

### Investor Complaints Data for STOCK BROKER

Data for month ending July 2024

| SN | Received from           | Carried forward from previous month | Received during the month | Total Pending | Resolved* | Pending at the end of the month** |                                | Average Resolution time^ (in days) |
|----|-------------------------|-------------------------------------|---------------------------|---------------|-----------|-----------------------------------|--------------------------------|------------------------------------|
|    |                         |                                     |                           |               |           | Pending for less than 3 months    | Pending for more than 3 months |                                    |
| 1  | Directly from Investors | NIL                                 | NIL                       | NIL           | NIL       | NIL                               | NIL                            | NIL                                |
| 2  | SEBI (SCORES)           | NIL                                 | NIL                       | NIL           | NIL       | NIL                               | NIL                            | NIL                                |
| 3  | Stock Exchanges         | NIL                                 | NIL                       | NIL           | NIL       | NIL                               | NIL                            | NIL                                |
| 4  | Other Sources (if any)  | NIL                                 | NIL                       | NIL           | NIL       | NIL                               | NIL                            | NIL                                |
| 5  | Grand Total             | NIL                                 | NIL                       | NIL           | NIL       | NIL                               | NIL                            | NIL                                |

Trend of monthly disposal of complaints

| SN | Month          | Carried forward from previous month | Received | Resolved* | Pending** |
|----|----------------|-------------------------------------|----------|-----------|-----------|
| 01 | April 2022     | NIL                                 | NIL      | NIL       | NIL       |
| 02 | May 2022       | NIL                                 | NIL      | NIL       | NIL       |
| 03 | June 2022      | NIL                                 | NIL      | NIL       | NIL       |
| 04 | July 2022      | NIL                                 | NIL      | NIL       | NIL       |
| 05 | August 2022    | NIL                                 | NIL      | NIL       | NIL       |
| 06 | September 2022 | NIL                                 | NIL      | NIL       | NIL       |
| 07 | October 2022   | NIL                                 | NIL      | NIL       | NIL       |
| 08 | November 2022  | NIL                                 | NIL      | NIL       | NIL       |
| 09 | December 2022  | NIL                                 | NIL      | NIL       | NIL       |
| 10 | January 2023   | NIL                                 | NIL      | NIL       | NIL       |
| 11 | February 2023  | NIL                                 | NIL      | NIL       | NIL       |
| 12 | March 2023     | NIL                                 | NIL      | NIL       | NIL       |
| 13 | April 2023     | NIL                                 | NIL      | NIL       | NIL       |
| 14 | May 2023       | NIL                                 | NIL      | NIL       | NIL       |
| 15 | June 2023      | NIL                                 | NIL      | NIL       | NIL       |
| 16 | July 2023      | NIL                                 | NIL      | NIL       | NIL       |
| 17 | August 2023    | NIL                                 | NIL      | NIL       | NIL       |



|   |                         |     |     |     |     | Pending for less than 3 months | Pending for more than 3 months |     |
|---|-------------------------|-----|-----|-----|-----|--------------------------------|--------------------------------|-----|
| 1 | Directly from Investors | NIL | NIL | NIL | NIL | NIL                            | NIL                            | NIL |
| 2 | SEBI (SCORES)           | NIL | NIL | NIL | NIL | NIL                            | NIL                            | NIL |
| 3 | Stock Exchanges         | NIL | NIL | NIL | NIL | NIL                            | NIL                            | NIL |
| 4 | Other Sources (if any)  | NIL | NIL | NIL | NIL | NIL                            | NIL                            | NIL |
| 5 | Grand Total             | NIL | NIL | NIL | NIL | NIL                            | NIL                            | NIL |

