

UBS Securities India Private Limited Investor Complaints Data – Merchant Banker (SEBI Registration Number: INM000010809)

**Collective Complaints**

Data for every month ending – **November 2022**

SN	Received from	Pending as at the end of last month	Received during the particular month	Resolved during the particular month*	Total Pending during the particular month#	Pending complaints >1 month#	Average Resolution time^(in days)
1	2	3	4	5	6	7	8
1	Directly from Investors	0	0	0	0	0	0
2	SEBI (SCORES)	0	0	0	0	0	0
3	Stock Exchanges (if relevant)	0	0	0	0	0	0
4	Other Sources (if any)	0	0	0	0	0	0
5	Grand Total	0	0	0	0	0	0

Trend of Monthly Disposal of Complaints (For 5 Months on Rolling Basis)

SN	Month	Carried forward from previous month	Received during the particular month	Resolved during the particular month*	Pending at the end of the particular month#
1	July 2022	0	0	0	0
2	August 2022	0	0	0	0
3	September 2022	0	0	0	0
4	October 2022	0	0	0	0
5	November 2022	0	0	0	0

^ 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 of previous months resolved in the current month.

#Inclusive of complaints pending as on the last day of the month

Trend of Annual (Calendar Year) Disposal of Complaints (For 5 Years on Rolling Basis)-

SN	Year	Carried forward from previous year	Received during the particular year	Resolved during the particular year	Pending at the end of the particular year
1	2021	0	0	0	0
2	2022	0			
3	2023				
4	2024				
5	2025				
	Grand Total	0	0	0	0

**Investor Complaints Data for –**

**1. IPOs & FPOs (including OFS) / 2. Rights Issue / 3.QIPs / 4.Prefential Issue / 5. SME IPOs & FPOs (including OFS) / 6.Buyback of Securities / 7. Delisting of Equity Shares / 8. Substantial Acquisition of Shares And Takeovers**

Data for every month ending – **November 2022**

SN	Received from	Pending as at the end of last month	Received during the particular month	Resolved during the particular month*	Total Pending during the particular month#	Pending complaints >1 month#	Average Resolution time^(in days)
1	2	3	4	5	6	7	8
1	Directly from Investors	0	0	0	0	0	0
2	SEBI (SCORES)	0	0	0	0	0	0
3	Stock Exchanges (if relevant)	0	0	0	0	0	0
4	Other Sources (if any)	0	0	0	0	0	0
5	Grand Total	0	0	0	0	0	0

**Trend of Monthly Disposal of Complaints (For 5 Months on Rolling Basis)**

SN	Month	Carried forward from previous month	Received during the particular month	Resolved during the particular month*	Pending at the end of the particular month#
1	July 2022	0	0	0	0
2	August 2022	0	0	0	0
3	September 2022	0	0	0	0
4	October 2022	0	0	0	0
5	November 2022	0	0	0	0

^ 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 of previous months resolved in the current month.

#Inclusive of complaints pending as on the last day of the month.

Trend of Annual (Calendar Year) Disposal of Complaints (For 5 Years on Rolling Basis)-

SN	Year	Carried forward from previous year	Received during the particular year	Resolved during the particular year	Pending at the end of the particular year
1	2021	0	0	0	0
2	2022	0			
3	2023				
4	2024				
5	2025				
	Grand Total	0	0	0	0

## Investor Complaints Data REIT and InvITs

Data for every month ending – **November 2022**

SN	Received from	Carried forward from previous moth	Received during the month	Resolved during the month*	Pending at the end of month#	Pending complaints >3 month	Average Resolution time^(in days)
1	Directly from Investors	0	0	0	0	0	0
2	SEBI (SCORES)	0	0	0	0	0	0
3	Stock Exchanges (if relevant)	0	0	0	0	0	0
4	Other Sources (if any)	0	0	0	0	0	0
5	Grand Total	0	0	0	0	0	0

Monthly trend for the financial year 2022-2023

SN	Month	Carried forward from previous month	Received during the month	Resolved during the month*	Pending at the end of the r month#
1	April-2022	0	0	0	0
2	May-2022	0	0	0	0
3	June - 2022	0	0	0	0
4	July - 2022	0	0	0	0
5	Aug-2022	0	0	0	0
6	Sept-2022	0	0	0	0
7	Oct- 2022	0	0	0	0
8	Nov-2022	0	0	0	0
9	Dec-2022	0			
10	Jan-2023				
11	Feb-2023				
12	Mar-2023				
	Grand Total	0	0	0	0

^ 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 of previous months resolved in the current month.

#Inclusive of complaints pending as on the last day of the month.

