# INVESTORS COMPLAINTS DATA IN COMPLIANCE WITH SEBI CIRCULAR SEBI/HO/CFD/DCR2/P/CIR/2021/0661 DATED NOVEMBER 23, 2021

#### A. CATEGORY-WISE INVESTORS COMPLAINTS DATA:

I. Initial Public Offers (IPOs) and Further Public Offers (FPOs) including Offer for Sale (OFS): Main Board

Data for the month ending 31st July, 2022

| SN | Received<br>from                    | Pending<br>as at the<br>end of<br>last<br>month | Received<br>during<br>the<br>particular<br>month | Resolved<br>during the<br>particular<br>month* | Total Pending during the particular month # | Pending<br>complaints<br>> 1 month | Average<br>Resolution<br>time^\<br>(in days) |
|----|-------------------------------------|---|--|--|---|------------------------------------|--|
| 1  | Directly<br>from<br>Investors       | Nil   | Nil  | Nil  | Nil   | Nil                                | Not<br>Applicable                            |
| 2  | SEBI<br>(SCORES)                    | Nil   | Nil  | Nil  | Nil   | Nil                                | Not<br>Applicable                            |
| 3  | Stock<br>Exchanges<br>(if relevant) | Nil   | Nil  | Nil  | Nil   | Nil                                | Not<br>Applicable                            |
| 4  | Other<br>Sources (if<br>any)        | Nil   | Nil  | Nil  | Nil   | Nil                                | Not<br>Applicable                            |
|    | Grand<br>Total                      | -   | -  | -  | -   | _                                  | -  |

### Trend of monthly disposal of complaints (For 5 months on rolling basis)-

| SN | Month           | Carried forward from previous month | Received<br>during the<br>particular<br>month | Resolved<br>during the<br>particular<br>month * | Pending<br>at the end<br>of the<br>particular<br>month # |
|----|-----------------|-------------------------------------|---|---|--|
| 1  | August, 2022    | Nil                                 | @   | @   | @  |
| 2  | September, 2022 | @                                   | @   | @   | @  |
| 3  | October, 2022   | @                                   | @   | @   | @  |
| 4  | November, 2022  | @                                   | @   | @   | @  |
| 5  | December, 2022  | @                                   | @   | @   | @  |
|    | Grand Total     | -                                   | -   | -   | -  |

# <u>Trend of annual (Calendar year) disposal of complaints (For 5 years on rolling basis)-</u>

| SN | Year               | Carried forward from previous year | Received during the particular year | Resolved<br>during the<br>particular<br>year | Pending<br>at the end<br>of the<br>particular<br>year |
|----|--------------------|------------------------------------|-------------------------------------|--|---|
| 1  | 2022               | Nil                                | @                                   | @  | @   |
| 2  | 2023               | @                                  | @                                   | @  | @   |
| 3  | 2024               | @                                  | @                                   | @  | @   |
| 4  | 2025               | @                                  | @                                   | @  | @   |
| 5  | 2026               | @                                  | @                                   | @  | @   |
|    | <b>Grand Total</b> | -                                  | -                                   | -  | -   |

<sup>^</sup> 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.

#### II. Initial Public Offers (IPOs) and Further Public Offers (FPOs) including Offer for Sale (OFS): SME

| SN | Received<br>from                    | Pending<br>as at the<br>end of<br>last<br>month | Received<br>during<br>the<br>particular<br>month | Resolved<br>during the<br>particular<br>month* | Total Pending during the particular month # | Pending complaints > 1 month | Average<br>Resolution<br>time^\<br>(in days) |
|----|-------------------------------------|---|--|--|---|------------------------------|--|
| 1  | Directly<br>from<br>Investors       | Nil   | Nil  | Nil  | Nil   | Nil                          | Not<br>Applicable                            |
| 2  | SEBI<br>(SCORES)                    | Nil   | Nil  | Nil  | Nil   | Nil                          | Not<br>Applicable                            |
| 3  | Stock<br>Exchanges<br>(if relevant) | Nil   | Nil  | Nil  | Nil   | Nil                          | Not<br>Applicable                            |
| 4  | Other<br>Sources (if<br>any)        | Nil   | Nil  | Nil  | Nil   | Nil                          | Not<br>Applicable                            |
|    | Grand<br>Total                      | -   | -  | -  | -   | -                            | -  |

<sup>\*</sup> Inclusive of complaints of previous months resolved in the current month. #Inclusive of complaints pending as on the last day of the month.

