

Particulars		Inputs to be filled by AMC	
1.	Name of the Mutual Fund	DSP Mutual Fund	
2.	ARN of the MFD	ARN-47791	
3.	Name of the MFD	IIFL Capital Services Limited	
4.	Name of the employee of the MFD involved	Internal employee code – C600199	
5.	EUIN of the employee of the MFD involved	E205247	
6.	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)	
7.	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)	
8.	Summary of the incident	The investor raised complaint through call centre on May 15, 2025 stating a change of broker code request was neither submitted nor signed by the investor. The investor wanted the old broker code restored in all the schemes in the folio with DSP Mutual Fund and a temporary lock of the folio to avoid any misuse. Simultaneously, the old distributor with ARN-79887 (Wealth Doctor Investment Services Private Limited) had reached through X platform (former Twitter) raising concerns of change of broker submitted without investor's consent. Upon investigation of the request, it was found that there was a signature variance between request and original application form, confirming the investor did not initiate the change of broker. The old	

	broker details were restored and the investor was informed via email.
9. Amount of investment Involved in the incident	Rs.2,158,611 (approx.)
10. Corrective Action taken by the AMC prevent recurrence	The distributor against whom the complaint was received was contacted at multiple intervals through phone and email. However, no response was received through either mode.
11. Code of Conduct Violation (other than mis-selling) if any	None
12. Action taken by the AMC against the errant MFD	Requests received from ARN-47791 and respective EUIN will be closely monitored.