UBS Securities India Private Limited Investor Complaints Data - Research Analyst (SEBI Registration Number: INH000001204)

Data for the month ending – **December 2023**

SN	Received from	Pending at the end of last month	Received	Resolved*	Total Pending#	Pending complaints >3 months	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	Other Sources (if any)	0	1	0	1	0	0
	Grand Total	0	1	0	1	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

Trend of monthly disposal of complaints

SN	Month	Carried forward from previous month	Received	Resolved *	Pending #
1	April – 2023	0	0	0	0
2	May- 2023	0	0	0	0
3	June – 2023	0	0	0	0
4	July – 2023	0	0	0	0
5	Aug – 2023	0	0	0	0
6	Sept - 2023	0	0	0	0
7	Oct - 2023	0	0	0	0
8	Nov – 2023	0	0	0	0
9	Dec – 2023	0	1	0	1
10	Jan - 2024	1			
	Grand Total	1	0	0	1

*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 disposal of complaints (Financial year Apr to March has been considered)

SN	Year	Carried forward from previous year	Received	Resolved*	Pending #

1	2020-21	0	0	0	0
2	2021-22	0	0	0	0
3	2022-23	0	0	0	0
4	2023-24	0	1	0	1
	Grand Total	0	1	0	1

*Inclusive of complaints of previous months resolved in the current month.

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