<sup>@</sup> The relevant period has not been completed.

| SN | Month           | Carried forward from previous month | Received<br>during the<br>particular<br>month | Resolved<br>during the<br>particular<br>month * | Pending at the end of the particular month # |
|----|-----------------|-------------------------------------|---|---|--|
|    | . •             | Nil                                 | @   | @   | @  |
| 2  | September, 2022 | @                                   | @   | @   | @  |
| 3  | October, 2022   | @                                   | @   | @   | @  |
| 4  | November, 2022  | @                                   | @   | @   | @  |
| 5  | December, 2022  | @                                   | @   | @   | @  |
|    | Grand Total     | -                                   | -   | -   | -  |

# <u>Trend of annual (Calendar year) disposal of complaints (For 5 years on rolling basis)-</u>

| SN | Year        | Carried forward from previous year | Received<br>during<br>the<br>particular<br>year | Resolved<br>during the<br>particular<br>year | Pending<br>at the end<br>of the<br>particular<br>year |
|----|-------------|------------------------------------|---|--|---|
| 1  | 2022        | Nil                                | @   | @  | @   |
| 2  | 2023        | @                                  | @   | @  | @   |
| 3  | 2024        | @                                  | @   | @  | @   |
| 4  | 2025        | @                                  | @   | @  | @   |
| 5  | 2026        | @                                  | @   | @  | @   |
|    | Grand Total | -                                  | _   | _  | -   |

<sup>^</sup>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.

#### III. Rights Issue

| SN | Received from                 | Pending<br>as at the<br>end of<br>last<br>month | Received<br>during<br>the<br>particular<br>month | Resolved<br>during the<br>particular<br>month* | Total Pending during the particular month # | Pending complaints > 1 month | Average<br>Resolution<br>time^\<br>(in days) |
|----|-------------------------------|---|--|--|---|------------------------------|--|
| 1  | Directly<br>from<br>Investors | Nil   | Nil  | Nil  | Nil   | Nil                          | Not<br>Applicable                            |
| 2  | SEBI<br>(SCORES)              | Nil   | Nil  | Nil  | Nil   | Nil                          | Not<br>Applicable                            |

<sup>\*</sup> Inclusive of complaints of previous months resolved in the current month. #Inclusive of complaints pending as on the last day of the month.

<sup>@</sup> The relevant period has not been completed.

| 3 | Stock         | Nil | Nil | Nil | Nil | Nil | Not        |
|---|---------------|-----|-----|-----|-----|-----|------------|
|   | Exchanges     |     |     |     |     |     | Applicable |
|   | (if relevant) |     |     |     |     |     |            |
| 4 | Other         | Nil | Nil | Nil | Nil | Nil | Not        |
|   | Sources (if   |     |     |     |     |     | Applicable |
|   | any)          |     |     |     |     |     |            |
|   | Grand         | -   | _   | -   | -   | -   | -          |
|   | Total         |     |     |     |     |     |            |

| SN | Month           | Carried forward from previous month | Received<br>during the<br>particular<br>month | Resolved<br>during the<br>particular<br>month * | Pending<br>at the end<br>of the<br>particular<br>month # |
|----|-----------------|-------------------------------------|---|---|--|
|    |                 | Nil                                 | @   | @   | @  |
| 2  | September, 2022 | @                                   | @   | @   | @  |
| 3  | October, 2022   | @                                   | @   | @   | @  |
| 4  | November, 2022  | @                                   | @   | @   | @  |
| 5  | December, 2022  | @                                   | @   | @   | @  |
|    | Grand Total     | -                                   | -   | -   | -  |

