

**Annexure – B**

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

**Data for every month ending May 2024**

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

**Trend of monthly disposal of complaints**

| <b>SN</b> | <b>Month</b> | <b>Carried forward<br/>from previous<br/>month</b> | <b>Received</b> | <b>Resolved*</b> | <b>Pending**</b> |
|-----------|--------------|--|-----------------|------------------|------------------|
| <b>1</b>  | <b>2</b>     | <b>3</b>   | <b>4</b>        | <b>5</b>         | <b>6</b>         |

|    |                    |   |   |   |   |
|----|--------------------|---|---|---|---|
| 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 |
|    | <b>Grand Total</b> | 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<br>from previous<br>year | Received<br>during the year | Resolved<br>during the<br>year | Pending at<br>the end of<br>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                                    |
|    | <b>Grand Total</b> | 0  | 4                           | 4                              | 0                                    |