

**Summary**

**Data for every month ending – November, 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       | 30                                  | 14                                   | 0                                     | 44  | 0                            | Unresolved                           |
| 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                   | 30                                  | 14                                   | 0                                     | 44  | 0                            | Unresolved                           |

**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  | July, 2023      | 0                                   | 0                                    | 0                                      | 0  |
| 2  | August, 2023    | 0                                   | 0                                    | 0                                      | 0  |
| 3  | September, 2023 | 0                                   | 12                                   | 12                                     | 0  |
| 4  | October, 2023   | 0                                   | 34                                   | 4                                      | 30   |
| 5  | November, 2023  | 30                                  | 14                                   | 0                                      | 44   |

^ 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                                  | 60                                  | 16                                  | Yet Not Applicable                        |
| 4  | 2024        |                                    |                                     |                                     |   |
| 5  | 2025        |                                    |                                     |                                     |   |
|    | Grand Total | 0                                  | 60                                  | 16                                  | 0   |

IPO

Data for every month ending – **November, 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  | July, 2023      | 0                                   | 0                                    | 0                                      | 0  |
| 2  | August, 2023    | 0                                   | 0                                    | 0                                      | 0  |
| 3  | September, 2023 | 0                                   | 0                                    | 0                                      | 0  |
| 4  | October, 2023   | 0                                   | 0                                    | 0                                      | 0  |
| 5  | November, 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 – November, 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  | July, 2023      | 0                                   | 0                                    | 0                                      | 0  |
| 2  | August, 2023    | 0                                   | 0                                    | 0                                      | 0  |
| 3  | September, 2023 | 0                                   | 0                                    | 0                                      | 0  |
| 4  | October, 2023   | 0                                   | 0                                    | 0                                      | 0  |
| 5  | November, 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 – November, 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  | July, 2023      | 0                                   | 0                                    | 0                                      | 0  |
| 2  | August, 2023    | 0                                   | 0                                    | 0                                      | 0  |
| 3  | September, 2023 | 0                                   | 0                                    | 0                                      | 0  |
| 4  | October, 2023   | 0                                   | 0                                    | 0                                      | 0  |
| 5  | November, 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   |

**Prof. Issue**

**Data for every month ending – November, 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  | July, 2023      | 0                                   | 0                                    | 0                                      | 0  |
| 2  | August, 2023    | 0                                   | 0                                    | 0                                      | 0  |
| 3  | September, 2023 | 0                                   | 0                                    | 0                                      | 0  |
| 4  | October, 2023   | 0                                   | 0                                    | 0                                      | 0  |
| 5  | November, 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   |

**SME IPO & FPO**

Data for every month ending – **November, 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       | 30                                  | 14                                   | 0                                     | 44  | 0                            | Unresolved                           |
| 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                   | 30                                  | 14                                   | 0                                     | 44  | 0                            | Unresolved                           |

**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  | July, 2023      | 0                                   | 0                                    | 0                                      | 0  |
| 2  | August, 2023    | 0                                   | 0                                    | 0                                      | 0  |
| 3  | September, 2023 | 0                                   | 12                                   | 12                                     | 0  |
| 4  | October, 2023   | 0                                   | 34                                   | 4                                      | 30   |
| 5  | November, 2023  | 30                                  | 14                                   | 0                                      | 44   |

^ 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                                  | 60                                  | 16                                  | Yet Not Applicable                        |
| 4  | 2024        |                                    |                                     |                                     |   |
| 5  | 2025        |                                    |                                     |                                     |   |
|    | Grand Total | 0                                  | 60                                  | 16                                  | 0   |

**Buyback**

Data for every month ending – **November, 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  | July, 2023      | 0                                   | 0                                    | 0                                      | 0  |
| 2  | August, 2023    | 0                                   | 0                                    | 0                                      | 0  |
| 3  | September, 2023 | 0                                   | 0                                    | 0                                      | 0  |
| 4  | October, 2023   | 0                                   | 0                                    | 0                                      | 0  |
| 5  | November, 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)

**Delisting**

**Data for every month ending – November, 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  | July, 2023      | 0                                   | 0                                    | 0                                      | 0  |
| 2  | August, 2023    | 0                                   | 0                                    | 0                                      | 0  |
| 3  | September, 2023 | 0                                   | 0                                    | 0                                      | 0  |
| 4  | October, 2023   | 0                                   | 0                                    | 0                                      | 0  |
| 5  | November, 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 – **November, 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  | July, 2023      | 0                                   | 0                                    | 0                                      | 0  |
| 2  | August, 2023    | 0                                   | 0                                    | 0                                      | 0  |
| 3  | September, 2023 | 0                                   | 0                                    | 0                                      | 0  |
| 4  | October, 2023   | 0                                   | 0                                    | 0                                      | 0  |
| 5  | November, 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 – **November, 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  | 0                                   | 0                                    | 0                                      | 0  |
| 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 – **November, 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  | 0                                   | 0                                    | 0                                      | 0  |
| 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 – **November, 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  | 0                                   | 0                                    | 0                                      | 0  |
| 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   |