



(CATEGORY I MERCHANT BANKER)

Summary

Data for every month ending – October, 2023

SN	Received from	Pending as at the end of last month	Received during the particular month	Resolved during the particular month*	Total Pending during the particular month #	Pending complaints > 1 month	Average Resolution time^ \ (in days)
1	Directly from Investors	9	33	12	30	0	7 days
2	SEBI (SCORES)	0	1	1	0	0	12 days
3	Stock Exchanges (if relevant)	0	0	0	0	0	Not Applicable
4	Other Sources (if any)	0	0	0	0	0	Not Applicable
5	Grand Total	9	34	13	30	0	10 days

Trend of monthly disposal of complaints (For 5 months on rolling basis)-

SN	Month	Carried forward from previous month	Received during the particular month	Resolved during the particular month *	Pending at the end of the particular month #
1	June, 2023	0	0	0	0
2	July, 2023	0	0	0	0
3	August, 2023	0	0	0	0
4	September, 2023	0	12	3	9
5	October, 2023	9	34	13	30

^ Average Resolution time is the sum total of time taken to resolve each complaint in days, in the current month divided by total number of complaints resolved in the current month.

* Inclusive of complaints of previous months resolved in the current month.

#Inclusive of complaints pending as on the last day of the month.

Trend of annual (Calendar year) disposal of complaints (For 5 years on rolling basis)-

SN	Year	Carried forward from previous year	Received during the particular year	Resolved during the particular year	Pending at the end of the particular year
1	2021	Not Applicable	Not Applicable	Not Applicable	Not Applicable
2	2022	0	0	0	0
3	2023	0	46	16	Yet Not Applicable
4	2024				
5	2025				
	Grand Total	0	46	16	0

IPO

Data for every month ending – **October, 2023**

SN	Received from	Pending as at the end of last month	Received during the particular month	Resolved during the particular month*	Total Pending during the particular month #	Pending complaints > 1 month	Average Resolution time^ (in days)
1	Directly from Investors	0	0	0	0	0	Not Applicable
2	SEBI (SCORES)	0	0	0	0	0	Not Applicable
3	Stock Exchanges (if relevant)	0	0	0	0	0	Not Applicable
4	Other Sources (if any)	0	0	0	0	0	Not Applicable
5	Grand Total	0	0	0	0	0	Not Applicable

Trend of monthly disposal of complaints (For 5 months on rolling basis)-

SN	Month	Carried forward from previous month	Received during the particular month	Resolved during the particular month *	Pending at the end of the particular month #
1	June, 2023	0	0	0	0
2	July, 2023	0	0	0	0
3	August, 2023	0	0	0	0
4	September, 2023	0	0	0	0
5	October, 2023	0	0	0	0

^ Average Resolution time is the sum total of time taken to resolve each complaint in days, in the current month divided by total number of complaints resolved in the current month.

* Inclusive of complaints of previous months resolved in the current month.

#Inclusive of complaints pending as on the last day of the month.

Trend of annual (Calendar year) disposal of complaints (For 5 years on rolling basis)-

SN	Year	Carried forward from previous year	Received during the particular year	Resolved during the particular year	Pending at the end of the particular year
1	2021	Not Applicable	Not Applicable	Not Applicable	Not Applicable
2	2022	0	0	0	0
3	2023	0	0	0	0
4	2024				
5	2025				
	Grand Total	0	0	0	0

Right Issue

Data for every month ending – **October, 2023**

SN	Received from	Pending as at the end of last month	Received during the particular month	Resolved during the particular month*	Total Pending during the particular month #	Pending complaints > 1 month	Average Resolution time^ (in days)
1	Directly from Investors	0	0	0	0	0	Not Applicable
2	SEBI (SCORES)	0	0	0	0	0	Not Applicable
3	Stock Exchanges (if relevant)	0	0	0	0	0	Not Applicable
4	Other Sources (if any)	0	0	0	0	0	Not Applicable
5	Grand Total	0	0	0	0	0	Not Applicable

Trend of monthly disposal of complaints (For 5 months on rolling basis)-

SN	Month	Carried forward from previous month	Received during the particular month	Resolved during the particular month *	Pending at the end of the particular month #
1	June, 2023	0	0	0	0
2	July, 2023	0	0	0	0
3	August, 2023	0	0	0	0
4	September, 2023	0	0	0	0
5	October, 2023	0	0	0	0

^ Average Resolution time is the sum total of time taken to resolve each complaint in days, in the current month divided by total number of complaints resolved in the current month.

