

Annexure II

FORMAT FOR COMPLIANCE TEST REPORT (CTR) TO SEBI

[Compliance Tests for Mutual Funds regulated by SEBI under SEBI (Mutual Funds) Regulations, 1996 (MF Regulations) and Circulars issued thereunder]

1. AMC shall submit CTR on the activities of Mutual Funds/AMC to SEBI within 21 days from the end of respective quarters (March, June, September and December).
2. AMC need to mention 'Yes'/'No' with respect to each compliance item and wherein there is non-compliance and AMC has mentioned 'No', details regarding the nature of non-compliance should be given along with the corrective action taken, if any.
3. Anything given in the format shall not be interpreted as modification of any MF Regulations or Circulars issued thereunder.
4. AMC shall also report any other compliances as prescribed by SEBI from time to time.
5. The Format is indicative only. Any other non-compliances during the period over and above the regulations/clauses specified in the format shall also be reported by AMC.

Compliance Test Report for the Quarter end...
Name of the Mutual Fund :
Name of the Asset Management Company :
Name of the Chief Compliance Officer :
I. General Compliance Test
II. Investment Compliance Test
III. Investor Services Compliance Test

I. General Compliance Test

Sl. No.	Regulations	Particulars	Remarks ¹
1	Sub-regulation 11 of regulation 18	Each trustee has filed the details of his transactions of dealing in securities on a quarterly basis within the specified timeline.	
2	Sub-regulation 27 of regulation 18	Independent directors of trustee or asset management company have paid specific	

¹ (Indicate 'Yes' if complied with the MF Regulations and various circulars issued thereunder and 'No' for non-compliance). Further, in case of non-compliance, kindly provide the details regarding the non-compliance and the corrective action(s) taken, if any.

		attention and commented in their reports on clause (i) to (ix) of this sub regulation.	
3	Clause (f) of sub-regulation 1 of regulation 21	Networth of the AMC is computed as per the definition under Clause (qa) of sub-regulation 1 of regulation 2 and the networth is more the regulatory requirement of INR 10 Cr./ 50 Cr./ 100 Cr. Further, the networth is maintained on a continuous basis.	
4	Clause (a) of regulation 24	The asset management company is not acting as a trustee of any mutual fund.	
5	Clause (b) of regulation 24	The asset management company is not undertaking any other business activities other than in the nature of management and advisory services provided to pooled assets including offshore funds, insurance funds, pension funds, provident funds, or such categories of foreign portfolio investor subject to the conditions specified by the Board from time to time. Such activities are not in conflict with the activities of the mutual fund.	
6	First proviso to clause (b) of regulation 24	If the asset management company may itself or through its subsidiaries undertake activities as mentioned in clause (b) of regulation 24, provided the conditions laid under paragraph (i) to (viii) of the first proviso are satisfied.	
7	Second proviso to clause (b) of regulation 24	<p>The asset management company may, itself or through its subsidiaries, undertake portfolio management services and advisory services for other than broad based fund till further directions, as may be specified by the Board, subject to compliance with the following additional conditions:</p> <p>(i) that the key personnel of the asset management company, the systems, back office, bank and securities accounts are segregated activity wise and there exist systems to prohibit access to inside information of various activities.</p> <p>(ii) that the capital adequacy requirements, if any, separately for each such activity, are met and has obtained separate approval, if necessary, under the relevant</p>	

		regulations.	
8	Third proviso to clause (b) of regulation 24	An asset management company may become a proprietary trading member for carrying out trades in the debt segment of the recognised stock exchanges, on behalf of its mutual fund schemes and may also become a self-clearing member of the recognised clearing corporations to clear and settle trades in the debt segment on behalf of its mutual fund schemes.	
9	Sub-regulation 1 of regulation 25	The asset management company has taken all reasonable steps and has exercised due diligence to ensure that the investment of funds pertaining to any scheme is not contrary to the provisions of these regulations and the trust deed.	
10	Sub-regulation 2 of regulation 25	The asset management company has exercised due diligence and care in all its investment decisions as is exercised by other persons engaged in the same business.	
11	Sub-regulation 3 of regulation 25	The asset management company has ensured that there are no acts of commissions or omissions by its employees or the persons whose services have been procured by the asset management company.	
12	Sub-regulation 4 of regulation 25	The asset management company has submitted to the trustees Quarterly Reports (QRs) of each year on its activities and the compliance with the MF Regulations.	
13	Sub-regulation 8 of regulation 25	The asset management company has not utilized the services of the sponsor or any of its associates, employees or their relatives, for the purpose of any securities transaction and distribution and sale of securities.	
14	First proviso to sub-regulation 8 of regulation 25	If the asset management company has utilized the services of the sponsor or any of its associates, employees or their relatives, for the purpose of any securities transaction and distribution and sale of securities, the asset management company has ensured that disclosure to that effect is made to the unit holders and the brokerage or commission paid is also disclosed in the half yearly/	