Last 3 years' trend

SN	Year	Carried forward from previous year	Received during the particular year	Resolved during the particular year	Pending at the end of the particular year
1	2019-20	0	0	0	0
2	2020-21	0	0	0	0
3	2021-22	0	0	0	0
	Grand Total	0	0	0	0

**Investor Complaints Data Public Issue of Debt Securities / Non -Convertible Redeemable Preference Shares (NCRPS) / Private Placement of Non-Convertible Securities**

Data for every month ending – **November 2022**

SN	Received from	Pending as at the end of last month	Received during the particular month	Resolved during the particular month*	Total Pending during the particular month#	Pending complaints >1 month#	Average Resolution time^(in days)
1	Directly from Investors	0	0	0	0	0	0
2	SEBI (SCORES)	0	0	0	0	0	0
3	Stock Exchanges (if relevant)	0	0	0	0	0	0
4	Other Sources (if any)	0	0	0	0	0	0
5	Grand Total	0	0	0	0	0	0

^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 of previous months resolved in the current month.

#Inclusive of complaints pending as on the last day of the month

Trend of Monthly Disposal of Complaints for the financial year 2022 -2023:

SN	Month	Carried forward from previous month	Received during the particular month	Resolved during the particular month*	Pending at the end of the particular month#
1	April, 2022	0	0	0	0
2	May, 2022	0	0	0	0
3	June,2022	0	0	0	0
4	July,2022	0	0	0	0
5	Aug, 2022	0	0	0	0
6	Sept, 2022	0	0	0	0
7	Oct, 2022	0	0	0	0
8	Nov, 2022	0	0	0	0
9	Dec, 2022	0			
10	January,2023				
11	Feb, 2023				
12	March,2023				
	Grand Total	0	0	0	0

^ 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 of previous months resolved in the current month.

#Inclusive of complaints pending as on the last day of the month.

Trend of Annual (financial year) disposal of Complaints (for 3 years on rolling basis)-

SN	Year	Carried forward from previous year	Received during particular year	Resolved during particular year	Pending at the end of particular year
1	2019-20	0	0	0	0
2	2020-21	0	0	0	0
3	2021-22	0	0	0	0
	Grand Total	0	0	0	0



## Investor Complaints Data Private Placement of units by InvITs proposed to be listed

Data for every month ending – **November 2022**

SN	Received from	Carried forward from previous month	Received during the month	Resolved during the month*	Pending at the end of month#	Pending complaints > 3 month	Average Resolution on time^ (in days)
1	Directly from Investors	0	0	0	0	0	0
2	SEBI (SCORES)	0	0	0	0	0	0
3	Stock Exchanges (if relevant)	0	0	0	0	0	0
4	Other Sources (if any)	0	0	0	0	0	0
5	Grand Total	0	0	0	0	0	0

Monthly trend for the financial year 2022 - 2023

SN	Month	Carried forward from previous month	Received during the month	Resolved during the month*	Pending at the end of the month#
1	April -2022	0	0	0	0
2	May- 2022	0	0	0	0
3	June -2022	0	0	0	0
4	July- 2022	0	0	0	0
5	Aug-2022	0	0	0	0
6	Sept -2022	0	0	0	0
7	Oct- 2022	0	0	0	0
8	Nov- 2022	0	0	0	0
9	Dec -2022	0			
10	Jan – 2023				
11	Feb – 2023				
12	March- 2023				
	Grand Total	0	0	0	0

^ 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 of previous months resolved in the current month.

#Inclusive of complaints pending as on the last day of the month.

Last 3 years' trend

SN	Year	Carried forward from previous year	Received during the year	Resolved during the year	Pending at the end of the year
1	2019- 20	0	0	0	0
2	2020-21	0	0	0	0
3	2021-22	0	0	0	0
	Grand Total	0	0	0	0

## Investor Complaints Data Pvt Placement of Municipal Debt Securities

Data for every month ending – **November 2022**

SN	Received from	Carried forward from previous month	Received during the month	Resolved during the month*	Pending at the end of month#	Pending complaints >3 month	Average Resolution time^(in days)
1	Directly from Investors	0	0	0	0	0	0
2	SEBI (SCORES)	0	0	0	0	0	0
3	Stock Exchanges (if relevant)	0	0	0	0	0	0
4	Other Sources (if any)	0	0	0	0	0	0
5	Grand Total	0	0	0	0	0	0

Trend of Monthly Disposal of Complaints for the financial year: 2022-2023

SN	Month	Carried forward from previous month	Received during the month	Resolved during the particular month*	Pending at the end of the month#
1	April-2022	0	0	0	0
2	May-2022	0	0	0	0
3	June – 2022	0	0	0	0
4	July -2022	0	0	0	0
5	Aug-2022	0	0	0	0
6	Sept-2022	0	0	0	0
7	Oct-2022	0	0	0	0
8	Nov-2022	0	0	0	0
9	Dec-2022	0			
10	Jan-2023				
11	Feb-2023				
12	March-2023				
	Grand total	0	0	0	0

^ 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 of previous months resolved in the current month.

#Inclusive of complaints pending as on the last day of the month.

Last 3 years' trend

SN	Year	Carried forward from previous year	Received during the particular year	Resolved during the particular year	Pending at the end of the particular year
1	2019-20	0	0	0	0
2	2020-21	0	0	0	0
3	2021-22	0	0	0	0
	Grand Total	0	0	0	0