

**Citigroup Global Markets India Private Limited**

**Investor Complaints Data for Stock Broking Business**

**Data for Month Ending March 31st, 2024**

| Sr No | Received From           | Carried Forward from Previous Month | Received during the month | Total Pending | Resolved* | Pending at the end of the month ** |                                | Average Resolution on time^(in days) |
|-------|-------------------------|-------------------------------------|---------------------------|---------------|-----------|------------------------------------|--------------------------------|--------------------------------------|
|       |                         |                                     |                           |               |           | Pending for more than 3 months     | Pending for more than 3 months |                                      |
| 1     | Directly from Investors | 0                                   | 1                         | 0             | 1         | 0                                  | 0                              | 19                                   |
| 2     | SEBI (Score)            | 0                                   | 0                         | 0             | 0         | 0                                  | 0                              | 0                                    |
| 3     | Stock Exchanges         | 0                                   | 0                         | 0             | 0         | 0                                  | 0                              | 0                                    |
| 4     | Other Sources (If Any)  | 0                                   | 0                         | 0             | 0         | 0                                  | 0                              | 0                                    |
| 5     | Grand Total             | 0                                   | 1                         | 0             | 1         | 0                                  | 0                              | 19                                   |

\*Include complaints of previous months resolved in the current month, if any.

\*\* 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.

**Trend of monthly disposal of complaints**

| Sr No | Month   | Carried forward from previous month | Received | Resolved * | Pending** |
|-------|---------|-------------------------------------|----------|------------|-----------|
| 1     | Apr-23  | 0                                   | 0        | 0          | 0         |
| 2     | May-23  | 0                                   | 0        | 0          | 0         |
| 3     | June-23 | 0                                   | 0        | 0          | 0         |
| 4     | July-23 | 0                                   | 0        | 0          | 0         |
| 5     | Aug-23  | 0                                   | 0        | 0          | 0         |
| 6     | Sep-23  | 0                                   | 0        | 0          | 0         |
| 7     | Oct-23  | 0                                   | 0        | 0          | 0         |
| 8     | Nov-23  | 0                                   | 0        | 0          | 0         |
| 9     | Dec-23  | 0                                   | 0        | 0          | 0         |
| 10    | Jan-24  | 0                                   | 0        | 0          | 0         |
| 11    | Feb-24  | 0                                   | 1        | 1          | 0         |
| 12    | Mar-24  | 0                                   | 0        | 0          | 0         |

\*Include complaints of previous months resolved in the current month, if any.

\*\* Include total complaints pending as on the last day of the month, if any

**Trend of annual disposal of complaints**

| Sr No | Year^    | Carried Forward from previous year | Received during the year | Resolved during the year | Pending at the end of the year |
|-------|----------|------------------------------------|--------------------------|--------------------------|--------------------------------|
| 1     | 2018-19  | 0                                  | 0                        | 0                        | 0                              |
| 2     | 2019-20  | 0                                  | 1                        | 1                        | 0                              |
| 3     | 2020-21  | 0                                  | 0                        | 0                        | 0                              |
| 4     | 2021-22  | 0                                  | 5^^                      | 4                        | 1                              |
| 5     | 2022-23  | 1                                  | 1                        | 2                        | 0                              |
| 6     | 2023-24* | 0                                  | 1                        | 1                        | 0                              |

\*Details updated as on **March 31st, 2024**. ^Annual trend details are provided by Financial Year.

^^ Includes one complaint received in the month of April 2021 where the complainant was not our client and accordingly complaint was responded.