		annual accounts of the mutual fund.	
15	Second proviso to sub-regulation 8 of the regulation 25	The Mutual Fund has disclosed in the half yearly & yearly accounts : (i) any underwriting obligations taken by the Scheme in respect of issues of securities of associate companies & (ii) devolvement, if any, (iii) subscription in issues lead managed by associate companies & (iv) subscription to any issue of equity or debt on private placement basis where the sponsor or its associate companies has acted as arranger or manager.	
16	Sub-regulation 9 of regulation 25	The asset management company has filed with the trustees the details of transactions in securities by the key personnel of the asset management company in their own name or on behalf of the asset management company.	
17	Sub-regulation 10 of regulation 25	In case the asset management company has entered into any securities transactions with any of its associates a report to that effect be sent to the trustees at its next meeting.	
18	Sub-regulation 11 of regulation 25	In case any company has invested more than 5 per cent of the net asset value of a scheme, the investments made by that scheme or by any other scheme of the same mutual fund in that company or its subsidiaries have been brought to the notice of the trustees by the asset management company indicating the names of companies/schemes in which such investments have been made and have been disclosed in the half yearly and annual accounts of the respective schemes with justification for such investment. Provided the latter investment has been made within one year of the date of the former investment calculated on either side.	
19	Sub-regulation 12 of regulation 25	The asset management company has filed with the trustees and SEBI the following : (i) detailed bio-data of all its directors along with their interest in other companies within fifteen days of their appointment; and (ii) any change in the interests of directors every 6 months	

		(iii) a quarterly report to the trustee giving details and adequate justification in respect of the purchase and/or sale of the securities of the group companies of the sponsor or the AMC by the mutual fund.	
20	Sub-regulation 13 of regulation 25	The directors of the AMC shall file the details of transactions in securities with the Trustees on quarterly basis.	
21	Sub-regulation 14 of regulation 25	The asset management company has not appointed any person as key personnel who has been found guilty of any economic offence or involved in violation of securities laws.	
22	Sub-regulation 15 of regulation 25	The asset management company has appointed registrars and share transfer agents who are registered with the Board.	
23	Proviso sub-regulation 15 of regulation 25	If the work relating to the transfer of units is processed in-house, the charges at competitive market rates have been debited to the scheme and for rates higher than the competitive market rates, prior approval of the trustees has been obtained and reasons for charging higher rates have been disclosed in the annual accounts.	
24	Sub-regulation 16 of regulation 25, Clause b of Sub-regulation of 6B of Regulation 25 and Clause b of Sub-regulation of 6C of Regulation 25	The asset management company has abided by the Code of Conduct as specified in Part A & Part B of the Fifth Schedule of MF Regulations.	
25	Sub-regulation 17 of regulation 25	The asset management company has not invested in any of its scheme, unless full disclosure of its intention to invest has been made in the offer documents, in case of schemes launched after the notification of Securities and Exchange Board of India (Mutual Funds) (Amendment) Regulations, 2011.	
26	Proviso to Sub-regulation 17 of regulation 25	If the asset management company has invested in any schemes, it has not charged any fee on its investment in that scheme.	
27	Sub-regulation 18 of regulation 25	The asset management company has not carried out its operations including trading	

