

Complaints – Broking & DP

ANNEXURE-B

Data for Month ending Sep - 2024

| Sr. No. | Received from | Carried forward from previous Year | Received during the year | Total Pending | Resolved* | Pending at the end of the year** |
|---------|-------------------------|------------------------------------|--------------------------|---------------|-----------|----------------------------------|
| 1 | Directly from Investors | 6 | 25 | 9 | 16 | 15 |
| 2 | SEBI (SCORES) | 0 | 10 | 1 | 10 | 1 |
| 3 | Depositories | 0 | 24 | 0 | 23 | 0 |
| 4 | Other Sources(if any) | 0 | 0 | 0 | 0 | 0 |
| | Grand Total | 6 | 59 | 10 | 49 | 16 |

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

| Sr. No. | Month | Carried forward from previous month | Received | Resolved * | Pending** |
|---------|--------------------|-------------------------------------|-----------|------------|-----------|
| 1 | Apr-21 | 0 | 2 | 2 | 0 |
| 2 | May-21 | 0 | 0 | 0 | 0 |
| 3 | Jun-21 | 0 | 2 | 2 | 0 |
| 4 | Jul-21 | 0 | 1 | 1 | 0 |
| 5 | Aug-21 | 0 | 0 | 0 | 0 |
| 6 | Sep-21 | 0 | 1 | 1 | 0 |
| 7 | Oct-21 | 0 | 0 | 0 | 0 |
| 8 | Nov-21 | 0 | 2 | 1 | 1 |
| 9 | Dec-21 | 1 | 1 | 1 | 0 |
| 10 | Jan-22 | 0 | 1 | 1 | 0 |
| 11 | Feb-22 | 0 | 0 | 0 | 0 |
| 12 | Mar-22 | 0 | 0 | 0 | 0 |
| 13 | Apr-22 | 0 | 1 | 1 | 0 |
| 14 | May-22 | 0 | 2 | 2 | 0 |
| 15 | Jun-22 | 0 | 0 | 0 | 0 |
| 16 | Jul-22 | 0 | 0 | 0 | 0 |
| 17 | Aug-22 | 0 | 2 | 2 | 0 |
| 18 | Sept 22 | 0 | 2 | 2 | 0 |
| 19 | Oct-22 | 0 | 1 | 2 | 0 |
| 20 | Nov-22 | 0 | 4 | 4 | 0 |
| 21 | Dec-22 | 0 | 3 | 3 | 0 |
| 22 | Jan-23 | 0 | 2 | 2 | 0 |
| 23 | Feb-23 | 0 | 1 | 1 | 0 |
| 24 | Mar-23 | 0 | 0 | 0 | 0 |
| 25 | Apr-23 | 0 | 1 | 0 | 1 |
| 26 | May-23 | 1 | 1 | 1 | 1 |
| 27 | Jun-23 | 1 | 2 | 0 | 2 |
| 28 | Jul-23 | 0 | 0 | 0 | 0 |
| 29 | Aug-23 | 0 | 0 | 0 | 0 |
| 30 | Sep-23 | 0 | 2 | 2 | 0 |
| 31 | Oct -23 | 0 | 2 | 2 | 0 |
| 32 | Nov-23 | 0 | 0 | 0 | 0 |
| 33 | Dec-23 | 0 | 1 | 1 | 0 |
| 34 | Jan 24 | 0 | 6 | 6 | 0 |
| 35 | Feb 24 | 0 | 6 | 6 | 0 |
| 36 | Mar 24 | 0 | 11 | 7 | 4 |
| 37 | April 24 | 4 | 7 | 10 | 1 |
| 38 | May 24 | 1 | 11 | 10 | 1 |
| 39 | Jun 24 | 1 | 1 | 2 | 0 |
| 40 | July 24 | 0 | 2 | 2 | 0 |
| 41 | Aug 24 | 0 | 0 | 0 | 0 |
| 42 | Sep 24 | 0 | 3 | 3 | 0 |
| | Grand Total | 9 | 84 | 81 | 11 |

* Inclusive of complaints of previous months resolved in the current

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

Trend of annual disposal of complaints

| Sr. No. | Year | Carriedforward from previous year | Receivedduringthe year | Resolved during the year | Pending at the end of the year | |
|---------|---------|-----------------------------------|------------------------|--------------------------|--------------------------------|--|
| 1 | 2017-18 | 0 | 399 | 398 | 1 | |
| 2 | 2018-19 | 1 | 217 | 203 | 14 | |
| 3 | 2019-20 | 14 | 124 | 99 | 25 | |
| 4 | 2020-21 | 25 | 16 | 15 | 1 | |
| 5 | 2021-22 | 1 | 10 | 9 | 1 | |

| | | | | | | |
|---|---------|---|----|----|---|--|
| 6 | 2022-23 | 1 | 18 | 18 | 0 | |
| 7 | 2023-24 | 0 | 6 | 3 | 3 | |

| | | | | | | |
|--|--------------------|----|-----|-----|----|--|
| | Grand Total | 42 | 790 | 745 | 45 | |
|--|--------------------|----|-----|-----|----|--|