Annexure B

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

# Data for the month of AUGUST- 2024

|  |  |  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- | --- | --- |
| **SN** | **Receivedfrom** | **Carriedforwardfrompreviousmonth** | **Receivedduringthemonth** | **TotalPending** | **Resolved\*** | **Pendingattheendofthemonth\*\*** | **AverageResolutiontime^****(indays)** |
|  |  |  |  |  |  | **Pendingforlessthan3months** | **Pendingformorethan 3****months** |  |
| **1** | **2** | **3** | **4** | **5** | **6** | **7** | **8** |
| 1 | Directly fromInvestors | 0 | 0 | 0 | 0 | 0 | 0 |
| 2 | SEBI(SCORES) | 0 | 0 | 0 | 0 | 0 | 0 |
| 3 | Depositories | 0 | 0 | 0 | 0 | 0 | 0 |
| 4 | OtherSources (ifany) | 0 | 0 | 0 | 0 | 0 | 0 |
| 5 | **GrandTotal** | 0 | 0 | 0 | 0 | 0 | 0 |

**Trend of monthly disposal of complaints**

|  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- |
| **SN** | **Month** | **Carried forward****from previousmonth** | **Received** | **Resolved\*** | **Pending\*\*** |
| **1** | **2** | **3** | **4** | **5** | **6** |
| 1 | April-2022 | 0 | 0 | 0 | 0 |
| 2 | May-2022 | 0 | 0 | 0 | 0 |
| 3 | June-2022 | **0** | **0** | **0** | **0** |
| 4 | July-2022 | **0** | **0** | **0** | **0** |
| 5 | August-2022 | 0 | 0 | 0 | 0 |
| 6 | September2022 | 0 | 0 | 0 | 0 |
| 7 | October2022 | 0 | 0 | 0 | 0 |
| 8 | November2022 | 0 | 0 | 0 | 0 |
| 9 | December2022 | 0 | 0 | 0 | 0 |
| 10 | January2023 | 0 | 0 | 0 | 0 |
| 11 | February2023 | 0 | 0 | 0 | 0 |
| 12 | May2023 | 0 | 0 | 0 | 0 |
| 13 | June2023 | 0 | 0 | 0 | 0 |
| 14 | July 2023 | 0 | 0 | 0 | 0 |
| 15 | August 2023 | 0 | 0 | 0 | 0 |
| 16 | September 2023 | 0 | 0 | 0 | 0 |
| 17 | October 2023 | 0 | 0 | 0 | 0 |
| 18 | November 2023 | 0 | 0 | 0 | 0 |
| 19 | December 2023 | 0 | 0 | 0 | 0 |
| 20 | January 2024 | 0 | 0 | 0 | 0 |
| 21 | February 2024 | 0 | 0 | 0 | 0 |
| 22 | March 2024 | 0 | 0 | 0 | 0 |
| 23 | April 2024 | 0 | 0 | 0 | 0 |
| 24 | May 2024 | 0 | 0 | 0 | 0 |
| 25 | June 2024 | 0 | 0 | 0 | 0 |
| 26 | July 2024 | 0 | 0 | 0 | 0 |
| 27 | August 2024 | 0 | 0 | 0 | 0 |
|  | **GrandTotal** | 0 | 0 | 0 | 0 |

\*Shouldincludecomplaintsofpreviousmonthsresolvedinthecurrentmonth,ifany.

\*\*Shouldincludetotalcomplaintspendingasonthelastdayofthemonth,ifany.

^Average resolution time is the sum total of time taken to resolve each complaintin the current month divided by total number of complaints resolved in the currentmonth.

# 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 | 1 | 1 | 0 |
| 2 | 2018-19 | 0 | 1 | 1 | 0 |
| 3 | 2019-20 | 0 | 15 | 15 | 0 |
| 4 | 2020-21 | 0 | 6 | 6 | 0 |
| 5 | 2021-22 | 0 | 0 | 0 | 0 |
| 6 | 2022-23 | 0 | 0 | 0 | 0 |
| 7 | 2023-24 | 0 | 0 | 0 | 0 |
| 8 | 2024-25 | 0 | 0 | 0 | 0 |
|  | **GrandTotal** | 0 | 25 | 25 | 0 |