

PENALTIES, PENDING LITIGATION OR PROCEEDINGS, FINDINGS OF INSPECTIONS OR INVESTIGATIONS FOR WHICH ACTION MAY HAVE BEEN TAKEN OR IS IN THE PROCESS OF BEING TAKEN BY ANY REGULATORY AUTHORITY

1. Disclosures regarding top 10 monetary penalties and action(s) taken during the last three years against foreign Sponsor(s) may be limited to the jurisdiction of the country where the principal activities (in terms of income / revenue) of the Sponsor(s) are carried out or where the headquarters of the Sponsor(s) is situated. : **Not Applicable**
2. Details of all monetary penalties imposed and / or action taken during the last three years or pending with any financial regulatory body or governmental authority, against Sponsor(s) and / or the AMC and / or the Board of Trustees / Trustee Company; for irregularities or for violations in the financial services sector, or for defaults with respect to shareholders or debenture holders and depositors, or for economic offences, or for violation of securities law. Details of settlement, if any, arrived at with the aforesaid authorities during the last three years shall also be disclosed.

Quantum Advisors Pvt Ltd (Sponsor): Nil.

Trustee Company: Nil

AMC: Nil

3. Details of all enforcement actions taken by SEBI in the last three years and / or pending with SEBI for the violation of SEBI Act, 1992 and Rules and Regulations framed there under including debarment and/ or suspension and/ or cancellation and / or imposition of monetary penalty/adjudication/enquiry proceedings, if any, to which the Sponsor(s) and / or the AMC and/ or the Board of Trustees / Trustee Company and/ or any of the directors and/ or key personnel (especially the fund managers) of the AMC and Trustee Company were / are a party. The details of the violation shall also be disclosed.

Quantum Advisors Pvt Ltd (Sponsor): Nil.

Trustee Company: Nil

AMC: Nil

4. Any pending material civil or criminal litigation incidental to the business of the Mutual Fund to which the Sponsor(s) and / or the AMC and/ or the Board of Trustees / Trustee Company and/ or any of the directors and/ or key personnel are a party should also be disclosed separately.

Trustee Company, AMC and Sponsor: Nil except the following:

The Sponsor along with the AMC and Trustee Company has filed a suit in March 2019 in Bombay High Court for a permanent order and injunction against Quant Mutual Fund, Quant Capital Trustee Limited and Quant Money Managers Limited for passing – off its goods / services by using Trade Name Quant Mutual Fund which is identical and / or deceptively similar to the Trade Name Quantum Mutual Fund.

5. Any deficiency in the systems and operations of the Sponsor(s) and/ or the AMC and/ or the Board of Trustees/Trustee Company which SEBI has specifically advised to be disclosed in the SID, or which has been notified by any other regulatory agency, shall be disclosed.

Quantum Advisors Pvt Ltd (Sponsor): Nil.

Trustee Company: Nil

AMC: Nil