

**Ref:** UTI/AMC/CS/SE/2020-21/025

**Date:** 9<sup>th</sup> November, 2020

**National Stock Exchange of India Limited**

Exchange Plaza Plot No. C/1  
G Block Bandra-Kurla Complex  
Bandra (East) Mumbai – 400051  
Scrip Symbol: UTIAMC

**BSE Limited**

Phiroze Jeejeebhoy Towers  
Dalal Street  
Mumbai 400 001  
Scrip Code/Symbol: 543238/UTIAMC

**Sub: Reporting of violation under SEBI (Prohibition of Insider Trading) Regulations, 2015**

Dear Sir/ Madam,

We are enclosing herewith report on violation under SEBI (Prohibition of Insider Trading) Regulations, 2015 relating to the Company's Code of Conduct for regulating, monitoring and reporting of trading by designated persons and their immediate relatives, in the format prescribed by SEBI *vide* Circular No. SEBI/HO/ISD/ISD/CIR/P/2020/135 dated 23<sup>rd</sup> July, 2020.

We request you to disseminate the above information on your respective websites.

Thanking you,

**For UTI Asset Management Company Limited**

Arvind  
Bhagwan  
Das  
Patkar

Digitally signed by Arvind Bhagwan Das Patkar  
DN: cn=Arvind Bhagwan Das Patkar,  
2.5.4.20=30c475a114845f38a6a08b6e732  
8a6103373c656660338c8b013137c,  
postalCode=400008, street=602, New Swarna  
Cooperative Housing Society Ltd, Santacruz  
Chamber Link Road, Santacruz  
East, Mumbai, O=UTI Asset Management Company  
Limited, serialNumber=38928a7651335664793d0c11c  
572548d07f551c0203a0c23456514857148a,  
o=UTI Asset Management Company Limited,  
ou=UTI Asset Management Company Limited,  
pseudoym=996c78b0e406678c274099a70  
a6c  
Date: 2020.11.09 13:30:32 +05'30'

Arvind Patkar  
**Company Secretary and Compliance Officer**

**Encl.:** As above

**Form E**


SEBI (Prohibition of Insider Trading) Regulations, 2015 read with SEBI Circular dated 23<sup>rd</sup> July, 2020  
Report for violations related to Code of Conduct under SEBI (Prohibition of Insider Trading) Regulations 2015.

Sr. No.	Particulars	Details
1	Name of the <b>listed company</b> / Intermediary/Fiduciary	UTI Asset Management Company Ltd.
2	Please tick appropriate checkbox Reporting in capacity of: <input checked="" type="checkbox"/> Listed Company <input type="checkbox"/> Intermediary <input type="checkbox"/> Fiduciary	Listed Company
<b>A. Details of Designated Person (DP)</b>		
i.	Name of the DP	Mr Avinash Talegaonkar
ii.	PAN of the DP	AADPT0242Q
iii.	Designation of DP	Vice President
iv.	Functional Role of DP	Team member Legal department
v.	Whether DP is Promoter or belongs to Promoter Group	No
<b>B. If Reporting is for immediate relative of DP</b>		
i.	Name of the immediate relative of DP	NA
ii.	PAN of the immediate relative of DP	NA
<b>C. Details of transaction(s)</b>		
i.	Name of the scrip	Equity share of UTI Aset Management Company Ltd.
ii.	No of shares traded and value (Rs.) (Date- wise)	500 shares - Value Rs.2,60,190
<b>D. In case value of trade(s) is more than Rs.10 lacs in a calendar quarter</b>		
i.	Date of intimation of trades (s) by concerned DP /promoter /promoter group of Company under regulation 7 of SEBI (PIT) Regulations, 2015	NA
ii.	Date of intimation of trades(s) by Company to stock exchanges under regulation 7 of SEBI (PIT) Regulations, 2015	NA
4	Details of violations observed under Code of Conduct	Trade done in Trading window closure period

5	Action taken by Listed Company/Intermediary/Fiduciary	Warning letter issued to designated person												
6	Reasons recorded in writing for taking action stated above	Designated person clarified that he transacted out of inadvertence and provided assurance that he will be careful in future to ensure that such violation is not repeated in future.												
7	Details of the previous instances of violations, if any, since last financial year	NIL												
8	<b>If amount collected for Code of Conduct violation(s)</b>													
	i. Mode of transfer to SEBI – IPEF (Online/Demand Draft)	NIL												
	ii. Details of transfer/payment	NIL												
	<b>In case of Online:</b>													
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DD date														
DD amount (in Rs.)														
9	Any other relevant information	No												

Yours faithfully,

Date and Place :  
Mumbai  
09/11/2020

  
Name and Signature of Compliance Officer  
Mr Vivek Maheshwari  
PAN: AAFPM0993D  
Email ID:Vivek.maheshwari@uti.co.in