

## <u>Data of Investor Complaints: Stock Brokers / Depository Participant</u> <u>Data for the month ending: August 2023</u>

| S.N | Received<br>from               | Carried<br>forward<br>from<br>previous<br>month | Received<br>during the<br>month | Total<br>Pending | Resolv<br>ed | Pending at the end of the month** |   | Average<br>Resolution<br>time(in days) |
|-----|--------------------------------|---|---------------------------------|------------------|--------------|-----------------------------------|---|--|
|     |                                |   |                                 |                  |              | for less<br>than 3<br>months      | Pendin<br>g for<br>more<br>than 3<br>months |  |
| 1   | Directly<br>from<br>Investors  | 0   | 0                               | 0                | 0            | 0                                 |   | 0                                      |
| 2   | SEBI<br>(SCORES)               | 0   | 0                               | 0                | 0            | 0                                 |   | 0                                      |
| 3   | Stock Exchanges /Depositor ies | 0   | 0                               | 0                | 0            | 0                                 |   | 0                                      |
| 4   | Other<br>Sources (if<br>any)   | 0   | 0                               | 0                | 0            | 0                                 |   | 0                                      |
| 5   | Grand<br>Total                 | 0   | 0                               | 0                | 0            | 0                                 |   | 0                                      |



## **Trend of monthly disposal of complaints**

| SN | Month              | Carried forward | Received | Resolved* | Pending** |
|----|--------------------|-----------------|----------|-----------|-----------|
|    |                    | from previous   |          |           |           |
|    |                    | month           |          |           |           |
| 1  | April 2022         | 0               | 0        | 0         | 0         |
| 2  | May 2022           | 0               | 0        | 0         | 0         |
| 3  | June 2022          | 0               | 0        | 0         | 0         |
| 4  | July 2022          | 0               | 0        | 0         | 0         |
| 5  | August 2022        | 0               | 0        | 0         | 0         |
| 6  | September 2022     | 0               | 0        | 0         | 0         |
| 7  | October 2022       | 0               | 0        | 0         | 0         |
| 8  | November 2022      | 0               | 0        | 0         | 0         |
| 9  | December 2022      | 0               | 0        | 0         | 0         |
| 10 | January 2023       | 0               | 0        | 0         | 0         |
| 11 | February 2023      | 0               | 0        | 0         | 0         |
| 12 | March 2023         | 0               | 0        | 0         | 0         |
| 13 | April 2023         | 0               | 0        | 0         | 0         |
| 14 | May 2023           | 0               | 0        | 0         | 0         |
| 15 | June 2023          | 0               | 0        | 0         | 0         |
| 16 | July 2023          | 0               | 0        | 0         | 0         |
| 17 | August 2023        | 0               | 0        | 0         | 0         |
|    | <b>Grand Total</b> | 0               | 0        | 0         | 0         |

<sup>\*</sup>Should include complaints of previous months resolved in the current month, if any.

## Trend of annual disposal of complaints

| S.N | Year               | Carried forward from previous year | Received during<br>the year | Resolved During the year | Pending at<br>the end of<br>the year |
|-----|--------------------|------------------------------------|-----------------------------|--------------------------|--------------------------------------|
| 1   | 2020-21            | 1                                  | 0                           | 1                        | 0                                    |
| 2   | 2021-22            | 0                                  | 0                           | 0                        | 0                                    |
| 3   | 2022-23            | 0                                  | 0                           | 0                        | 0                                    |
|     | <b>Grand Total</b> | 0                                  | 0                           | 0                        | 0                                    |

<sup>\*\*</sup>Should include total complaints pending as on the last day of the month, if any.

<sup>^</sup>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.