

UBS Securities India Private Limited Investor Complaints Data - Stock Broker (SEBI Registration Number: INM000013101)

Data for every month ending – **April 2024**

SN	Received from	Pending as at the end of last month	Received during the 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	<b>Grand Total</b>	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 particular month #
1	December, 2023	Not Applicable since Merchant Banking license received in April 2024			
2	January, 2024				
3	February, 2024				
4	March, 2024				
5	April, 2024	0	0	0	0
	<b>Grand Total</b>	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 year 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	2020	Not Applicable since Merchant Banking license received in April 2024			
2	2021				
3	2022				
4	2023				
5	2024	0			
	<b>Grand Total</b>	0	0	0	0