

Unlock Wealth Securities Limited

Disclosure of Investor Complaints Data

Data for every month ending: November 2023

S N	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	1	1	NIL	1	NIL	N.A.
2	SEBI (SCORES)	NIL	NIL	NIL	NIL	NIL		N.A.
3	Stock Exchanges	NIL	NIL	NIL	NIL	NIL		N.A.
4	Other Sources (if any)	NIL	NIL	NIL	NIL	NIL		N.A.
5	Grand Total	NIL	NIL	NIL	NIL	NIL		N.A.

Trend of monthly disposal of complaints

SN	Month	Carried forward from previous Month	Received	Resolved*	Pending**
1	2	3	4	5	6
1	December – 2021	NIL	NIL	NIL	NIL
2	January - 2022	NIL	NIL	NIL	NIL
3	February – 2022	NIL	NIL	NIL	NIL
4	March - 2022	NIL	NIL	NIL	NIL
5	April - 2022	NIL	NIL	NIL	NIL
6	May - 2022	NIL	NIL	NIL	NIL

7	June -2022	NIL	NIL	NIL	NIL
8	July -2022	NIL	NIL	NIL	NIL
9	August – 2022	NIL	NIL	NIL	NIL
10	September -2022	NIL	NIL	NIL	NIL
11	October -2022	NIL	NIL	NIL	NIL
12	November -2022	NIL	1	NIL	1
13	December -2022	1	NIL	1	NIL
14	January – 2023	NIL	1	1	NIL
15	February-2023	NIL	NIL	NIL	NIL
16	March- 2023	NIL	1	1	NIL
17	April - 2023	NIL	NIL	NIL	NIL
18	May -2023	NIL	NIL	NIL	NIL
19	June – 2023	NIL	NIL	NIL	NIL
20	July -2023	NIL	NIL	NIL	NIL
21	August -2023	NIL	NIL	NIL	NIL
22	September-2023	NIL	1	NIL	1
23	October-2023	1	NIL	NIL	1
24	November-2023	1	NIL	NIL	1
	Grand Total	1	4	3	1

*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	NIL	1	1	NIL
2	2018-19	NIL	3	3	NIL
3	2019-20	NIL	NIL	NIL	NIL
4	2020-21	NIL	1	1	NIL
5	2021-22	NIL	NIL	NIL	NIL
6	2022-23	NIL	3	3	NIL
7	2023-24	NIL	1	NIL	1
	Grand Total	NIL	9	8	1