

## Unlock Wealth Securities Limited

### Disclosure of Investor Complaints Data

Data for every month ending: March 2025

| S<br>N | Received<br>from             | Carried<br>forward<br>from<br>previous<br>month | Received<br>during<br>the<br>month | Total<br>Pending | Resolved* | Pending at the end<br>of the month**       |                                            | Average<br>Resolution<br>time^<br>(in<br>days) |
|--------|------------------------------|-------------------------------------------------|------------------------------------|------------------|-----------|--------------------------------------------|--------------------------------------------|------------------------------------------------|
|        |                              |                                                 |                                    |                  |           | Pending<br>for<br>less<br>than 3<br>months | Pending<br>for<br>more<br>than 3<br>months |                                                |
| 1      | 2                            | 3                                               | 4                                  | 5                | 6         | 7                                          |                                            | 8                                              |
| 1      | Directly from<br>Investors   | NIL                                             | 1                                  | 1                | NIL       | NIL                                        | 1                                          | N.A.                                           |
| 2      | SEBI<br>(SCORES)             | 2                                               | 1                                  | 0                | 3         | NIL                                        |                                            | N.A.                                           |
| 3      | Stock<br>Exchanges           | NIL                                             | NIL                                | NIL              | NIL       | NIL                                        |                                            | N.A.                                           |
| 4      | Other<br>Sources (if<br>any) | NIL                                             | NIL                                | NIL              | NIL       | NIL                                        |                                            | N.A.                                           |
| 5      | <b>Grand<br/>Total</b>       | NIL                                             | NIL                                | NIL              | NIL       | NIL                                        |                                            | N.A.                                           |

#### Trend of monthly disposal of complaints

| SN | Month          | Carried forward<br>from<br>previous<br>Month | Received | Resolved* | Pending** |
|----|----------------|----------------------------------------------|----------|-----------|-----------|
| 1  | 2              | 3                                            | 4        | 5         | 6         |
| 1  | November -2022 | NIL                                          | 1        | NIL       | 1         |
| 2  | December -2022 | 1                                            | NIL      | 1         | NIL       |
| 3  | January – 2023 | NIL                                          | 1        | 1         | NIL       |
| 4  | February-2023  | NIL                                          | NIL      | NIL       | NIL       |
| 5  | March- 2023    | NIL                                          | 1        | 1         | NIL       |
| 6  | April - 2023   | NIL                                          | NIL      | NIL       | NIL       |
| 7  | May -2023      | NIL                                          | NIL      | NIL       | NIL       |
| 8  | June – 2023    | NIL                                          | NIL      | NIL       | NIL       |
| 9  | July -2023     | NIL                                          | NIL      | NIL       | NIL       |

|    |                    |     |     |     |     |
|----|--------------------|-----|-----|-----|-----|
| 10 | August -2023       | NIL | NIL | NIL | NIL |
| 11 | September-2023     | NIL | 1   | NIL | 1   |
| 12 | October-2023       | 1   | NIL | NIL | 1   |
| 13 | November-2023      | 1   | NIL | NIL | 1   |
| 14 | December- 2023     | 1   | NIL | NIL | 1   |
| 15 | January-2024       | 1   | NIL | NIL | 1   |
| 16 | February-2024      | 1   | NIL | NIL | 1   |
| 17 | March-2024         | 1   | NIL | NIL | 1   |
| 18 | April-2024         | 1   | NIL | NIL | 1   |
| 19 | May-2024           | 1   | NIL | NIL | 1   |
| 20 | June-2024          | 1   | 2   | 2   | 1   |
| 21 | July-2024          | 1   | 3   | 0   | 4   |
| 22 | August-2024        | 4   | 0   | 3   | 1   |
| 23 | September-2024     | 1   | 2   | 0   | 3   |
| 24 | October-2024       | 3   | 1   | 3   | 1   |
| 25 | November-2024      | 1   | 0   | 0   | 1   |
| 26 | December-2024      | 1   | 0   | 0   | 1   |
| 27 | January-2025       | 1   | 0   | 0   | 1   |
| 28 | February-2025      | 1   | 0   | 0   | 1   |
| 29 | March-2025         | 1   | 0   | 0   | 1   |
|    | <b>Grand Total</b> | 1   | 12  | 11  | 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                              |
| 8  | 2024-25            | 1                                  | 8                        | 8                        | 1                              |
|    | <b>Grand Total</b> | 1                                  | 16                       | 16                       | 1                              |