

## <u> Annexure – B</u>

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

Data for every month ending - March 2025

| S<br>N | Received<br>from              | Carried<br>forward<br>from<br>previous<br>month | Received<br>during<br>the<br>month | Total<br>Pending | Resolved<br>* | Pending<br>of the mo<br>Pending<br>for less<br>than3<br>months | Pending<br>for more<br>than 3<br>months | Average<br>Resolution<br>time <sup>^</sup> (in<br>days) |
|--------|-------------------------------|---|------------------------------------|------------------|---------------|--|---|---|
| 1      | 2                             | 3   | 4                                  | 5                | 6             |  | 7                                       | 8   |
| 1      | Directly<br>from<br>Investors | 0   | 0                                  | 0                | 0             | 0  |   | 0   |
| 2      | SEBI<br>(SCORE<br>S 2.0)      | 0   | 0                                  | 0                | 0             | 0  |   | 0   |
| 3      | Stock<br>Exchang<br>es        | 0   | 0                                  | 0                | 0             | 0  |   | 0   |
| 4      | Other<br>Sources<br>(if any)  | 0   | 0                                  | 0                | 0             | 0  |   | 0   |
| 5      | Grand<br>Total                | 0   | 0                                  | 0                | 0             | 0  |   | 0   |



## Trend of monthly disposal of complaints

| SN | Month       | Carried forward<br>from previous<br>month | Received | Resolved* | Pending** |
|----|-------------|---|----------|-----------|-----------|
| 1  | 2           | 3   | 4        | 5         | 6         |
| 1  | April-2024  | NIL                                       | NIL      | NIL       | NIL       |
| 2  | May-2024    | NIL                                       | 01       | 01        | NIL       |
| 3  | June-2024   | NIL                                       | 01       | 01        | NIL       |
| 4  | July-2024   | NIL                                       | NIL      | NIL       | NIL       |
| 5  | Aug-2024    | NIL                                       | NIL      | NIL       | NIL       |
| 6  | Sept-2024   | NIL                                       | NIL      | NIL       | NIL       |
| 7  | Oct-2024    | NIL                                       | NIL      | NIL       | NIL       |
| 8  | Nov-2024    | NIL                                       | NIL      | NIL       | NIL       |
| 9  | Dec-2024    | NIL                                       | NIL      | NIL       | NIL       |
| 10 | Jan-2025    | NIL                                       | NIL      | NIL       | NIL       |
| 11 | Feb-2025    | NIL                                       | NIL      | NIL       | NIL       |
| 12 | Mar-2025    | NIL                                       | NIL      | NIL       | NIL       |
|    | Grand Total | NIL                                       | 02       | 02        | NIL       |

\*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<br>forward from<br>previous year | Received<br>during the<br>year | Received<br>during the<br>year | Pending at the<br>end of the<br>year |
|----|-------------|--|--------------------------------|--------------------------------|--------------------------------------|
| 1  | 2021-22     | NIL                                      | NIL                            | NIL                            | NIL                                  |
| 2  | 2022-23     | NIL                                      | 04                             | 04                             | NIL                                  |
| 3  | 2023-24     | NIL                                      | 02                             | 02                             | NIL                                  |
| 4  | 2024-25     | NIL                                      | 02                             | 02                             | NIL                                  |
| 5  | 2025-26     |  |                                |                                |                                      |
|    | Grand Total | NIL                                      | 08                             | 08                             | NIL                                  |