

Ref.No: UTIMF/DOO-CMS/11/SEBI-7744/1/2019-20

15th November 2019

All India UTI AMC Officers Association ("Unit holder"),
Dadyseth House, First Floor,
Nanabhai Lane, Fort,
Mumbai : 400023.
Maharashtra

Speed post
o-DOO-29481.

Re: Investment in UTI Treasury Advantage Fund ("Scheme")

Dear Sir,

Please refer to your communication lodged on SCORES website vide their registration nos. SEBIP/MH19/0005195/1 dated 4th November 2019 on the captioned subject.

This is with reference to the mail dated 01.11.2019 of the Unit holder addressed to the Chairman, Securities and Exchange Board of India concerning investment in UTI Treasury Advantage Fund, which has been received by us from SEBI on November 8, 2019.

At the time of investment of the funds of the Scheme, the debentures of Dewan Housing Finance Ltd. were rated 'AAA' by CRISIL and UTIMF took a prudent exposure of ~3.5% to 4%, which was far lower than the prescribed SEBI limit of 10% per issuer.

Further, with respect to the query on taking longer maturity paper in the Scheme, we would like to draw your attention to the fact that as per the Scheme Information Document (SID) of the Scheme, the (Macaulay) duration of the portfolio needs to be between 6 to 12 months. The underlying portfolio achieves the targeted duration (of 6 to 12 months) using securities of different maturities depending on the shape of the yield curve.

While the endeavour of the scheme is to generate reasonable income, there are also risks associated with investment in debt and money market instruments which are captured in the Scheme Information Document including interest rate risk, default risk etc. Due to these factors, there may be gains/losses on investments made by the scheme which gets reflected in the NAV of the scheme. Further, UTI MF Schemes do not guarantee/ assure any returns to investors. While we are pursuing various options to recover the dues from the borrower, it is pertinent to note that any recovery going forward from such company through interest payments and/or mark up in valuation would be written back into the scheme which would reflect in the NAV of the scheme.



UTI Asset Management Company Ltd.



As far as the investment of the Unit holder in the Scheme is concerned, the copy of the Statement of Account is attached for ready reference.

Hope the above duly clarifies the position.

Thanking and assuring you of our utmost attention at all times.

Yours faithfully

A handwritten signature in black ink, appearing to read 'Gladston Somervel', written over a horizontal line.

Gladston Somervel
Head- Investor Service
Encl: a/a

Account Statement

Statement Date : 22 Nov 2019

* Folio No. : **522302478597**
 * Please quote this folio number for future correspondence / transactions.

ALL INDIA UTI AMC OFFICERS ASSOCIATION				Unique Client Code : MFUTIB0057			
DADYSETH HOUSE FIRST FLOOR NANABHAI LANE FORT MUMBAI MAHARASHTRA INDIA, PIN : 400023				Date Of Birth	: Please Provide	Category	: RESIDENT INDIAN
Mobile No : 9892900910 Email ID : abrolpawan49@yahoo.com				Mode of Holding	: SINGLE	Status	: AOP
				Bank Account No	: Current/XXXXXXXXXXXX682	Pay Mode	: Electronic
				Bank Name	: AXIS BANK LIMITED		
				MICR No	: 400211025	IFS Code	: UTIB0000230
				Financial Advisor	:		
				Sub ARN Code	:	Sub Code	: EUIN :
Holder	PAN	KYC Status/KIN	FATCA	You can send your request for Account Statement 24x7 with either your Folio no., or PAN or Email ID (provided PAN and Email ID is registered in the Folio) by logging on to UTI Mutual Fund's website www.utimf.com. The service is available with a drop down option of "Request for SoA" under the heading "Customer Service".			
Primary Holder	XXXXXXXX80A	Complied(CVL KRA)	Yes				
2nd Holder							
3rd Holder							
Guardian							

