

Annexure – B

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

Data for every month ending September 2023

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
	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
	Grand Total	0	4	4	0