# Trend of annual (Calendar year) disposal of complaints (For 5 years on rolling basis)-

| SN | Year               | Carried forward from previous year | Received<br>during<br>the<br>particular<br>year | Resolved<br>during the<br>particular<br>year | Pending<br>at the end<br>of the<br>particular<br>year |
|----|--------------------|------------------------------------|---|--|---|
| 1  | 2022               | Nil                                | @   | @  | @   |
| 2  | 2023               | @                                  | @   | @  | @   |
| 3  | 2024               | @                                  | @   | @  | @   |
| 4  | 2025               | @                                  | @   | @  | @   |
| 5  | 2026               | @                                  | @   | @  | @   |
|    | <b>Grand Total</b> | -                                  | -   | -  | -   |

<sup>^</sup> 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.

<sup>\*</sup> Inclusive of complaints of previous months resolved in the current month. #Inclusive of complaints pending as on the last day of the month.

<sup>@</sup> The relevant period has not been completed.

### IV. Qualified Institutional Placement (QIB)

Data for the month ending 31st July, 2022

| SN | Received<br>from                    | Pending<br>as at the<br>end of<br>last<br>month | Received<br>during<br>the<br>particular<br>month | Resolved<br>during the<br>particular<br>month* | Total Pending during the particular month # | Pending complaints > 1 month | Average<br>Resolution<br>time^\<br>(in days) |
|----|-------------------------------------|---|--|--|---|------------------------------|--|
| 1  | Directly<br>from<br>Investors       | Nil   | Nil  | Nil  | Nil   | Nil                          | Not<br>Applicable                            |
| 2  | SEBI<br>(SCORES)                    | Nil   | Nil  | Nil  | Nil   | Nil                          | Not<br>Applicable                            |
| 3  | Stock<br>Exchanges<br>(if relevant) | Nil   | Nil  | Nil  | Nil   | Nil                          | Not<br>Applicable                            |
| 4  | Other<br>Sources (if<br>any)        | Nil   | Nil  | Nil  | Nil   | Nil                          | Not<br>Applicable                            |
|    | Grand<br>Total                      | -   | -  | -  | -   | _                            | -  |

## Trend of monthly disposal of complaints (For 5 months on rolling basis)-

| SN | Month           | Carried forward<br>from previou<br>month |   | Resolved<br>during the<br>particular<br>month * | Pending<br>at the end<br>of the<br>particular<br>month # |
|----|-----------------|--|---|---|--|
| 1  | August, 2022    | Nil                                      | @ | @   | @  |
| 2  | September, 2022 | @  | @ | @   | @  |
| 3  | October, 2022   | @  | @ | @   | @  |
| 4  | November, 2022  | @  | @ | @   | @  |
| 5  | December, 2022  | @  | @ | @   | @  |
|    | Grand Total     | -  | - | -   | _  |

# <u>Trend of annual (Calendar year) disposal of complaints (For 5 years on rolling basis)-</u>

| SN | Year        | Carried forward from previous year | Received<br>during<br>the<br>particular<br>year | Resolved<br>during the<br>particular<br>year | Pending<br>at the end<br>of the<br>particular<br>year |
|----|-------------|------------------------------------|---|--|---|
| 1  | 2022        | Nil                                | @   | @  | @   |
| 2  | 2023        | @                                  | @   | @  | @   |
| 3  | 2024        | @                                  | @   | @  | @   |
| 4  | 2025        | @                                  | @   | @  | @   |
| 5  | 2026        | @                                  | @   | @  | @   |
|    | Grand Total | -                                  | -   | -  | -   |

<sup>^</sup>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.

