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| **Template for disclosing actions taken against MFDs related to misconduct by AMCs on their website** | |
| **Particulars** | **Inputs to be filled by AMC** |
| 1. Name of the Mutual Fund | Invesco Mutual Fund |
| 1. ARN of the MFD | Nil |
| 1. Name of the MFD | Nil |
| 1. Name of the employee of the MFD involved | Nil |
| 1. EUIN of the employee of the MFD involved | Nil |
| 1. Source of the complaint   (to be selected from drop down menu) | 1. AMC’s Internal Monitoring & Surveillance mechanism 2. Unitholder 3. Unitholder’s relative / representative 4. SEBI 5. AMFI 6. Another ARN holder 7. Social Media 8. Newspaper 9. Others (Please specify) |
| 1. Nature of Mis-Selling observed by the AMC   (to be selected from drop down menu) | 1. Fraud / Forgery / Cheating 2. Misappropriation of investor’s Funds 3. Misrepresentation of Scheme Features 4. Inadequate Risk Disclosure 5. Incorrect Suitability Assessment 6. Unauthorized Switch Transaction 7. Unauthorized Redemption Transaction 8. Unauthorized Change of ARN Code 9. Non-Disclosure of Charges & Lock-In Period 10. False Assurances / Guaranteed Returns Claim 11. Churning (Excessive Switching for Higher Commissions) 12. Using non-approved marketing material/ scheme performance disclosure 13. Others (Please specify) |
| 1. Summary of the incident | Nil |
| 1. Amount of investment Involved in the incident | Nil |
| 1. Corrective Action taken by the AMC prevent recurrence | Nil |
| 1. Code of Conduct Violation (other than mis-selling) if any | Nil |
| 1. Action taken by the AMC against the errant MFD | Nil |