

Investor Complaint Data – Stock Broker

Detail of disposal of complaints for the month of February 2024

| | | Carried | Received | | | Pending at the | end of the month | Average |
|------|------------------------|---|----------|--------------------------------------|--------------------------------------|---------------------------|------------------|---------|
| S.No | Received From | forward from previous month Total Pending | Resolved | Pending for less than 3 months | Pending for more than 3 months | Resolution Time (In Days) | | |
| 1 | Direct from Investors | 0 | 1 | 1 | 1 | 0 | 0 | 6 |
| 2 | SEBI (SCORES) | 0 | 0 | 0 | 0 | 0 | 0 | 0 |
| 3 | Stock Exchanges | 1 | 7 | 8 | 6 | 2 | 0 | 13 |
| 4 | Other Sources (if any) | 0 | 0 | 0 | 0 | 0 | 0 | 0 |
| 5 | Grand Total | 1 | 8 | 9 | 7 | 2 | 0 | |

Trend of monthly disposal of complaints

| S. No | Month | Carried forward from previous month | Received | Resolved | Pending |
|-------|---------|-------------------------------------|----------|----------|---------|
| 1. | Apr-23 | 2 | 6 | 7 | 1 |
| 2. | May-23 | 2 | 3 | 3 | 2 |
| 3. | June-23 | 2 | 3 | 4 | 1 |
| 4. | July-23 | 1 | 6 | 4 | 3 |
| 5. | Aug-23 | 4 | 11 | 13 | 2 |
| 6. | Sep-23 | 2 | 3 | 5 | 0 |
| 7. | Oct-23 | 0 | 5 | 4 | 1 |
| 8. | Nov-23 | 1 | 4 | 4 | 1 |
| 9. | Dec-23 | 1 | 4 | 5 | 0 |
| 10. | Jan-24 | 0 | 5 | 4 | 1 |
| 11. | Feb-24 | 1 | 8 | 7 | 2 |

Trend of annual disposal of complaints

| S. No | Financial Year | Carried forward | Received during | Resolved during the | Pending at the end | |
|-------|----------------|--------------------|-----------------|---------------------|--------------------|--|
| | | from previous year | the year | year | of the year | |
| 1 | 2017-2018 | 3 | 132 | 126 | 9 | |
| 2 | 2018-2019 | 9 | 126 | 125 | 10 | |
| 3 | 2019-2020 | 10 | 177 | 175 | 12 | |
| 4 | 2020-2021 | 12 | 126 | 132 | 6 | |
| 5 | 2021-2022 | 6 | 149 | 152 | 3 | |
| 6 | 2022-2023 | 3 | 79 | 80 | 2 | |
| | Grand Total | | 789 | 790 | | |