

**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 – 31/10/2023**

| 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 |                                    |
| 1  | 2                       | 3                                   | 4                         | 5             | 6         | 7                                 |                                | 8                                  |
| 1  | Directly from Investors | 0                                   | 1                         | 0             | 1         | 0                                 | 0                              | 1                                  |
| 2  | SEBI (SCORES)           | 0                                   | 0                         | 0             | 0         | 0                                 | 0                              | 0                                  |
| 3  | Depositories            | 0                                   | 0                         | 0             | 0         | 0                                 | 0                              | 0                                  |
| 4  | Other Sources (if any)  | 0                                   | 0                         | 0             | 0         | 0                                 | 0                              | 0                                  |
| 5  | <b>Grand Total</b>      | <b>0</b>                            | <b>1</b>                  | <b>0</b>      | <b>1</b>  | <b>0</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         |
|    | <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>                       |