* Inclusive of complaints of previous months resolved in the current month.

#Inclusive of complaints pending as on the last day of the month.

Trend of annual (Calendar year) disposal of complaints (For 5 years on rolling basis)-

SN	Year	Carried forward from previous year	Received during the particular year	Resolved during the particular year	Pending at the end of the particular year
1	2021	Not Applicable	Not Applicable	Not Applicable	Not Applicable
2	2022	0	0	0	0
3	2023	0	0	0	0
4	2024				
5	2025				
	Grand Total	0	0	0	0

QIPs

Data for every month ending – **October, 2023**

SN	Received from	Pending as at the end of last month	Received during the particular month	Resolved during the particular month*	Total Pending during the particular month #	Pending complaints > 1 month	Average Resolution time^ (in days)
1	Directly from Investors	0	0	0	0	0	Not Applicable
2	SEBI (SCORES)	0	0	0	0	0	Not Applicable
3	Stock Exchanges (if relevant)	0	0	0	0	0	Not Applicable
4	Other Sources (if any)	0	0	0	0	0	Not Applicable
5	Grand Total	0	0	0	0	0	Not Applicable

Trend of monthly disposal of complaints (For 5 months on rolling basis)-

SN	Month	Carried forward from previous month	Received during the particular month	Resolved during the particular month *	Pending at the end of the particular month #
1	June, 2023	0	0	0	0
2	July, 2023	0	0	0	0
3	August, 2023	0	0	0	0
4	September, 2023	0	0	0	0
5	October, 2023	0	0	0	0

^ Average Resolution time is the sum total of time taken to resolve each complaint in days, in the current month divided by total number of complaints resolved in the current month.

* Inclusive of complaints of previous months resolved in the current month.

#Inclusive of complaints pending as on the last day of the month.

Trend of annual (Calendar year) disposal of complaints (For 5 years on rolling basis)-

SN	Year	Carried forward from previous year	Received during the particular year	Resolved during the particular year	Pending at the end of the particular year
1	2021	Not Applicable	Not Applicable	Not Applicable	Not Applicable
2	2022	0	0	0	0
3	2023	0	0	0	0
4	2024				
5	2025				
	Grand Total	0	0	0	0

Pref. Issue

Data for every month ending – October, 2023

SN	Received from	Pending as at the end of last month	Received during the particular month	Resolved during the particular month*	Total Pending during the particular month #	Pending complaints > 1 month	Average Resolution time^ (in days)
1	Directly from Investors	0	0	0	0	0	Not Applicable
2	SEBI (SCORES)	0	0	0	0	0	Not Applicable
3	Stock Exchanges (if relevant)	0	0	0	0	0	Not Applicable
4	Other Sources (if any)	0	0	0	0	0	Not Applicable
5	Grand Total	0	0	0	0	0	Not Applicable

Trend of monthly disposal of complaints (For 5 months on rolling basis)-

SN	Month	Carried forward from previous month	Received during the particular month	Resolved during the particular month *	Pending at the end of the particular month #
1	June, 2023	0	0	0	0
2	July, 2023	0	0	0	0
3	August, 2023	0	0	0	0
4	September, 2023	0	0	0	0
5	October, 2023	0	0	0	0

^ Average Resolution time is the sum total of time taken to resolve each complaint in days, in the current month divided by total number of complaints resolved in the current month.

* Inclusive of complaints of previous months resolved in the current month.

#Inclusive of complaints pending as on the last day of the month.

