



**Format for Investor Complaints Data to be displayed by Depository Participants** on their respective websites

Data for every month ending (August 2024)

| 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   | 2                       | 3                                   | 4                         | 5             | 6          | 7                                 |                                | 8                                  |
| 1   | Directly from Investors | Nil                                 | Nil                       | Nil           | Nil        | Nil                               | Nil                            | NA                                 |
| 2   | SEBI (SCORES)           | Nil                                 | Nil                       | Nil           | Nil        | Nil                               | Nil                            | NA                                 |
| 3   | Depositories            | Nil                                 | Nil                       | Nil           | Nil        | Nil                               | Nil                            | NA                                 |
| 4   | Other Sources (if any)  | Nil                                 | Nil                       | Nil           | Nil        | Nil                               | Nil                            | NA                                 |
|     | Grand Total             | Nil                                 | Nil                       | Nil           | Nil        | Nil                               | Nil                            | NA                                 |

**NEO WEALTH MANAGEMENT PRIVATE LIMITED**

CIN:U74140MH2021PTC367572

903, B-Wing, 9<sup>th</sup> Floor, Marathon Futurex, Mafatlal Mills Compound, N.M.Joshi Marg, Lower Parel Mumbai Mumbai City MH 400013 IN compliance@neo-wealth.com and Phone Number: 022-66423600



Trend of monthly disposal of complaints:

| SN | Month            | Carried forward from previous month | Received | Resolved* | Pending** |
|----|------------------|-------------------------------------|----------|-----------|-----------|
| 1  | 2                | 3                                   | 4        | 5         | 6         |
| 1  | November - 2022  | Nil                                 | Nil      | Nil       | Nil       |
| 2  | December - 2022  | Nil                                 | Nil      | Nil       | Nil       |
| 3  | January – 2023   | Nil                                 | Nil      | Nil       | Nil       |
| 4  | February – 2023  | Nil                                 | Nil      | Nil       | Nil       |
| 5  | March – 2023     | Nil                                 | Nil      | Nil       | Nil       |
| 6  | April – 2023     | Nil                                 | Nil      | Nil       | Nil       |
| 7  | May – 2023       | Nil                                 | Nil      | Nil       | Nil       |
| 8  | June – 2023      | Nil                                 | Nil      | Nil       | Nil       |
| 9  | July – 2023      | Nil                                 | Nil      | Nil       | Nil       |
| 10 | August – 2023    | Nil                                 | Nil      | Nil       | Nil       |
| 11 | September – 2023 | Nil                                 | Nil      | Nil       | Nil       |
| 12 | October – 2023   | Nil                                 | Nil      | Nil       | Nil       |
| 13 | November – 2023  | Nil                                 | Nil      | Nil       | Nil       |
| 14 | December – 2023  | Nil                                 | Nil      | Nil       | Nil       |
| 15 | January – 2024   | Nil                                 | Nil      | Nil       | Nil       |
| 16 | February – 2024  | Nil                                 | Nil      | Nil       | Nil       |
| 17 | March – 2024     | Nil                                 | Nil      | Nil       | Nil       |
| 18 | April – 2024     | Nil                                 | Nil      | Nil       | Nil       |
| 19 | May – 2024       | Nil                                 | Nil      | Nil       | Nil       |
| 20 | June – 2024      | Nil                                 | Nil      | Nil       | Nil       |
| 21 | July – 2024      | Nil                                 | Nil      | Nil       | Nil       |
| 22 | August – 2024    | Nil                                 | Nil      | Nil       | Nil       |
|    | Grand Total      | Nil                                 | Nil      | Nil       | Nil       |

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\*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.

| SN | Year    | Carried forward from previous year | Received during the year | Resolved during the year | Pending at the end of the year |
|----|---------|------------------------------------|--------------------------|--------------------------|--------------------------------|
| 1  | 2017-18 | NIL                                | NIL                      | NIL                      | NIL                            |
| 2  | 2018-19 | NIL                                | NIL                      | NIL                      | NIL                            |

Trend of annual disposal of complaints

|   |             |     |     |     |     |
|---|-------------|-----|-----|-----|-----|
| 3 | 2019-20     | NIL | NIL | NIL | NIL |
| 4 | 2020-21     | NIL | NIL | NIL | NIL |
| 5 | 2021-22     | NIL | NIL | NIL | NIL |
| 6 | 2022-23     | NIL | NIL | NIL | NIL |
| 7 | 2023-24     | NIL | NIL | NIL | NIL |
|   | Grand Total | NIL | NIL | NIL | NIL |

Note: Neo Wealth Management Private Limited received SEBI Registration for Depository Participant operations in November 2022 and commenced demat account services in December, 2022.

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