

Annexure – B

Format for Investor Complaints Data to be displayed by Stock Brokers on their respective websites

Data for every month ending

| S N | Receive d from | Carried forwar d from previou s month | Receive d during the month | Total Pendin g | Resolve d* | Pending at the end of the month** | | Average Resoluti on time ^ (in days) |
|--------|-------------------------------|--|-------------------------------------|----------------------|---------------|---|---|---|
| | | | | | | Pendin g for less than 3 month s | Pendin g for more than 3 month s | |
| 1 | 2 | 3 | 4 | 5 | 6 | 7 | | 8 |
| 1 | Directly from Investors | 0 | 0 | 0 | 0 | 0 | | NA |
| 2 | SEBI (SCORE S) | 0 | 0 | 0 | 0 | 0 | | NA |
| 3 | Stock Exchang es | 0 | 0 | 0 | 0 | 0 | | NA |
| 4 | Other Sources (if any) | 0 | 0 | 0 | 0 | 0 | | NA |
| 5 | Grand Total | 0 | 0 | 0 | 0 | 0 | | 0 |

Trend of monthly disposal of complaints

| SN | Month | Carried forward from previous month | Received | Resolved* | Pending** |
|----|-------|---|----------|-----------|-----------|
| 1 | 2 | 3 | 4 | 5 | 6 |

| | | | | | |
|----|--------------------|---|---|---|---|
| 1 | DEC -2021 | 0 | 0 | 0 | 0 |
| 2 | JAN-2022 | 0 | 0 | 0 | 0 |
| 3 | FEB-2022 | 0 | 0 | 0 | 0 |
| 4 | MAR-2022 | 0 | 0 | 0 | 0 |
| 5 | APR-2022 | 0 | 0 | 0 | 0 |
| 6 | May-2022 | 0 | 2 | 2 | 0 |
| 7 | June-2022 | 0 | 1 | 1 | 0 |
| 8 | July-2022 | 0 | 0 | 0 | 0 |
| 9 | August 2022 | 0 | 0 | 0 | 0 |
| 10 | September 2022 | 0 | 0 | 0 | 0 |
| 11 | October 2022 | 0 | 0 | 0 | 0 |
| 12 | November 2022 | 0 | 0 | 0 | 0 |
| 13 | December 2022 | 0 | 0 | 0 | 0 |
| 14 | January-2023 | 0 | 0 | 0 | 0 |
| 15 | February 2023 | 0 | 0 | 0 | 0 |
| 16 | March 2023 | 0 | 0 | 0 | 0 |
| 17 | April 2023 | 0 | 0 | 0 | 0 |
| 18 | May 2023 | 0 | 1 | 1 | 0 |
| 19 | June2023 | 0 | 0 | 0 | 0 |
| 20 | July 2023 | 0 | 0 | 0 | 0 |
| 21 | August 2023 | 0 | 0 | 0 | 0 |
| 22 | September 2023 | 0 | 0 | 0 | 0 |
| 23 | October 2023 | 0 | 0 | 0 | 0 |
| 24 | November 2023 | 0 | 0 | 0 | 0 |
| 25 | December 2023 | 0 | 0 | 0 | 0 |
| 26 | January-2024 | 0 | 0 | 0 | 0 |
| 27 | February-2024 | 0 | 0 | 0 | 0 |
| 27 | March-2024 | 0 | 0 | 0 | 0 |
| 27 | April-2024 | 0 | 0 | 0 | 0 |
| 28 | May 2024 | 0 | 0 | 0 | 0 |
| 28 | June 2024 | 0 | 0 | 0 | 0 |
| 29 | July 2024 | 0 | 0 | 0 | 0 |
| 30 | August 2024 | 0 | 0 | 0 | 0 |
| 31 | October 2024 | 0 | 0 | 0 | 0 |
| 32 | November 2024 | 0 | 0 | 0 | 0 |
| 33 | December 2024 | 0 | 0 | 0 | 0 |
| 34 | January 2025 | 0 | 0 | 0 | 0 |
| 35 | February 2025 | 0 | 0 | 0 | 0 |
| | Grand Total | 0 | 4 | 4 | 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 | 2020-21 | 0 | 0 | 0 | 0 |
| 2 | 2021-22 | 0 | 0 | 0 | 0 |
| 3 | 2022-23 | 0 | 3 | 3 | 0 |
| 4 | 2023-24 | 0 | 1 | 1 | 0 |
| 5 | 2024-25 | 0 | 0 | 0 | 0 |
| | Grand Total | 0 | 4 | 4 | 0 |