		desk, unit holder servicing and investment operations outside the territory of India.	
28	Sub-regulation 19 of regulation 25	The asset management company has computed and carried out valuation of investments made by its scheme(s) in accordance with the investment valuation norms specified in Eighth Schedule and has published the same.	
29	Sub-regulation 20 of regulation 25	The asset management company and the sponsor of the mutual fund compensated the affected investors and/or the scheme for any unfair treatment to any investor as a result of inappropriate valuation.	
30	Sub-regulation 21 of regulation 25 read with SEBI Circular nos. <ul style="list-style-type: none"> • SEBI/CFD/DIL/BOND/1/2006/12/12 dated December 12, 2006, • SEBI/CBM/BOND/01/2007/01/03 dated March 01, 2007, • SEBI/CBM/BOND/02/2007 /13/04 dated April 13, 2007, • SEBI/IMD/DOF-1/BOND/Cir-3/ 2009 dated July 31, 2009 • IMD/DOF-I/BOND/174666/ 2009 dated August 27, 2009, • SEBI/IMD/DOF-1/BOND/Cir-4/2009 dated October 16, 2009, • CIR/IMD/DF/6/2010 dated July 30, 2010, • Cir/IMD/DF/6/2012 dated February 28, 2012 and • CIR/MRD/DP/10/2014 dated March 21, 2014 	The asset management company has reported and disclosed all the transactions in debt and money market securities, including inter scheme transfers, as specified by SEBI.	
31	Sub-regulation 4 of regulation 28	The sponsor or asset management company shall invest not less than one percent of the amount which would be raised in the new fund offer or fifty lakh rupees, whichever is less, and such investment shall not be	

		<p>redeemed unless the scheme is wound up:</p> <p>Provided that the investment by the sponsor or asset management company shall be made in such option of the scheme, as specified by the Board.</p>	
32	Sub-regulation 1 of regulation 29A	The asset management company has provided an option to the unitholder to nominate, in the manner specified in Fourth Schedule, a person in whom the units held by him shall vest in the event of his death.	
33	Regulation 30	<p>Advertisements are in conformity with the Advertisement Code as specified in the Sixth Schedule and shall be submitted to the Board within 7 days from the date of issue.</p> <p>The AMC has complied with each of the clauses under Sixth Schedule and SEBI circular Cir/IMD/ DF/13/ 2011 dated August 22, 2011 and SEBI/HO/IMD/DF3/CIR/P/2018/ 69 dated April 12, 2018 while releasing scheme specific advertisement, sales literature, newsletters, web sites and any other advertisement pertaining to the mutual fund.</p>	
34	Regulation 31	The offer document and advertisement materials are not misleading or contain any statement or opinion which are incorrect or false.	
35	Regulation 32	Every close ended scheme, other than an equity linked savings scheme, are listed on a recognised stock exchange within the time period and subject to such conditions as specified by the Board.	
36	SEBI Circular No. MFD/CIR/ 16 / 400 /02 March 26, 2002	Disclosure of benchmark returns and review of performance of schemes by the Boards of AMC and Trustees on a periodical basis.	
37	<p>SEBI Circular No.</p> <ul style="list-style-type: none"> • MFD/CIR No. 10/310/01 dated September 25, 2001 • MFD/CIR No. SEBI/MFD/CIR No.01/ 6693/ 03 dated 	Certification programme for agents/distributors of mutual funds units and employees of mutual funds.	

	<p>April 3, 2003,</p> <ul style="list-style-type: none"> • SEBI / IMD / CIR No. 2/254/04 dated February 4, 2004 • Cir/IMD/DF/5/2011 dated June 24, 2010, • OW/14970/2012 dated July 5, 2012. 		
38	<p>SEBI Circular No. MFD/CIR/15/19133/2002 dated September 30, 2002</p>	<p>Risk Management System in areas of operations like Fund Management, operations, customer service, market and distribution, disaster recovery and business contingency etc.</p>	
39	<p>SEBI Circular No. MFD/CIR/19/22474/2002 dated Nov. 20, 2002</p>	<p>Reconciliation of Government Securities.</p>	
40	<p>SEBI Circular No. MFD/CIR/20/23230/2002 dated Nov. 28, 2002</p>	<p>Registration of Intermediaries (Distributors).</p>	
41	<p>SEBI Circular MFD/CIR No.4/ 216/2001 dated May 08, 2001, CIR/IMD/DF/10/2014 dated May 22, 2014 and SEBI / HO/IMD/DF2/CIR/P/2016/124 dated November 17, 2016</p>	<p>The AMC has complied with Investment / Trading Guidelines by the employees of AMC and Mutual Fund Trustee Company.</p>	
42	<p>SEBI Circular No.</p> <ul style="list-style-type: none"> • MFD/CIR /20/23230/2002 dated Nov. 28, 2002 • IMD/CIR No. 8/174648/2009 dated August 27, 2009 	<p>Code of Conduct (Distributors).</p>	
43	<p>SEBI Circular No.</p> <ul style="list-style-type: none"> • SEBI/IM D/CIR No.10/22701/03 dated Dec. 12, 2003 • SEBI/IM D/CIR No. 1/42529/05 dated June 14, 2005 	<p>Minimum Number of Investors in Schemes/ Plans and minimum number of holdings by single investor.</p>	