#### V. Preferential Issue

| SN | Received<br>from                    | Pending<br>as at the<br>end of<br>last<br>month | Received<br>during<br>the<br>particular<br>month | Resolved<br>during the<br>particular<br>month* | Total Pending during the particular month # | Pending complaints > 1 month | Average<br>Resolution<br>time^\<br>(in days) |
|----|-------------------------------------|---|--|--|---|------------------------------|--|
| 1  | Directly<br>from<br>Investors       | Nil   | Nil  | Nil  | Nil   | Nil                          | Not<br>Applicable                            |
| 2  | SEBI<br>(SCORES)                    | Nil   | Nil  | Nil  | Nil   | Nil                          | Not<br>Applicable                            |
| 3  | Stock<br>Exchanges<br>(if relevant) | Nil   | Nil  | Nil  | Nil   | Nil                          | Not<br>Applicable                            |
| 4  | Other<br>Sources (if<br>any)        | Nil   | Nil  | Nil  | Nil   | Nil                          | Not<br>Applicable                            |
|    | Grand<br>Total                      | _   | -  | -  | _   | _                            | _  |

<sup>\*</sup> Inclusive of complaints of previous months resolved in the current month. #Inclusive of complaints pending as on the last day of the month.

<sup>@</sup> The relevant period has not been completed.

| SN | Month           | Carried forward from previous month | Received<br>during the<br>particular<br>month | Resolved<br>during the<br>particular<br>month * | Pending at the end of the particular month # |
|----|-----------------|-------------------------------------|---|---|--|
| 1  | August, 2022    | Nil                                 | @   | @   | @  |
| 2  | September, 2022 | @                                   | @   | @   | @  |
| 3  | October, 2022   | @                                   | @   | @   | @  |
| 4  | November, 2022  | @                                   | @   | @   | @  |
| 5  | December, 2022  | @                                   | @   | @   | @  |
|    | Grand Total     | -                                   | -   | -   | -  |

# <u>Trend of annual (Calendar year) disposal of complaints (For 5 years on rolling basis)-</u>

| SN | Year               | Carried forward from previous year | Received<br>during<br>the<br>particular<br>year | Resolved<br>during the<br>particular<br>year | Pending<br>at the end<br>of the<br>particular<br>year |
|----|--------------------|------------------------------------|---|--|---|
| 1  | 2022               | Nil                                | @   | @  | @   |
| 2  | 2023               | @                                  | @   | @  | @   |
| 3  | 2024               | @                                  | @   | @  | @   |
| 4  | 2025               | @                                  | @   | @  | @   |
| 5  | 2026               | @                                  | @   | @  | @   |
|    | <b>Grand Total</b> | -                                  | -   | _  | _   |

<sup>^</sup>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.

#### VI. Buyback of Securities

| SN | Received<br>from              | Pending<br>as at the<br>end of<br>last<br>month | Received<br>during<br>the<br>particular<br>month | Resolved<br>during the<br>particular<br>month* | Total Pending during the particular month # | Pending complaints > 1 month | Average<br>Resolution<br>time^\<br>(in days) |
|----|-------------------------------|---|--|--|---|------------------------------|--|
| 1  | Directly<br>from<br>Investors | Nil   | Nil  | Nil  | Nil   | Nil                          | Not<br>Applicable                            |
| 2  | SEBI<br>(SCORES)              | Nil   | Nil  | Nil  | Nil   | Nil                          | Not<br>Applicable                            |

<sup>\*</sup> Inclusive of complaints of previous months resolved in the current month. #Inclusive of complaints pending as on the last day of the month.

