

EQUITY MARKET - INVESTOR COMPLAINTS DATA

Name of Merchant Banker : Anand Rathi Advisors Limited

SEBI Registration Number : INM000010478

Data for month ending : February 2023

Activity: Consolidated Report

Sr. No.	Received from	Pending as at the end of the last month (January 2023)	Received during the particular month (February 2023)	Resolved during the particular month* (February 2023)	Total Pending during the particular month# (February 2023)	Pending complaints > 1 month	Average Resolution time^ (in days)
1.	Directly from Investors	1	7	6	2	0	2
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
	Grand Total	1	7	6	2	0	2

* Inclusive of complaints of previous months resolved in the current month.

Inclusive of complaints pending as on the last day of the month.

^ 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.

Trend of monthly disposal of complaints (For 5 months on rolling basis)-

Sr. No.	Month	Carried forward from previous month	Received during the month	Resolved during the month*	Pending at the end of month#
1.	October -2022	0	5	5	0
2.	November – 2022	0	2	1	1
3.	December – 2022	1	0	1	0
4.	January – 2023	0	2	1	1
5.	February - 2023	1	7	6	2
	Grand Total	2	16	14	4

* 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 years on rolling basis)-

Sr. No.	Year	Carried forward from previous year	Received during the year	Resolved during the year*	Pending at the end of year#
1.	2021	Not Applicable	63	63	0
2.	2022	0	9	9	0
3.	2023	0	9	7	NA
4.	2024	NA	NA	NA	NA
5.	2025	NA	NA	NA	NA
	Grand Total				

* Inclusive of complaints of previous months resolved in the current year.

Inclusive of complaints pending as on the last day of the year.

Notes:

1. The Company has not handled following activities since last one year & therefore no data has been disclosed:

- SME IPO and FPO including OFS
- Delisting of Equity Shares
- Right Issue
- Preferential Issue
- Substantial Acquisition of Shares and Takeovers
- Private placements of Municipal debt securities
- Public offer of units by REITs
- Public offer of units by InvITs
- Private Placement of units by InvITs

1. **Category:** Initial Public Offer (IPO) and Further Public Offer (FPO) including Offer for Sale (OFS)

Sr. No.	Received from	Pending as at the end of the last month (January 2023)	Received during the particular month (February 2023)	Resolved during the particular month* (February 2023)	Total Pending during the particular month# (February 2023)	Pending complaints > 1 month	Average Resolution time^ (in days)
1.	Directly from Investors	1	1	1	1	0	14
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
	Grand Total	1	1	1	1	0	14

* Inclusive of complaints of previous months resolved in the current month.

Inclusive of complaints pending as on the last day of the month.

^ 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.

Trend of monthly disposal of complaints (For 5 months on rolling basis)-

Sr. No.	Month	Carried forward from previous month	Received during the month	Resolved during the month*	Pending at the end of month#
1.	October -2022	0	5	5	0
2.	November – 2022	0	2	1	1
3.	December – 2022	1	0	1	0
4.	January – 2023	0	2	1	1
5.	February - 2023	1	1	1	1
	Grand Total	2	10	9	3

* 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 years on rolling basis)-

Sr. No.	Year	Carried forward from previous year	Received during the year	Resolved during the year*	Pending at the end of year#
1.	2021	Not Applicable	63	63	0
2.	2022	0	9	9	0
3.	2023	0	3	2	NA
4.	2024	NA	NA	NA	NA
5.	2025	NA	NA	NA	NA
	Grand Total	0	75	74	0

* Inclusive of complaints of previous months resolved in the current year.

Inclusive of complaints pending as on the last day of the year.

2. **Category:** Qualified Institutional Placement (QIP)

Sr. No.	Received from	Pending as at the end of the last month (January 2023)	Received during the particular month (February 2023)	Resolved during the particular month* (February 2023)	Total Pending during the particular month# (February 2023)	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
	Grand Total	0	0	0	0	0	0

* Inclusive of complaints of previous months resolved in the current month.

Inclusive of complaints pending as on the last day of the month.

^ 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.

Trend of monthly disposal of complaints (For 5 months on rolling basis)-

Sr. No.	Month	Carried forward from previous month	Received during the month	Resolved during the month*	Pending at the end of month#
1.	October -2022	0	0	0	0
2.	November – 2022	0	0	0	0
3.	December – 2022	0	0	0	0
4.	January – 2023	0	0	0	0
5.	February - 2023	0	0	0	0
	Grand Total	0	0	0	0

* 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 years on rolling basis)-

Sr. No.	Year	Carried forward from previous year	Received during the year	Resolved during the year*	Pending at the end of year#
1.	2021	0	0	0	0
2.	2022	0	0	0	0
3.	2023	0	0	0	0
4.	2024	0	0	0	0
5.	2025	0	0	0	0
	Grand Total	0	0	0	0

* Inclusive of complaints of previous months resolved in the current year.

Inclusive of complaints pending as on the last day of the year.

3. **Category:** Buyback of Equity Shares

Sr. No.	Received from	Pending as at the end of the last month (January 2023)	Received during the particular month (February 2023)	Resolved during the particular month* (February 2023)	Total Pending during the particular month# (February 2023)	Pending complaints > 1 month	Average Resolution time^ (in days)
1.	Directly from Investors	Not Applicable	6	5	1	0	2
2.	SEBI (SCORES)	Not Applicable	0	0	0	0	0
3.	Stock Exchanges (if relevant)	Not Applicable	0	0	0	0	0
4.	Other Sources (if any)	Not Applicable	0	0	0	0	0
	Grand Total	0	6	5	1	0	2

* Inclusive of complaints of previous months resolved in the current month.

Inclusive of complaints pending as on the last day of the month.

^ 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.

Trend of monthly disposal of complaints (For 5 months on rolling basis)-

Sr. No.	Month	Carried forward from previous month	Received during the month	Resolved during the month*	Pending at the end of month#
1.	October -2022	Not Applicable	Not Applicable	Not Applicable	Not Applicable
2.	November – 2022	Not Applicable	Not Applicable	Not Applicable	Not Applicable
3.	December – 2022	Not Applicable	Not Applicable	Not Applicable	Not Applicable
4.	January – 2023	Not Applicable	Not Applicable	Not Applicable	Not Applicable
5.	February - 2023	Not Applicable	6	5	1
	Grand Total	0	6	5	1

* 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 years on rolling basis)-

Sr. No.	Year	Carried forward from previous year	Received during the year	Resolved during the year*	Pending at the end of year#
1.	2021	Not Applicable	Not Applicable	Not Applicable	Not Applicable
2.	2022	Not Applicable	Not Applicable	Not Applicable	Not Applicable
3.	2023	Not Applicable	6	5	NA
4.	2024	NA	NA	NA	NA
5.	2025	NA	NA	NA	NA
	Grand Total	0	6	5	0

* Inclusive of complaints of previous months resolved in the current year.

Inclusive of complaints pending as on the last day of the year.