44	<p>SEBI Circular No.</p> <ul style="list-style-type: none"> • SEBI/IMD/CIR No. 8/5611/2004 dated March 19, 2004 • SEBI/IMD/CIR No. 9/6016/2004 dated March 25, 2004 • SEBI/IMD/CIR No.11/78450/06 dated October 11, 2006 • Cir / IMD / DF / 19 / 2010 dated November 26 , 2010 • Letter from SEBI to AMFI IMD/DF2/OW/35102/2014 • SEBI/HO/IMD/DF4/CIR/P/2019/102 dated September 24, 2019 • SEBI Circular No. SEBI/HO/IMD/DF2/CIR/P/2020/175 dated September 17, 2020 • SEBI Circular No. SEBI/HO/IMD/DF2/CIR/P/2020/253 dated December 31, 2020 	<p>Uniform cut-off timings for applicability of Net Asset Value (NAV) of Mutual Fund scheme(s)/plan(s).</p>	
45	<p>SEBI Circular No.</p> <ul style="list-style-type: none"> • SEBI/Cir No.11/171/01 dated February 9, 2001, • SEBI/IMD/ CIR No. 5/63714/06 dated March 29, 2006 • SEBI/IMD/ CIR No. 5/96576/2007 dated June 25, 2007 • SEBI Circular No. SEBI/HO/IMD/DF2/CIR/P/2018/92 dated June 	<p>Time limit for updating NAV on AMFI / AMC website.</p> <p>Prominently disclose the NAVs of all schemes under a separate head on website of the Fund and on the website of AMFI and further, Mutual Funds to also extend facility of sending latest available NAVs to unitholders through SMS, upon receiving a specific request.</p>	

	<p>5, 2018</p> <ul style="list-style-type: none"> SEBI/HO/IMD/DF4/CIR/P/2019/102 dated September 24, 2019 		
46	SEBI Circular No. SEBI/IMD/CIR No. 14/151044/09 dated January 19, 2009	Prohibition of Indicative Portfolios and Yields in Mutual Fund schemes.	
47	SEBI Circular No. SEBI/IMD/CIR No.9/74364/06 dated August 14, 2006	Disclosures and review of Capital Protection Oriented Scheme.	
48	SEBI Circular no. SEBI/HO/IMD/DF2/CIR/P/2019/101 dated September 20, 2019	<p>Risk Management Framework for liquid and Overnight Funds:</p> <ul style="list-style-type: none"> Liquid Funds and Overnight Funds shall not park funds pending deployment in short term deposits of scheduled commercial banks. Liquid Funds and Overnight Funds shall not invest in debt securities having structured obligations (SO rating) and/ or credit enhancements (CE rating). However, debt securities with government guarantee shall be excluded from such restriction. 	
49	SEBI Circular No. SEBI/HO/IMD/DF2/CIR/P/2019/155 dated December 16, 2019	The asset management company is not undertaking any other business activities other than in the nature of management and advisory services provided to pooled assets including offshore funds, insurance funds, pension funds, provident funds, or such categories of foreign portfolio investor subject to such conditions, as maybe specified by the Board from time to time, if any of such activities are in conflict with the activities of the mutual fund.	
50	SEBI Circular No. SEBI/HO/IMD/DF2/CIR/P/2019/101 dated September 20, 2019 and SEBI Circular No. SEBI/HO/IMD/DF3/CIR/P/2020/229 dated	<p>Requirement of minimum holding of atleast 20% of net assets in liquid funds.</p> <p>Requirement of minimum holding of atleast 10% of net assets in all open ended debt schemes.</p>	