<sup>@</sup> The relevant period has not been completed.

| 3 | Stock         | Nil | Nil | Nil | Nil | Nil | Not        |
|---|---------------|-----|-----|-----|-----|-----|------------|
|   | Exchanges     |     |     |     |     |     | Applicable |
|   | (if relevant) |     |     |     |     |     |            |
| 4 | Other         | Nil | Nil | Nil | Nil | Nil | Not        |
|   | Sources (if   |     |     |     |     |     | Applicable |
|   | any)          |     |     |     |     |     |            |
|   | Grand         | -   | _   | -   | -   | -   | -          |
|   | Total         |     |     |     |     |     |            |

| SN | Month           | Carried forward from previous month | Received<br>during the<br>particular<br>month | Resolved<br>during the<br>particular<br>month * | Pending at the end of the particular month # |
|----|-----------------|-------------------------------------|---|---|--|
|    |                 | Nil                                 | @   | @   | @  |
|    | September, 2022 | @                                   | @   | @   | @  |
| 3  | October, 2022   | @                                   | @   | @   | @  |
| 4  | November, 2022  | @                                   | @   | @   | @  |
| 5  | December, 2022  | @                                   | @   | @   | @  |
|    | Grand Total     | _                                   | _   | _   | _  |

# <u>Trend of annual (Calendar year) disposal of complaints (For 5 years on rolling basis)-</u>

| SN | Year        | Carried forward from previous year | Received<br>during<br>the<br>particular<br>year | Resolved<br>during the<br>particular<br>year | Pending<br>at the end<br>of the<br>particular<br>year |
|----|-------------|------------------------------------|---|--|---|
| 1  | 2022        | Nil                                | @   | @  | @   |
| 2  | 2023        | @                                  | @   | @  | @   |
| 3  | 2024        | @                                  | @   | @  | @   |
| 4  | 2025        | @                                  | @   | @  | @   |
| 5  | 2026        | @                                  | @   | @  | @   |
|    | Grand Total | -                                  | _   | -  | -   |

<sup>^</sup> 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.

<sup>\*</sup> Inclusive of complaints of previous months resolved in the current month. #Inclusive of complaints pending as on the last day of the month.

<sup>@</sup> The relevant period has not been completed.

### VII. Delisting of Equity Shares

Data for the month ending 31st July, 2022

| SN | Received from                       | Pending<br>as at the<br>end of<br>last<br>month | Received<br>during<br>the<br>particular<br>month | Resolved<br>during the<br>particular<br>month* | Total Pending during the particular month # | Pending<br>complaints<br>> 1 month | Average<br>Resolution<br>time^\<br>(in days) |
|----|-------------------------------------|---|--|--|---|------------------------------------|--|
| 1  | Directly<br>from<br>Investors       | Nil   | Nil  | Nil  | Nil   | Nil                                | Not<br>Applicable                            |
| 2  | SEBI<br>(SCORES)                    | Nil   | Nil  | Nil  | Nil   | Nil                                | Not<br>Applicable                            |
| 3  | Stock<br>Exchanges<br>(if relevant) | Nil   | Nil  | Nil  | Nil   | Nil                                | Not<br>Applicable                            |
| 4  | Other<br>Sources (if<br>any)        | Nil   | Nil  | Nil  | Nil   | Nil                                | Not<br>Applicable                            |
|    | Grand<br>Total                      | -   | -  | -  | _   | -                                  | -  |

### Trend of monthly disposal of complaints (For 5 months on rolling basis)-

| SN | Month           |     | vious | Received<br>during the<br>particular<br>month | Resolved<br>during the<br>particular<br>month * | Pending<br>at the end<br>of the<br>particular<br>month # |
|----|-----------------|-----|-------|---|---|--|
|    | •               | Nil | @     | <u> </u>                                      | @   | @  |
| 2  | September, 2022 | @   | @     | <b>®</b>                                      | @   | @  |
| 3  | October, 2022   | @   | @     | <b>2</b> 0                                    | @   | @  |
| 4  | November, 2022  | @   | @     | <b>2</b> 0                                    | @   | @  |
| 5  | December, 2022  | @   | @     | <b>2</b> 0                                    | @   | @  |
|    | Grand Total     | -   | -     |   | -   | -  |

