

**Investor Complaints Data for Broking Arm**

**Data for month ended July- 2024**

| SN | Received from           | Carried forward from previous month | Received during the month | Total Pending | Resolved* | Pending at the                 |                                | Average Resolution time^ (in days) |
|----|-------------------------|-------------------------------------|---------------------------|---------------|-----------|--------------------------------|--------------------------------|------------------------------------|
|    |                         |                                     |                           |               |           | end of the month**             |                                |                                    |
|    |                         |                                     |                           |               |           | Pending for less than 3 months | Pending for more than 3 months |                                    |
| 1  | 2                       | 3                                   | 4                         | 5             | 6         | 7                              |                                | 8                                  |
| 1  | Directly from Investors | 0                                   | 0                         | 0             | 0         | 0                              | 0                              | NA                                 |
| 2  | SEBI (SCORES)           | 0                                   | 0                         | 0             | 0         | 0                              | 0                              | NA                                 |
| 3  | 3 Stock Exchanges       | 0                                   | 0                         | 0             | 0         | 0                              | 0                              | NA                                 |
| 4  | Other Sources (if any)  | 0                                   | 0                         | 0             | 0         | 0                              | 0                              | NA                                 |
| 5  | Grand Total             | 0                                   | 0                         | 0             | 0         | 0                              | 0                              | NA                                 |

**Trend of monthly disposal of complaints**

| SN | Month  | Carried forward from previous month | Received | Resolved | Pending** |
|----|--------|-------------------------------------|----------|----------|-----------|
| 1  | 2      | 3                                   | 4        | 5        | 6         |
| 1  | Apr-23 | 0                                   | 0        | 0        | 0         |
| 2  | May-23 | 0                                   | 0        | 0        | 0         |
| 3  | Jun-23 | 0                                   | 0        | 0        | 0         |

|    |                    |   |   |   |   |
|----|--------------------|---|---|---|---|
| 4  | Jul-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 | 0 | 0 | 0 |
| 12 | Mar-24             | 0 | 0 | 0 | 0 |
| 13 | Apr-24             | 0 | 0 | 0 | 0 |
| 14 | May-24             | 0 | 0 | 0 | 0 |
| 15 | June-24            | 0 | 0 | 0 | 0 |
| 16 | July-24            | 0 | 0 | 0 | 0 |
|    | <b>Grand Total</b> | 0 | 0 | 0 | 0 |

\*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  | 2017-18 | 0                                  | 0                        | 0                        | 0                              |

|          |                    |   |   |   |   |
|----------|--------------------|---|---|---|---|
| <b>2</b> | <b>20218-19</b>    | 0 | 0 | 0 | 0 |
| <b>3</b> | <b>2019-20</b>     | 0 | 0 | 0 | 0 |
| <b>4</b> | <b>2020-21</b>     | 0 | 0 | 0 | 0 |
| <b>5</b> | <b>2021-22</b>     | 0 | 0 | 0 | 0 |
| <b>6</b> | <b>2022-23</b>     | 0 | 0 | 0 | 0 |
| <b>7</b> | <b>2023-24</b>     | 0 | 0 | 0 | 0 |
|          | <b>Grand Total</b> | 0 | 0 | 0 | 0 |