

**Details of Complaints Data - Stock Broking**

Data for the month ending – December 2022

| 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 months    | Pending for more than 3 months |                                    |
| 1      | Directly from Investors | NIL                                 | NIL                       | NIL           | NIL        | NIL                               | NIL                            | N.A.                               |
| 2      | SEBI (SCORES)           | NIL                                 | NIL                       | NIL           | NIL        | NIL                               | NIL                            | N.A.                               |
| 3.     | Stock Exchanges         | NIL                                 | NIL                       | NIL           | NIL        | NIL                               | NIL                            | N.A.                               |
| 3      | Other Sources (if any)  | NIL                                 | NIL                       | NIL           | NIL        | NIL                               | NIL                            | N.A.                               |
|        | <b>Grand Total</b>      | NIL                                 | NIL                       | NIL           | NIL        | NIL                               | NIL                            | N.A.                               |

^ Average Resolution time is the sum total of time taken to resolve each complaint in days, 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      | January 2022       | NIL                                 | NIL      | NIL       | NIL      |
| 2      | February 2022      | NIL                                 | NIL      | NIL       | NIL      |
| 3      | March 2022         | NIL                                 | NIL      | NIL       | NIL      |
| 4      | April 2022         | NIL                                 | NIL      | NIL       | NIL      |
| 5      | July 2021          | NIL                                 | NIL      | NIL       | NIL      |
| 6      | June 2022          | NIL                                 | NIL      | NIL       | NIL      |
| 7      | July 2022          | NIL                                 | NIL      | NIL       | NIL      |
| 8      | August 2022        | NIL                                 | NIL      | NIL       | NIL      |
| 9      | September 2022     | NIL                                 | NIL      | NIL       | NIL      |
| 10     | October 2022       | NIL                                 | NIL      | NIL       | NIL      |
| 11     | November 2022      | NIL                                 | NIL      | NIL       | NIL      |
| 12     | December 2022      | NIL                                 | NIL      | NIL       | NIL      |
|        | <b>Grand Total</b> | NIL                                 | NIL      | NIL       | NIL      |

\* Inclusive of complaints of previous months resolved in the current month.

# Inclusive of complaints pending as on the last day of the month.

**Trend of annual disposal of complaints**

| SN | Year               | Carried forward from previous year | Received | Resolved* | Pending# |
|----|--------------------|------------------------------------|----------|-----------|----------|
| 1  | 2017-18            | NIL                                | 4        | 4         | NIL      |
| 2  | 2018-19            | NIL                                | 4        | 4         | NIL      |
| 3  | 2019-20            | NIL                                | 1        | 1         | NIL      |
| 4  | 2020-21            | NIL                                | NIL      | NIL       | NIL      |
| 5  | 2021-22            | NIL                                | NIL      | NIL       | NIL      |
| 6  | 2022-23 (YTD)      | NIL                                | NIL      | NIL       | NIL      |
|    | <b>Grand Total</b> |                                    |          |           |          |

\* Inclusive of complaints of previous years resolved in the current year.

# Inclusive of complaints pending as on the last day of the year.