**Trend of monthly disposal of complaints**

| SN | Month          | Carried forward from previous month | Received | Resolved* | Pending** |
|----|----------------|-------------------------------------|----------|-----------|-----------|
| 1  | April -2021    | NIL                                 | NIL      | NIL       | NIL       |
| 2  | May-2021       | NIL                                 | NIL      | NIL       | NIL       |
| 3  | June-2021      | NIL                                 | NIL      | NIL       | NIL       |
| 4  | July-2021      | NIL                                 | NIL      | NIL       | NIL       |
| 5  | August 2021    | NIL                                 | NIL      | NIL       | NIL       |
| 6  | September 2021 | NIL                                 | NIL      | NIL       | NIL       |
| 7  | October-2021   | NIL                                 | NIL      | NIL       | NIL       |
| 8  | November 2021  | NIL                                 | NIL      | NIL       | NIL       |
| 9  | December 2021  | NIL                                 | NIL      | NIL       | NIL       |
| 10 | January 2022   | NIL                                 | NIL      | NIL       | NIL       |
| 11 | February 2022  | NIL                                 | NIL      | NIL       | NIL       |
| 12 | March 2022     | NIL                                 | NIL      | NIL       | NIL       |
| 13 | April 2022     | NIL                                 | NIL      | NIL       | NIL       |
| 14 | May 2022       | NIL                                 | NIL      | NIL       | NIL       |
| 15 | June 2022      | NIL                                 | NIL      | NIL       | NIL       |
| 16 | July 2022      | NIL                                 | NIL      | NIL       | NIL       |
| 17 | August 2022    | NIL                                 | NIL      | NIL       | NIL       |
| 18 | September 2022 | NIL                                 | NIL      | NIL       | NIL       |
| 19 | October 2022   | NIL                                 | NIL      | NIL       | NIL       |
| 20 | November 2022  | NIL                                 | NIL      | NIL       | NIL       |
| 21 | December 2022  | NIL                                 | NIL      | NIL       | NIL       |
| 22 | January 2023   | NIL                                 | NIL      | NIL       | NIL       |
| 23 | February 2023  | NIL                                 | NIL      | NIL       | NIL       |
| 24 | March 2023     | NIL                                 | NIL      | NIL       | NIL       |
| 25 | April 2023     | NIL                                 | NIL      | NIL       | NIL       |



|   |                         |     |     |     |     | than 3 months | than 3 months |     |
|---|-------------------------|-----|-----|-----|-----|---------------|---------------|-----|
| 1 | Directly from Investors | NIL | NIL | NIL | NIL | NIL           | NIL           | NIL |
| 2 | SEBI (SCORES)           | NIL | NIL | NIL | NIL | NIL           | NIL           | NIL |
| 3 | Stock Exchanges         | NIL | NIL | NIL | NIL | NIL           | NIL           | NIL |
| 4 | Other Sources (if any)  | NIL | NIL | NIL | NIL | NIL           | NIL           | NIL |
| 5 | Grand Total             | NIL | NIL | NIL | NIL | NIL           | NIL           | NIL |

**Trend of monthly disposal of complaints**

| SN | Month          | Carried forward from previous month | Received | Resolved* | Pending** |
|----|----------------|-------------------------------------|----------|-----------|-----------|
| 1  | July 2023      | NIL                                 | NIL      | NIL       | NIL       |
| 2  | August 2023    | NIL                                 | NIL      | NIL       | NIL       |
| 3  | September 2023 | NIL                                 | NIL      | NIL       | NIL       |
| 4  | October 2023   | NIL                                 | NIL      | NIL       | NIL       |
| 5  | November 2023  | NIL                                 | NIL      | NIL       | NIL       |
| 6  | December 2023  | NIL                                 | NIL      | NIL       | NIL       |
| 7  | January 2024   | NIL                                 | NIL      | NIL       | NIL       |
| 8  | February 2024  | NIL                                 | NIL      | NIL       | NIL       |
| 9  | April 2024     | NIL                                 | NIL      | NIL       | NIL       |
| 10 | May 2024       | NIL                                 | NIL      | NIL       | NIL       |
| 11 | June 2024      | NIL                                 | NIL      | NIL       | NIL       |
| 12 | July 2024      | NIL                                 | NIL      | NIL       | NIL       |
|    | Grand Total    | NIL                                 | NIL      | NIL       | NIL       |

**Trend of annual disposal of complaints**

| SN | Year                     | Carried forward from previous Year | Received during the year | Resolved during the year | Pending during the Year |
|----|--------------------------|------------------------------------|--------------------------|--------------------------|-------------------------|
| 1  | 2017-18                  | NIL                                | NIL                      | NIL                      | NIL                     |
| 2  | 2018-19                  | NIL                                | NIL                      | NIL                      | NIL                     |
| 3  | 2019-20                  | NIL                                | NIL                      | NIL                      | NIL                     |
| 4  | 2020-21                  | NIL                                | NIL                      | NIL                      | NIL                     |
| 5  | 2021-22                  | NIL                                | NIL                      | NIL                      | NIL                     |
| 6  | 2022-23                  | NIL                                | NIL                      | NIL                      | NIL                     |
| 7  | 2023-24                  | NIL                                | NIL                      | NIL                      | NIL                     |
| 8  | 2024-25 (Till July 2024) | NIL                                | NIL                      | NIL                      | NIL                     |
|    | Grand Total              | NIL                                | NIL                      | NIL                      | NIL                     |