

# Unlock Wealth Securities Limited

## Investor Complaints Data

Data for every month ending November 2023

SN	Received from	Carried forward from previous month	Received during the month	Total Pending	Resolved*	Pending at the end of the month**		Average Resolution time^ (in days)
						Pending for less than 3 months	Pending for more than 3 months	
1	2	3	4	5	6	7		8
1	Directly from Investors	NIL	NIL	NIL	NIL	NIL		NIL
2	SEBI (SCORES)	NIL	1	1	1	NIL		6
3	Depositories	NIL	NIL	NIL	NIL	NIL		NIL
4	Other Sources (if any)	NIL	NIL	NIL	NIL	NIL		NIL
5	<b>Grand Total</b>	NIL	NIL	NIL	NIL	NIL		NIL

### Trend of monthly disposal of complaints

SN	Month	Carried forward from previous month	Received	Resolved*	Pending**
1	2	3	4	5	6
1	April -2021	0	0	0	0
2	May-2021	0	0	0	0
3	June-2021	0	0	0	0
4	July-2021	0	0	0	0
5	Aug-2021	0	0	0	0
6	Sep-2021	0	0	0	0
7	Oct-2021	0	0	0	0
8	Nov-2021	0	0	0	0
9	Dec-2021	0	0	0	0
10	Jan-2022	0	0	0	0
11	Feb-2022	0	0	0	0
12	Mar-2022	0	0	0	0
13	Aprril-2022	0	0	0	0
14	May-2022	0	0	0	0

15	June-2022	0	0	0	0
16	July- 2022	0	0	0	0
17	August – 2022	0	0	0	0
18	September – 2022	0	0	0	0
19	October – 2022	0	0	0	0
20	November -2022	0	0	0	0
21	December -2022	0	0	0	0
22	January -2023	0	0	0	0
23	February -2023	0	0	0	0
24	March -2023	0	0	0	0
25	April -2023	0	0	0	0
26	May -2023	0	0	0	0
27	June-2023	0	0	0	0
28	July- 2023	0	1	1	0
29	August- 2023	0	0	0	0
30	September-2023	0	0	0	0
31	October -2023	0	0	0	0
32	November-2023	0	0	0	0
	<b>Grand Total</b>	<b>0</b>	<b>1</b>	<b>1</b>	<b>0</b>

\*Should include complaints of previous months resolved in the current month, if any.

\*\*Should include total complaints pending as on the last day of the month, if any.

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

### **Trend of annual disposal of complaints**

SN	Year	Carried forward from previous year	Received during the year	Resolved during the year	Pending at the end of the year
1	2017-18	0	0	0	0
2	2018-19	0	0	0	0
3	2019-20	0	0	0	0
4	2020-21	0	1	1	0
5	2021-22	0	0	0	0
6	2022-23	0	0	0	0
7	2023-24	0	1	1	0
	<b>Grand Total</b>	<b>0</b>	<b>2</b>	<b>2</b>	<b>0</b>