

UBS Securities India Private Limited Investor Complaints Data - Stock Broker (SEBI Registration Number: INZ000259830)

Data for every month ending – **November 2023**

SN	Received from	Carried forward from previous moth	Received during the month	Total Pending	Resolved*	Pending at the end of 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	0	0	0	0		0
2	SEBI (SCORES)	0	0	0	0	0		0
3	Stock Exchanges	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

SN	Month	Carried forward from previous month	Received	Resolved*	Pending **
1	2	3	4	5	6
1	Apr – 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			
	Grand Total	0	0	0	0

* 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 (Financial year Apr to March has been considered)

SN	Year	Carried forward from previous year	Received during the year	Resolved during the year	Pending at the end of the particular year
1	2019-20	0	1	1	0
1	2020-21	0	0	0	0
2	2021-22	0	0	0	0
3	2022-23	0	0	0	0
5	2023-24	0			
	Grand Total	0	1	1	0