Trend of annual (Calendar year) disposal of complaints (For 5 years on rolling basis)-

SN	Year	Carried forward from previous year	Received during the particular year	Resolved during the particular year	Pending at the end of the particular year
1	2021	Not Applicable	Not Applicable	Not Applicable	Not Applicable
2	2022	0	0	0	0
3	2023	0	0	0	0
4	2024				
5	2025				
	Grand Total	0	0	0	0



(CATEGORY I MERCHANT BANKER)

SME IPO & FPO

Data for every month ending – October, 2023

SN	Received from	Pending as at the end of last month	Received during the particular month	Resolved during the particular month*	Total Pending during the particular month #	Pending complaints > 1 month	Average Resolution time^ \ (in days)
1	Directly from Investors	9	33	12	30	0	7 days
2	SEBI (SCORES)	0	1	1	0	0	12 days
3	Stock Exchanges (if relevant)	0	0	0	0	0	Not Applicable
4	Other Sources (if any)	0	0	0	0	0	Not Applicable
5	Grand Total	9	34	13	30	0	10 days

Trend of monthly disposal of complaints (For 5 months on rolling basis)-

SN	Month	Carried forward from previous month	Received during the particular month	Resolved during the particular month *	Pending at the end of the particular month #
1	June, 2023	0	0	0	0
2	July, 2023	0	0	0	0
3	August, 2023	0	0	0	0
4	September, 2023	0	12	3	9
5	October, 2023	9	34	13	30

^ Average Resolution time is the sum total of time taken to resolve each complaint in days, in the current month divided by total number of complaints resolved in the current month.

* Inclusive of complaints of previous months resolved in the current month.

#Inclusive of complaints pending as on the last day of the month.

Trend of annual (Calendar year) disposal of complaints (For 5 years on rolling basis)-

SN	Year	Carried forward from previous year	Received during the particular year	Resolved during the particular year	Pending at the end of the particular year
1	2021	Not Applicable	Not Applicable	Not Applicable	Not Applicable
2	2022	0	0	0	0
3	2023	0	46	16	Yet Not Applicable
4	2024				
5	2025				
	Grand Total	0	46	16	0

Buyback

Data for every month ending – **October, 2023**

SN	Received from	Pending as at the end of last month	Received during the particular month	Resolved during the particular month*	Total Pending during the particular month #	Pending complaints > 1 month	Average Resolution time^ (in days)
1	Directly from Investors	0	0	0	0	0	Not Applicable
2	SEBI (SCORES)	0	0	0	0	0	Not Applicable
3	Stock Exchanges (if relevant)	0	0	0	0	0	Not Applicable
4	Other Sources (if any)	0	0	0	0	0	Not Applicable
5	Grand Total	0	0	0	0	0	Not Applicable

Trend of monthly disposal of complaints (For 5 months on rolling basis)-

SN	Month	Carried forward from previous month	Received during the particular month	Resolved during the particular month *	Pending at the end of the particular month #
1	June, 2023	0	0	0	0
2	July, 2023	0	0	0	0
3	August, 2023	0	0	0	0
4	September, 2023	0	0	0	0
5	October, 2023	0	0	0	0

^ Average Resolution time is the sum total of time taken to resolve each complaint in days, in the current month divided by total number of complaints resolved in the current month.

* Inclusive of complaints of previous months resolved in the current month.

#Inclusive of complaints pending as on the last day of the month.

Trend of annual (Calendar year) disposal of complaints (For 5 years on rolling basis)-

SN	Year	Carried forward from previous year	Received during the particular year	Resolved during the particular year	Pending at the end of the particular year
1	2021	Not Applicable	Not Applicable	Not Applicable	Not Applicable
2	2022	0	0	0	0
3	2023	0	0	0	0
4	2024				
5	2025				
	Grand Total	0	0	0	0

Delisting

Data for every month ending – October, 2023

SN	Received from	Pending as at the end of last month	Received during the particular month	Resolved during the particular month*	Total Pending during the particular month #	Pending complaints > 1 month	Average Resolution time^ \ (in days)
1	Directly from Investors	0	0	0	0	0	Not Applicable
2	SEBI (SCORES)	0	0	0	0	0	Not Applicable
3	Stock Exchanges (if relevant)	0	0	0	0	0	Not Applicable
4	Other Sources (if any)	0	0	0	0	0	Not Applicable
5	Grand Total	0	0	0	0	0	Not Applicable

Trend of monthly disposal of complaints (For 5 months on rolling basis)-

SN	Month	Carried forward from previous month	Received during the particular month	Resolved during the particular month *	Pending at the end of the particular month #
1	June, 2023	0	0	0	0
2	July, 2023	0	0	0	0
3	August, 2023	0	0	0	0
4	September, 2023	0	0	0	0
5	October, 2023	0	0	0	0

^ Average Resolution time is the sum total of time taken to resolve each complaint in days, in the current month divided by total number of complaints resolved in the current month.

