

Unlock Wealth Securities Limited

Investor Complaints Data

Data for every month ending May 2022

| 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 | NIL | NIL | NIL | NIL | | NIL |
| 3 | Depositories | NIL | NIL | NIL | NIL | NIL | | NIL |
| 4 | Other Sources (if any) | NIL | NIL | NIL | NIL | NIL | | NIL |
| 5 | Grand Total | 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 | Apr-2022 | 0 | 0 | 0 | 0 |
| 14 | May-2022 | 0 | 0 | 0 | 0 |

| | | | | | |
|--|--------------------|----------|----------|----------|----------|
| | Grand Total | 0 | 0 | 0 | 0 |
|--|--------------------|----------|----------|----------|----------|

*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 |
| | Grand Total | 0 | 1 | 1 | 0 |