	November 06, 2020		
51	SEBI Circular No. SEBI/IMD/CIR No.7/104753/08 dated September 26, 2007, SEBI Circular SEBI/IMD/CIR No.2/122577/08 dated April 08, 2008 and SEBI/HO/IMD/DF3/CIR/P/2020/225	Guidelines with respect to Overseas investment.	
52	SEBI Circular No. SEBI/IMD/CIR No.18/198647/2010 dated March 15, 2010, SEBI Circular No. CIR/IMD/DF/05/2014 dated March 24, 2014, SEBI Circular No. SEBI Circular No. SEBI/HO/IMD/DF2/CIR/P/2016/68 dated August 10, 2016 and SEBI Circular No. CIR/CFD/CMD1/168/2019 dated December 24, 2019 and SEBI Circular No. SEBI/HO/IMD/DF4/CIR/P/2021/29 dated March 05, 2021	Guidelines for votes cast by Mutual Funds.	

Place:

Date:

Signature of the Chief Compliance Officer:

II. Investment Compliance Test

S.N.	Regulations	Particulars	Remarks ¹
1	Clause 1 of seventh schedule to sub-regulation 1 of regulation 44 read with Paragraph C of SEBI Circular No. SEBI/HO/IMD/DF2/CIR/P/2019/104 dated October 01, 2019	Restrictions with respect to single issuer limit.	
2	Clause 1A of seventh schedule to sub-regulation 1 of regulation 44 read with Paragraph B of SEBI Circular No. SEBI/HO/IMD/DF2/CIR/P/2019/104 dated October 01, 2019	Restrictions with respect to investment in Unlisted debt instruments and Unrated debt instruments.	
3	Clause 2 of seventh schedule to sub-regulation 1 of regulation 44	Restrictions with respect to owning of paid up capital of any company. The Mutual Fund does not own more than 10% of any company's paid-up capital carrying voting rights under all its schemes. (If yes, give details of the investments made in excess of 10% of the paid up capital of the company in the prescribed format CR1)	
4	Clause 3 of seventh schedule to sub-regulation 1 of regulation 44 and SEBI circular SEBI/ HO/ IMD/DF4/CIR/P/2020/202 dated October 08, 2020	Restrictions with respect to Inter Scheme Transfers. (Give details of inter scheme transfers wherein there is non-compliance in the prescribed format CR2)	
5	Clause 4 of seventh schedule to sub-regulation 1 of regulation 44	Restrictions with respect to Aggregate inter scheme investments made by all schemes. (Give details of such investments in the prescribed format CR 3)	
6	Clause 6 of seventh schedule to sub-regulation 1	Restrictions with respect to:	

	of regulation 44 & sub-regulations 1 & 2 of regulation 45	<p>a. Buy and sell securities on the basis of deliveries.</p> <p>b. Short Selling of securities.</p> <p>c. Derivative transactions.</p>	
7	Clause 7 of seventh schedule to sub-regulation 1 of regulation 44	Restrictions with respect to purchase or transfer of securities in the name of the mutual fund on account of the concerned scheme.	
8	<p>Clause 8 of seventh schedule and the following SEBI Circulars</p> <ul style="list-style-type: none"> • SEBI/IMD/CIR No. 1/91171 /07 dated April 16, 2007 SEBI/IMD/CIRNo.7 /129592/08 dated Jun 23, 2008 • SEBI Circular No. SEBI/HO/IMD/DF4/CIR/P/2019/093 dated August 16, 2019 • SEBI Circular No. SEBI/HO/IMD/DF2/CIR/P/2019/101 dated September 20, 2019 	Restrictions with respect to investments in Short Term Deposits of Scheduled Commercial Banks.	
9	Clause 9 of seventh schedule to sub-regulation 1 of regulation 44	<p>Restrictions with respect of investment in:</p> <p>a. Unlisted security of an associate or group company of the Sponsor.</p> <p>b. Securities issued by way of private placement by an associate or group company of the sponsor.</p> <p>c. Listed securities of group companies of the sponsor which is in excess of 25 per cent of the net assets.</p>	
10	Clause 9A of seventh schedule to sub-regulation 1 of regulation 44	Restriction with respect to investment in Fund of Funds scheme.	
11	Clause 10 of seventh	Restriction with respect to	

