

In terms of SEBI Circular number, we SMC Capitals Limited (SEBI Registered Category – I Merchant Banker) are providing the details as per Annexure B of the SEBI Circular number SEBI/HO/CFD/DCR2/P/CIR/2021/0661 dated November 23, 2021.

January 5, 2022

Data / Information related to Complaints received

Data for every month ending:

Sr No	Received From	Past as at the end of last months	Received during the particular month	Resolved during the particular months	Total Pending during the Particular Month	Pending Complaints > 1 Months	Average Resolution ^Time/(In days)
1	Directly from Investors	Nil	Nil	Nil	Nil	Not Applicable	Not Applicable
2	SEBI (SCORES)	Nil	Nil	Nil	Nil	Not Applicable	Not Applicable
3	Stock Exchanges (if Relevant)	Nil	Nil	Nil	Nil	Not Applicable	Not Applicable
4	Other Sources (if any)	Nil	Nil	Nil	Nil	Not Applicable	Not Applicable
5	Grand Total	Nil	Nil	Nil	Nil	Not Applicable	Not Applicable

Trend of monthly disposal of Complaints (for 5 months on rolling basis):

Sr. No	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	Nil	Nil	Not Applicable	Not Applicable
2	February 2022	Not Applicable [§]	Not Applicable [§]	Not Applicable [§]	Not Applicable [§]
3	March 2022	Not Applicable [§]	Not Applicable [§]	Not Applicable [§]	Not Applicable [§]
4	April 2022	Not Applicable [§]	Not Applicable [§]	Not Applicable [§]	Not Applicable [§]
5	May 2022	Not Applicable [§]	Not Applicable [§]	Not Applicable [§]	Not Applicable [§]

[^] 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.

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

[#] Inclusive of complaints pending as on the last day of the month.

[§] Not Applicable as on date of this Annexure

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 particular year	Resolved during the particular year	Pending at the end of the particular year
1	2021	Nil	Nil	Nil	Nil
2	2022	Nil	Nil [^]	Nil [^]	Nil [^]
3	2023	Not Applicable [§]	Not Applicable [§]	Not Applicable [§]	Not Applicable [§]
4	2024	Not Applicable [§]	Not Applicable [§]	Not Applicable [§]	Not Applicable [§]
5	2025	Not Applicable [§]	Not Applicable [§]	Not Applicable [§]	Not Applicable [§]
	Grand Total	Nil	Nil	Nil	Nil

[^] As on date of this Annexure

[§] Not Applicable as on date of this Annexure