# <u>Trend of annual (Calendar year) disposal of complaints (For 5 years on rolling basis)-</u>

| SN | Year | Carried forward from previous year | Received<br>during<br>the<br>particular<br>year | Resolved<br>during the<br>particular<br>year | Pending<br>at the end<br>of the<br>particular<br>year |
|----|------|------------------------------------|---|--|---|
| 1  | 2022 | Nil                                | @   | @  | @   |
| 2  | 2023 | @                                  | @   | @  | @   |
| 3  | 2024 | @                                  | @   | @  | @   |

| 4 | 2025        | @ | @ | @ | @ |
|---|-------------|---|---|---|---|
| 5 | 2026        | @ | @ | @ | @ |
|   | Grand Total | - | - | - | - |

<sup>^</sup> 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 pending as on the last day of the month.

#### VIII. Substantial Acquisitions of Shares and Takeovers

Data for the month ending 31st July, 2022

| SN | Received from                       | Pending<br>as at the<br>end of<br>last<br>month | Received<br>during<br>the<br>particular<br>month | Resolved<br>during the<br>particular<br>month* | Total Pending during the particular month # | Pending<br>complaints<br>> 1 month | Average<br>Resolution<br>time^\<br>(in days) |
|----|-------------------------------------|---|--|--|---|------------------------------------|--|
| 1  | Directly<br>from<br>Investors       | Nil   | Nil  | Nil  | Nil   | Nil                                | Not<br>Applicable                            |
| 2  | SEBI<br>(SCORES)                    | Nil   | Nil  | Nil  | Nil   | Nil                                | Not<br>Applicable                            |
| 3  | Stock<br>Exchanges<br>(if relevant) | Nil   | Nil  | Nil  | Nil   | Nil                                | Not<br>Applicable                            |
| 4  | Other<br>Sources (if<br>any)        | Nil   | Nil  | Nil  | Nil   | Nil                                | Not<br>Applicable                            |
|    | Grand<br>Total                      | _   | -  | -  | -   | _                                  | -  |

### Trend of monthly disposal of complaints (For 5 months on rolling basis)-

| SN | Month           | Carried forward from previous month | Received<br>during the<br>particular<br>month | Resolved<br>during the<br>particular<br>month * | Pending at the end of the particular month # |
|----|-----------------|-------------------------------------|---|---|--|
| 1  | August, 2022    | Nil                                 | @   | @   | @  |
| 2  | September, 2022 | @                                   | @   | @   | @  |
| 3  | October, 2022   | @                                   | @   | @   | @  |
| 4  | November, 2022  | @                                   | @   | @   | @  |
| 5  | December, 2022  | @                                   | @   | @   | @  |
|    | Grand Total     | -                                   | -   | -   | -  |

<sup>\*</sup> Inclusive of complaints of previous months resolved in the current month.

<sup>@</sup> The relevant period has not been completed.

# <u>Trend of annual (Calendar year) disposal of complaints (For 5 years on rolling basis)-</u>

| SN | Year               | Carried forward from previous year | Received during the particular year | Resolved<br>during the<br>particular<br>year | Pending<br>at the end<br>of the<br>particular<br>year |
|----|--------------------|------------------------------------|-------------------------------------|--|---|
| 1  | 2022               | Nil                                | @                                   | @  | @   |
| 2  | 2023               | @                                  | @                                   | @  | @   |
| 3  | 2024               | @                                  | @                                   | @  | @   |
| 4  | 2025               | @                                  | @                                   | @  | @   |
| 5  | 2026               | @                                  | @                                   | @  | @   |
|    | <b>Grand Total</b> | -                                  | -                                   | -  | -   |

<sup>^</sup> 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.

<sup>\*</sup> Inclusive of complaints of previous months resolved in the current month. #Inclusive of complaints pending as on the last day of the month.

<sup>@</sup> The relevant period has not been completed.