	schedule to sub-regulation 1 of regulation 44 and SEBI Circular No.MFD/CIR/09/014/2000 dated January 05, 2000	investment limit in the equity shares or equity related instruments of any company. [Give details of all cases where the investments have exceeded the limit of 10% including the exempted cases under the proviso to clause 10 in the prescribed format CR 4]	
12	Clause 11 of seventh schedule to sub-regulation 1 of regulation 44	Restriction with respect to investments in equity shares and equity related instruments in only listed or to be listed securities.	
13	Clause 12 of seventh schedule to sub-regulation 1 of regulation 44	Restrictions with respect of investment by Fund of Funds scheme.	
14	Clause 13 of seventh schedule to sub-regulation 1 of regulation 44	Restrictions with respect of investment in the units of REITs and InvITs.	
15	Clause 14 of seventh schedule to sub-regulation 1 of regulation 44 and SEBI/HO/IMD/DF2/CIR/P/2019/65 dated May 21, 2019 and No. SEBI/HO/IMD/DF2/CIR/P/2020/96 dated June 05, 2020 and SEBI Circular No. SEBI/HO/IMD/DF2/CIR/P/2021/10 dated January 15, 2021	Restrictions with respect of investment in Exchange Traded Commodity Derivatives.	
16	Sub-regulation 2 of regulation 44	Restrictions with respect to borrowings by mutual fund. (Give details of borrowings by the scheme wherein there is non-compliance as per the prescribed format CR 5)	
17	Sub-regulation 3 of Regulation 44	Restrictions with respect to loans by mutual fund.	
18	Sub-regulation 4 of Regulation 44	Restrictions with respect to lending and borrowing of securities borrowings by mutual fund.	
19	Sub-regulation 5 of Regulation 44	Restrictions with respect to investments by a gold exchange traded fund scheme.	

20	Sub-regulation 7 of regulation 25	Restrictions with respect to business done through brokers. (Give details of transactions done through such brokers, by amount, as per the prescribed format in CR 6, please mark * against the names of associates.) (Further, Inter scheme transfer and direct deals with the companies should not be included in the aggregate transaction amount used as the basis for the computation of the total business to the brokers)
21	Sub-regulation 11 of regulation 25	Disclosure requirements under Regulation 25 (11) have been complied with.
22	SEBI Circular No IMD/CIR No. 12/147132/08 dated December 11, 2008 and SEBI Circular No. Cir / IMD / DF / 19 / 2010 dated November 26, 2010	Restrictions with respect to investments by Close ended debt schemes and Interval schemes.
23	SEBI Circular No SEBI/HO/IMD/DF2/CIR/P/2016/35 dated February 15, 2016, SEBI Circular No. SEBI/HO/IMD/DF2/CIR/P/2017/14 dated February 22, 2017 and SEBI Circular No. SEBI/HO/IMD/DF2/CIR/P/2019/104 dated October 01, 2019	Restrictions with respect to Sector Level Exposure.
24	SEBI Circular No SEBI/HO/IMD/DF2/CIR/P/2016/35 dated February 15, 2016 and SEBI Circular No. SEBI/HO/IMD/DF2/CIR/P/2019/104 dated October 01, 2019	Restrictions with respect to Group Level Exposure.

Place:

Date:

Signature of the Chief Compliance Officer:

III. Investors Service Compliance Test

S No	Regulation	Particulars	Remarks¹
1	Sub-clause 2 of regulation 37	The unit certificates are transferred and returned to the transferees within 30 days from the date of production of instruments of transfer together with relevant unit certificates.	
2	Sub-clause (a) of regulation 53	The dividend payments have been dispatched to the unit holders within 15 days from the record date. (Give details wherein dividend warrants were not dispatched within the timelines as per the prescribed format CR 8).	
3	Sub-clause (b) of regulation 53	The repurchase/redemption proceeds have been dispatched within 10 working days from the date of receipt of requests for repurchase/redemption.	
4	Sub-clause © of regulation 53	The AMC has paid interest @15% for the period of delay in the event of failure to dispatch the redemption or repurchase proceeds or dividend payments within the stipulated time. Details of interest paid enclosed in the format specified in SEBI circular MFD/CIR/2/266/2000 dated May 19, 2000. (Give details wherein interest is required to be paid for failure to dispatch the redemption or repurchase proceeds within the stipulated time as per the prescribed format CR 7).	

