

EQUITY MARKET - INVESTOR COMPLAINTS DATA

Name of Merchant Banker : Anand Rathi Advisors Limited

SEBI Registration Number : INM000010478

Data for month ending : December 2021

Activity: Consolidated Report

SN	Received from	Pending as at the end of last month	Received during the month	Resolved during the month*	Pending at the end of month #	Pending complaints > 3 month	Average Resolution on time(in days)
1	Directly from Investors	NA	51	51	0	0	7 days
2	SEBI (SCORES)	NA	12	12	0	0	13 days
3	Stock Exchanges (if relevant)	NA	0	0	0	0	0
4	Other Sources (if any)	NA	0	0	0	0	0
5	Grand Total	NA	63	63	0	0	20 days

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

SN	Month	Carried forward from previous month	Received during the month	Resolved during the month *	Pending at the end of month
1.	December-2021	NA	63	63	0
2.	January- 2022	NA	NA	NA	NA
3.	February- 2022	NA	NA	NA	NA
4.	March- 2022	NA	NA	NA	NA
5.	April- 2022	NA	NA	NA	NA
	Grand Total	0	63	63	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 annual (Calendar year) disposal of complaints (for 5 years on rolling basis)-

SN	Year	Carried forward from previous year	Received during the year	Resolved during the year	Pending at the end of the year
1.	2021	NA	63	63	0
2.	2022	NA	NA	NA	NA
3.	2023	NA	NA	NA	NA
4.	2024	NA	NA	NA	NA
5.	2025	NA	NA	NA	NA
	Grand Total	0	63	63	0

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
 - Buyback
 - 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)

SN	Received from	Pending as at the end of last month	Received during the month	Resolved during the month*	Pending at the end of month #	Pending complaints > 3 month	Average Resolution on time(in days)
1	Directly from Investors	NA	51	51	0	0	7 days
2	SEBI (SCORES)	NA	12	12	0	0	13 days
3	Stock Exchanges (if relevant)	NA	0	0	0	0	0
4	Other Sources (if any)	NA	0	0	0	0	0
5	Grand Total	NA	63	63	0	0	20 days

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

SN	Month	Carried forward from previous month	Received during the month	Resolved during the month *	Pending at the end of month
1.	December-2021	NA	63	63	0
2.	January- 2022	NA	NA	NA	NA
3.	February- 2022	NA	NA	NA	NA
4.	March- 2022	NA	NA	NA	NA
5.	April- 2022	NA	NA	NA	NA
	Grand Total	NA	63	63	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 annual (Calendar year) disposal of complaints (for 5 years on rolling basis)-

SN	Year	Carried forward from previous month	Received during the year	Resolved during the year	Pending at the end of the year
1.	2021	NA	63	63	0
2.	2022	NA	NA	NA	NA
3.	2023	NA	NA	NA	NA
4.	2024	NA	NA	NA	NA
5.	2025	NA	NA	NA	NA
	Grand Total	-	63	63	0

2. Category: Qualified Institutions Placement (QIP)

S.N.	Received from	Pending as at the end of last month	Received during the particular month	Resolved during the particular month*	Total Pending during the particular month #	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
5.	Grand Total	0	0	0	0	0	0

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

S.N.	Month	Carried forward from previous month	Received during the particular month	Resolved during the particular month *	Pending at the end of the particular month #
1.	January, 2022	NA	NA	NA	NA
2.	February, 2022	NA	NA	NA	NA
3.	March, 2022	NA	NA	NA	NA
4.	April, 2022	NA	NA	NA	NA
5.	May, 2022	NA	NA	NA	NA
	Grand Total	-	-	-	-

* 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 annual (Calendar year) disposal of complaints (for 5 years on rolling basis)-

S.N.	Year	Carried forward from previous year	Received during the particular year	Resolved during the particular year	Pending at the end of the particular year
1.	2021	0	0	0	0
2.	2022	NA	NA	NA	NA
3.	2023	NA	NA	NA	NA
4.	2024	NA	NA	NA	NA
5.	2025	NA	NA	NA	NA
	Grand Total	0	0	0	0