* Inclusive of complaints of previous months resolved in the current month.

#Inclusive of complaints pending as on the last day of the month.

Trend of annual (Calendar year) disposal of complaints (For 5 years on rolling basis)-

SN	Year	Carried forward from previous year	Received during the particular year	Resolved during the particular year	Pending at the end of the particular year
1	2021	Not Applicable	Not Applicable	Not Applicable	Not Applicable
2	2022	0	0	0	0
3	2023	0	0	0	0
4	2024				
5	2025				
	Grand Total	0	0	0	0

Takeover

Data for every month ending – **October, 2023**

SN	Received from	Pending as at the end of last month	Received during the particular month	Resolved during the particular month*	Total Pending during the particular month #	Pending complaints > 1 month	Average Resolution time^ (in days)
1	Directly from Investors	0	0	0	0	0	Not Applicable
2	SEBI (SCORES)	0	0	0	0	0	Not Applicable
3	Stock Exchanges (if relevant)	0	0	0	0	0	Not Applicable
4	Other Sources (if any)	0	0	0	0	0	Not Applicable
5	Grand Total	0	0	0	0	0	Not Applicable

Trend of monthly disposal of complaints (For 5 months on rolling basis)-

SN	Month	Carried forward from previous month	Received during the particular month	Resolved during the particular month *	Pending at the end of the particular month #
1	June, 2023	0	0	0	0
2	July, 2023	0	0	0	0
3	August, 2023	0	0	0	0
4	September, 2023	0	0	0	0
5	October, 2023	0	0	0	0

^ Average Resolution time is the sum total of time taken to resolve each complaint in days, in the current month divided by total number of complaints resolved in the current month.

* Inclusive of complaints of previous months resolved in the current month.

#Inclusive of complaints pending as on the last day of the month.

Trend of annual (Calendar year) disposal of complaints (For 5 years on rolling basis)-

SN	Year	Carried forward from previous year	Received during the particular year	Resolved during the particular year	Pending at the end of the particular year
1	2021	Not Applicable	Not Applicable	Not Applicable	Not Applicable
2	2022	0	0	0	0
3	2023	0	0	0	0
4	2024				
5	2025				
	Grand Total	0	0	0	0

Public Issue of Debt Securities

Data for every month ending – October, 2023

Sr. No.	Received from	Pending as at the end of last month	Received during the particular month	Resolved during the particular month*	Total Pending during the particular month #	Pending complaints > 1 month	Average Resolution time^ \ (in days)
1	Directly from Investors	0	0	0	0	0	Not Applicable
2	SEBI (SCORES)	0	0	0	0	0	Not Applicable
3	Stock Exchanges (if relevant)	0	0	0	0	0	Not Applicable
4	Other Sources (if any)	0	0	0	0	0	Not Applicable
5	Grand Total	0	0	0	0	0	Not Applicable

Trend of monthly disposal of complaints for the financial year-

Sr. No.	Month	Carried forward from previous month	Received during the particular month	Resolved during the particular month *	Pending at the end of the particular month #
1	April, 2023	0	0	0	0
2	May, 2023	0	0	0	0
3	June, 2023	0	0	0	0
4	July, 2023	0	0	0	0
5	August, 2023	0	0	0	0
6	September, 2023	0	0	0	0
7	October, 2023	0	0	0	0
8	November, 2023				
9	December, 2023				
10	January, 2024				
11	February, 2024				
12	March, 2024				
	Grand Total				

^ Average Resolution time is the sum total of time taken to resolve each complaint in days, in the current month divided by total number of complaints resolved in the current month.

* Inclusive of complaints of previous months resolved in the current month.

#Inclusive of complaints pending as on the last day of the month.

