

**ATS Share Brokers Pvt Ltd**

Format for Investor Complaints Data to be displayed by Stock Brokers on their respective websites

**Data for every month ending – 29/02/2024**

| SN       | Received from           | Carried forward from previous month | Received during the month | Total Pending | Resolved* | Pending at the end of the month** |                                | Average Resolution time^ (in days) |
|----------|-------------------------|-------------------------------------|---------------------------|---------------|-----------|-----------------------------------|--------------------------------|------------------------------------|
|          |                         |                                     |                           |               |           | Pending for less than 3 months    | Pending for more than 3 months |                                    |
| <b>1</b> | <b>2</b>                | <b>3</b>                            | <b>4</b>                  | <b>5</b>      | <b>6</b>  | <b>7</b>                          |                                | <b>8</b>                           |
| 1        | Directly from Investors | 0                                   | 2                         | 0             | 2         | 0                                 | 0                              | 7                                  |
| 2        | SEBI (SCORES)           | 0                                   | 0                         | 0             | 0         | 0                                 | 0                              | 0                                  |
| 3        | Depositories            | 0                                   | 8                         | 1             | 7         | 1                                 | 0                              | 7                                  |
| 4        | Other Sources (if any)  | 0                                   | 4                         | 1             | 3         | 1                                 | 0                              | 7                                  |
| <b>5</b> | <b>Grand Total</b>      | <b>0</b>                            | <b>14</b>                 | <b>2</b>      | <b>12</b> | <b>2</b>                          | <b>0</b>                       | <b>1</b>                           |

**Trend of monthly disposal of complaints**

| SN | Month              | Carried forward from previous month | Received | Resolved* | Pending** |
|----|--------------------|-------------------------------------|----------|-----------|-----------|
| 1  | 2                  | 3                                   | 4        | 5         | 6         |
| 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  | August, 2023       | 0                                   | 0        | 0         | 0         |
| 6  | September, 2023    | 0                                   | 0        | 0         | 0         |
| 7  | October 2023       | 0                                   | 0        | 0         | 0         |
| 8  | November 2023      | 0                                   | 0        | 0         | 0         |
| 9  | December 2023      | 0                                   | 1        | 0         | 1         |
| 10 | January 2024       | 1                                   | 1        | 0         | 2         |
| 11 | February 2024      | 0                                   | 14       | 12        | 0         |
|    | <b>Grand Total</b> | <b>0</b>                            | <b>0</b> | <b>0</b>  | <b>0</b>  |

\*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  | 2018-19            | 0                                  | 0                        | 0                        | 0                              |
| 2  | 2019-20            | 0                                  | 0                        | 0                        | 0                              |
| 3  | 2020-21            | 0                                  | 0                        | 0                        | 0                              |
| 4  | 2021-22            | 0                                  | 4                        | 4                        | 0                              |
| 5  | 2022-23            | 0                                  | 3                        | 3                        | 0                              |
|    | <b>Grand Total</b> | <b>0</b>                           | <b>7</b>                 | <b>7</b>                 | <b>0</b>                       |