adequately.
- B. during the aforesaid financial year, the Company has complied with provisions of the Act & Rules made there under in respect of the matters mentioned below:
  1. The paid-up share capital of Company being in excess of Rs. 10 Crores, the Company has appointed whole time Company Secretary;
  2. The Company is public limited company, limited by shares;
  3. The Company has maintained proper records and registers and all the necessary entries required to be made have been entered;
  4. The Company has filed the requisite forms and returns with the Registrar of Companies as and when required and has paid fees, as applicable;
  5. The meetings of Board of Directors were held after giving due notices to the directors. The meeting of the members of the Company was also held before due date as stated in the annual return and in respect of which, proper notice has been given. Also, the proceedings of all the meetings including the circular resolutions passed by Board of Directors have been properly recorded in the Minute Book/registers maintained for the purpose and the same have been signed;
  6. The register of the members was closed from Saturday, November 21, 2020 to Friday, November 27, 2020 (both days inclusive);



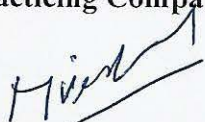


7. There were no advance/loans given to its directors and/or persons or firms or companies referred in Section 185 of the Act except an unsecured loan granted to UTI Capital Private Limited;
8. The details of contracts/arrangements with related parties specified in Section 188 of the Act are as per the provisions of the Act and necessary approvals was obtained from directors;
9. During the period under review, no transfer of physical equity shares had occurred;
10. There was no instance of keeping in abeyance, the rights to dividend, rights shares and bonus shares pending registration of transfer of shares in compliance with the provisions of the Act;
11. The dividend was declared but no amount was required to be transferred to the Investor Education and Protection Fund in accordance with Section 125 of the Act;
12. The Audited Financial Statements were signed as per the provisions of Section 134 of the Act and Directors' Report is as per sub-sections (3), (4) and (5) thereof;
13. The Board of the Company is duly constituted and during the year, Mr. Dinesh Kumar Mehrotra and Mr. Narasimhan Seshadri were re-appointed as an Independent Directors of the Company for a period of 5 (five) consecutive years from 28<sup>th</sup> November, 2020 to 27<sup>th</sup> November, 2025 and Mr. Ashok Shah resigned as Independent Director and Ms. Uttara Dasgupta ceased to be an Independent Director with effect from the conclusion of the 17<sup>th</sup> Annual General Meeting held on 27<sup>th</sup> November 2020. No new appointment has been made;
14. M/s. G. D. Apte & Co. were appointed as Statutory auditors of the Company by the Comptroller and Auditor General of India (CAG) for F.Y. 2020-21;
15. The requisite approvals to be taken, whenever required, from the Central Government, Tribunal, Regional Director, Registrar, Court or such other authorities under the various provisions of the Act has been taken;
16. The Company has not accepted any deposits, during the year;
17. There were no borrowings from its directors, members, public financial institutions, banks and/or others. Also, there were no creation/ modification/ satisfaction of charges during the financial year under review;
18. There were no loans taken or guarantees given or investment made or securities provided to other bodies corporate or persons falling under the provisions of Section 186 of the Act; and



19. During the year under review, Article 129 of the Articles of Association was ratified and there was no alteration in the Memorandum of Association of the Company.

For Vishal N. Manseta  
Practicing Company Secretary



(Vishal N. Manseta)

C.P. No : 8981

ACS No. : 25183

Date : September 24, 2021

Place : Mumbai

UDIN : A025183C001004370

