

# Khambatta Securities Ltd.

ESTD. 1918

Annexure-B

## Investor complaints – Khambatta Securities Limited as a Depository Participant

| Data for every month ending :<br>May 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                                         | Directly from Investors | Nil                                 | Nil                       | Nil           | Nil        | Nil                               | Nil                            | Nil                                |
| 2                                         | SEBI (SCORES )          | Nil                                 | Nil                       | Nil           | Nil        | Nil                               | Nil                            | Nil                                |
| 3                                         | Stock Exchanges         | Nil                                 | Nil                       | Nil           | Nil        | Nil                               | Nil                            | Nil                                |
| 4                                         | Other Sources (if any)  | Nil                                 | Nil                       | Nil           | Nil        | Nil                               | Nil                            | Nil                                |
|                                           | <b>Grand Total</b>      | <b>Nil</b>                          | <b>Nil</b>                | <b>Nil</b>    | <b>Nil</b> | <b>Nil</b>                        | <b>Nil</b>                     | <b>Nil</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. days, in the current month divided by total number of complaints resolved in the current month.

| Trend of monthly disposal of complaints |                        |                                     |            |            |            |
|-----------------------------------------|------------------------|-------------------------------------|------------|------------|------------|
| Sr. No                                  | Month                  | Carried forward from previous month | Received   | Resolved*  | Pending    |
| 1                                       | September 2022         | Nil                                 | Nil        | Nil        | Nil        |
| 2                                       | October 2022           | Nil                                 | Nil        | Nil        | Nil        |
| 3                                       | November 2022          | Nil                                 | Nil        | Nil        | Nil        |
| 4                                       | December 2022          | Nil                                 | Nil        | Nil        | Nil        |
| 5                                       | January 2023           | Nil                                 | Nil        | Nil        | Nil        |
| 6                                       | February 2023          | Nil                                 | Nil        | Nil        | Nil        |
| 7                                       | March 2023             | Nil                                 | Nil        | Nil        | Nil        |
| 8                                       | April 2023             | Nil                                 | Nil        | Nil        | Nil        |
| 9                                       | May 2023               | Nil                                 | Nil        | Nil        | Nil        |
| 10                                      | June 2023              | Nil                                 | Nil        | Nil        | Nil        |
| 11                                      | July 2023              | Nil                                 | Nil        | Nil        | Nil        |
| 12                                      | August 2023            | Nil                                 | Nil        | Nil        | Nil        |
| Trend of annual disposal of complaints  |                        |                                     |            |            |            |
| Sr. No                                  | Year                   | Carried forward from previous month | Received   | Resolved*  | Pending    |
| 1                                       | 2019-2020              | Nil                                 | Nil        | Nil        | Nil        |
| 2                                       | 2020-2021              | Nil                                 | Nil        | Nil        | Nil        |
| 3                                       | 2021-2022              | Nil                                 | Nil        | Nil        | Nil        |
| 4                                       | 2022-2023              | Nil                                 | Nil        | Nil        | Nil        |
| 5                                       | 2023-2024 (in process) | Nil                                 | Nil        | Nil        | Nil        |
|                                         | <b>Grand Total</b>     | <b>Nil</b>                          | <b>Nil</b> | <b>Nil</b> | <b>Nil</b> |