Give details regarding the status of investor complaints forwarded by SEBI during the quarter and at the beginning of the quarter period as per the following format :

Number of complaints pending at the beginning of the period.	Number of complaints forwarded by SEBI during the period	Number of complaints redressed* during the period	Number of complaints pending at the end of the period

Give details regarding the status of investor complaints received directly by the mutual fund during the quarter period as per the following format :

Number of complaints pending at the beginning of the period.	Number of complaints received during the period	Number of complaints redressed* during the period	Number of complaints pending at the end of the period

* All complaints which have been fully resolved and a communication thereof has been sent to the complainant shall be deemed to have been redressed.

Place
Date

Signature of the Chief Compliance Officer

CR 1: Report of investment in Companies in excess of 10% of their paid up capital carrying voting rights

Date	Name of the Company	Purchase Price	Value (INR lacs)	Holding as % of company's capital carrying voting rights

Signature of the Chief Compliance Officer

CR 2: Inter Scheme Transfers (ISTs)

Date	Name of the Transferor Scheme	Name of the Transferee Scheme	Name of the company and type of security	Details of Transfer			Market rate (if unquoted/unlisted and basis of rate)	Reasons of transfer
				Quantity	Rate	Value (INR lacs)		

Signature of Chief Compliance Officer

CR 3: Intra and Inter Scheme Investments

Investee Scheme		Investor Scheme				Total investments by schemes as % of net assets of the investee schemes*
Name	Resources mobilised / net assets (INR lacs)	Name	Net assets (INR lacs)	Investments (INR lacs)	Investment as % of net assets	
	Name					

*Information to be given only in the case of intra scheme investments.

Signature of the Chief Compliance Officer.

CR – 4: Details of investments in excess of the limits specified in Clause 10 of the Seventh Schedule of SEBI (Mutual Funds) Regulations 1996 read with SEBI Circular No.MFD/CIR/09/014/2000 dated January 05, 2000.

(1)	(2)	(3)	(4)	(5)	(6) *	(7)
Sl. No	Scheme	Scrip	Date/s of violation/s (First and each of the subsequent ones due to incremental investments, if any)	Holding in the scrip as a % of the NAV of the scheme, consequent to the investment	Applicable limit	Name & closing value of the benchmark index / sub-index(if applicable)

* For the sector /industry specific schemes, the applicable (upper) limit is the weightage of the scrip in the representative sectoral index/sub index or 10% of the NAV whichever is higher, as specifically disclosed in the offer document.

For index funds/schemes, the upper limits shall be in accordance with the weightage of the scrips as disclosed in the offer document

For all other schemes, the applicable upper limit for holding in each scrip is 10% of NAV.

Signature of the Chief Compliance Officer

CR 5: Report on borrowings of Mutual Funds

Name of the scheme and category	Nature of instruments/ mode of borrowings	Source (Institutions/banks/others)	Purpose	Date of borrowing	Date of repayment of borrowing (specify the period of borrowing)	Rate of borrowing	Amount borrowed as % of net assets	Collateral used (if any)	Amount of interest borne by the Scheme	Amount of interest borne by AMC	Average Portfolio Yield during the period

Signature of the Chief Compliance Officer

CR 6: Report on transactions through Brokers

Name of the broker	Value of business (INR lacs)	Brokerage paid (INR lacs)	Broker wise contracts outstanding for more than 60 days	% of gross business done

Signature of Chief Compliance Officer

CR 7: Statement of Interest paid to the investors for delays in despatch of redemption/ repurchase warrants

Name of the Investor	Date of Receipt of Redemption/ Repurchase Request	Date of Dispatch of Redemption/ Repurchase	Period of Delay	Amount of Interest Paid (INR)

Signature of Chief Compliance Officer

CR 8

Statement of interest paid to the investors for delays in dispatch of dividend

Name of the Investor	Date of Record Date	Date of Dispatch of Dividend	Period of Delay	Amount of Interest Paid (INR)

Signature of Chief Compliance Officer

(Annexure to the CTR can be as per the requirements to be reported)