UTI Treasury Advantage Fund - Direct Growth Plan							ISIN : INF789F01X13
Tr.Date	Transaction Type	Amount (₹)	NAV(₹)	Load (₹)	Price (₹)	Number of Units	Balance Units
	Opening Balance						64.843
10/10/2017	Redemption Direct credit sent to AXIS BANK	150,000.00	2341.7337		2341.7337	64.055	0.788
25/04/2019	Purchase (NAV Dt : 30/04/2019)	500,000.00	2614.3280		2614.3280	191.254	192.042
12/07/2019	Redemption Direct credit sent to AXIS BANK	70,000.00	2356.3799		2356.3799	29.707	162.335
23/10/2019	Redemption Direct credit sent to AXIS BANK	50,000.00	2413.9578		2413.9578	20.713	141.622
W.e.f. : 07/06/2019 Exit Load: 3% if redeemed < 90 days, 2% if redeemed between >= 90 to <179 days and 1% if redeemed between >= 180 to <364 days from the date of investment.No Exit load on or after 365 days from the date of investment							
NAV ₹ 2431.2274 (as on 21 Nov 2019)		Amount Invested ₹ 370,246.00		Current value ₹ 344,315.29			

Local UFC Address : UTI Financial Centre, Lotus Court Building, 196, Jamshedji Tata Road, Backbay Reclamation, Mumbai - 400 020. Tel: (022) 22850822/22821357

Folio No. : 522302478597	Sub ARN Code :	Primary Holder	PAN	KYC Status
Name : ALL INDIA UTI AMC OFFICERS ASSOCIATION	Sub Code :		XXXXXXXX80A	Complied(CVL KRA)
Mode of Holding : SINGLE	EUIN :	2nd Holder		
Bank Details : Current/XXXXXXXXXXXX682 / AXIS BANK LIMITED / BANDRA KURLA COMPLEX / MUMBAI / 400051 / ECS - 400211025 / IFS Code : UTIB0000230	RM code :	3rd Holder		
Financial Advisor :		Guardian		

Upfront commission shall be paid directly by the investor to the AMFI registered Distributors based on the investors' assessment of various factors including the service rendered by the distributor

UTI Treasury Advantage Fund - Direct Growth Plan		Balance Units : 141.622
Nature of Transactions : (Please tick & fill up relevant details)		
<input type="checkbox"/> Purchase / Additional Purchase : I/we would like to purchase units of the above mentioned scheme for Amount ₹ (in fig) _____ (in words) _____ Cheque/DD Number _____ dated _____ Drawn on Bank _____ Branch _____ Bank A/c type (Please tick) <input type="checkbox"/> Savings <input type="checkbox"/> Current <input type="checkbox"/> NRO <input type="checkbox"/> NRE		
<input type="checkbox"/> Switch : I/we would like to switch All units <input type="checkbox"/> or Partial units <input type="checkbox"/> units or ₹ (amount in figures) _____ (in words) _____ from above mentioned Scheme to _____ Plan <input type="checkbox"/> Growth <input type="checkbox"/> Dividend Payout <input type="checkbox"/> Dividend Reinvestment		
<input type="checkbox"/> Redemption : I/we would like to redeem All units <input type="checkbox"/> or Partial units <input type="checkbox"/> units or ₹ (amount in figures) _____ (in words) _____ from above mentioned Scheme. I/we furnish MICR & IFS code to facilitate electronic payments.		
MICR NO		IFSC
I/we have understood the contents of the Offer document and addenda issued till date and apply to the Trustee of UTI Mutual Fund as indicated above. I/we agree to abide by the terms and conditions, rules and regulations of the scheme as on the date of investment. I/we undertake to confirm that the applicant/unit holder is empowered to invest/disinvest and the signatories have necessary authorization to invest/disinvest on behalf of applicant/unit holder. I/we undertake to confirm that this investment has been duly authorized by appropriate authorities in terms of all relevant documents and procedural requirements. I/we have not received nor been induced by any rebate or gifts, directly or indirectly in making investment. * I/we confirm that we are Non residents of Indian Nationality/ Origin and that the funds are remitted from abroad through approved banking channels or from my/ our funds from my/ our NRE/ NRO account. I/we undertake to provide further details of source of funds and any such other relevant document, if called by UTI Mutual Fund. *Applicable to NRIs.		
<input type="checkbox"/> The ARN holder has disclosed to me/us all the commissions (in the form of trail commission or any other mode), payable to him for the different competing Schemes of various Mutual Funds from amongst which the Scheme is being recommended to me/us. <input type="checkbox"/> *EUIN: I/we hereby confirm that the EUIN box has been intentionally left blank by me/us as this is an "execution-only" transaction without any interaction or advice by the employee/relationship manager/sales person of the above distributor or notwithstanding the advice of in-appropriateness, if any, provided by the employee/relationship manager/sales person of the distributor and the distributor has not charged any advisory fees on this transaction.		
SIGNATURE(S)	First Account Holder	Second Account Holder
		Third Account Holder