Trend of annual (financial year) disposal of complaints (For 3 years on rolling basis)-

Sr. No.	Year	Carried forward from previous year	Received during the particular year	Resolved during the particular year	Pending at the end of the particular year
1	2020-21	Not Applicable	Not Applicable	Not Applicable	Not Applicable
2	2021-22	Not Applicable	Not Applicable	Not Applicable	Not Applicable
3	2022-23	0	0	0	0
	Grand Total	0	0	0	0

Public Issue of Non Convertible Redeemable Preference Shares (NCRPS)

Data for every month ending – October, 2023

Sr. No.	Received from	Pending as at the end of last month	Received during the particular month	Resolved during the particular month*	Total Pending during the particular month #	Pending complaints > 1 month	Average Resolution time^ \ (in days)
1	Directly from Investors	0	0	0	0	0	Not Applicable
2	SEBI (SCORES)	0	0	0	0	0	Not Applicable
3	Stock Exchanges (if relevant)	0	0	0	0	0	Not Applicable
4	Other Sources (if any)	0	0	0	0	0	Not Applicable
5	Grand Total	0	0	0	0	0	Not Applicable

Trend of monthly disposal of complaints for the financial year-

Sr. No.	Month	Carried forward from previous month	Received during the particular month	Resolved during the particular month *	Pending at the end of the particular month #
1	April, 2023	0	0	0	0
2	May, 2023	0	0	0	0
3	June, 2023	0	0	0	0
4	July, 2023	0	0	0	0
5	August, 2023	0	0	0	0
6	September, 2023	0	0	0	0
7	October, 2023	0	0	0	0
8	November, 2023				
9	December, 2023				
10	January, 2024				
11	February, 2024				
12	March, 2024				
	Grand Total				

^ Average Resolution time is the sum total of time taken to resolve each complaint in days, in the current month divided by total number of complaints resolved in the current month.

* Inclusive of complaints of previous months resolved in the current month.

#Inclusive of complaints pending as on the last day of the month.

Trend of annual (financial year) disposal of complaints (For 3 years on rolling basis)-

Sr. No.	Year	Carried forward from previous year	Received during the particular year	Resolved during the particular year	Pending at the end of the particular year
1	2020-21	Not Applicable	Not Applicable	Not Applicable	Not Applicable
2	2021-22	Not Applicable	Not Applicable	Not Applicable	Not Applicable
3	2022-23	0	0	0	0
	Grand Total	0	0	0	0



(CATEGORY I MERCHANT BANKER)

Private Placement (PP) of Debt Securities and Non Convertible Redeemable Preference Shares (NCRPS)

Data for every month ending – October, 2023

Sr. No.	Received from	Pending as at the end of last month	Received during the particular month	Resolved during the particular month*	Total Pending during the particular month #	Pending complaints > 1 month	Average Resolution time^ \ (in days)
1	Directly from Investors	0	0	0	0	0	Not Applicable
2	SEBI (SCORES)	0	0	0	0	0	Not Applicable
3	Stock Exchanges (if relevant)	0	0	0	0	0	Not Applicable
4	Other Sources (if any)	0	0	0	0	0	Not Applicable
5	Grand Total	0	0	0	0	0	Not Applicable

Trend of monthly disposal of complaints for the financial year-

Sr. No.	Month	Carried forward from previous month	Received during the particular month	Resolved during the particular month *	Pending at the end of the particular month #
1	April, 2023	0	0	0	0
2	May, 2023	0	0	0	0
3	June, 2023	0	0	0	0
4	July, 2023	0	0	0	0
5	August, 2023	0	0	0	0
6	September, 2023	0	0	0	0
7	October, 2023	0	0	0	0
8	November, 2023				
9	December, 2023				
10	January, 2024				
11	February, 2024				
12	March, 2024				
	Grand Total				

^ Average Resolution time is the sum total of time taken to resolve each complaint in days, in the current month divided by total number of complaints

* Inclusive of complaints of previous months resolved in the current month.

#Inclusive of complaints pending as on the last day of the month.

Trend of annual (financial year) disposal of complaints (For 3 years on rolling basis)-

Sr. No.	Year	Carried forward from previous year	Received during the particular year	Resolved during the particular year	Pending at the end of the particular year
1	2020-21	Not Applicable	Not Applicable	Not Applicable	Not Applicable
2	2021-22	Not Applicable	Not Applicable	Not Applicable	Not Applicable
3	2022-23	0	0	0	0
	Grand Total	0	0	0	0