

## Complaints Data relating to Stock Broking activities

Data for the month ending – 31<sup>st</sup> August 2023

| 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 time^ (in days) |
|---------|-------------------------|-------------------------------------|---------------------------|---------------|-----------|-----------------------------------|--------------------------------|------------------------------------|
|         |                         |                                     |                           |               |           | Pending for less than 3           | Pending for more than 3 months |                                    |
| 1       | Directly from Investors | -                                   | -                         | -             | -         | -                                 | -                              | -                                  |
| 2       | SEBI (SCORES)           | -                                   | -                         | -             | -         | -                                 | -                              | -                                  |
| 3       | Stock Exchanges         |                                     |                           |               |           |                                   |                                |                                    |
| 4       | Other Sources (if any)  | -                                   | -                         | -             | -         | -                                 | -                              | -                                  |
| 5       | Grand Total             | -                                   | -                         | -             | -         | -                                 | -                              | -                                  |

## Trend of monthly disposal of complaints

| Sr. No. | Month        | Carried forward from previous month | Received | Resolved* | Pending** |
|---------|--------------|-------------------------------------|----------|-----------|-----------|
| 1       | April, 2023  | -                                   | -        | -         | -         |
| 2       | May, 2023    | -                                   | -        | -         | -         |
| 3       | June, 2023   | -                                   | -        | -         | -         |
| 4       | July, 2023   | -                                   | -        | -         | -         |
| 5       | August, 2023 | -                                   | -        | -         | -         |
|         | Grand Total  | -                                   | -        | -         | -         |

\*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.

## Trend of annual disposal of complaints

| SN | Year        | Carried forward from previous year | Received during the year | Resolved during the year | Pending at the end of the year |
|----|-------------|------------------------------------|--------------------------|--------------------------|--------------------------------|
| 1  | 2019-20     | -                                  | -                        | -                        | -                              |
| 2  | 2020-21     | -                                  | -                        | -                        | -                              |
| 3  | 2021-22     | -                                  | -                        | -                        | -                              |
| 4  | 2022-23     | -                                  | -                        | -                        | -                              |
| 5  | 2023-24     | -                                  | -                        | -                        | -                              |
|    | Grand Total | -                                  | -                        | -                        | -                              |