

Stock Broking – Private Banking Investor Complaints (Annexure-B)

Data for Month Ending: 31 October 2022

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	2	3	4	5	6	7		8
1	Directly from Investors	1	0	0	1	0	0	32
2	SEBI (SCORES)	0	0	0	0	0	0	0
3	Stock Exchange	0	0	0	0	0	0	0
4	Other Sources (if any)	0	0	0	0	0	0	0
5	Total	1	0	0	1	0	0	32

Trend of Monthly Disposal of Complaints

SN	Month	Carried forward from Previous Month	Received	Resolved *	Pending **
1	2	3	4	5	6
1	April 2022	0	0	0	0
2	May 2022	0	1	1	0
3	June 2022	0	0	0	0
4	July 2022	0	0	0	0
5	Aug 2022	0	0	0	0
6	Sep 2022	0	1	0	1
7	Oct 2022	1	0	1	0
8	Nov 2022	NA	NA	NA	NA
9	Dec 2022	NA	NA	NA	NA
10	Jan 2023	NA	NA	NA	NA
11	Feb 2023	NA	NA	NA	NA
12	Mar 2023	NA	NA	NA	NA
	Grand Total	1	2	2	1

*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 Yearly Disposal of Complaints

SN	Year	Carried forward from Previous Year	Received during the Year	Resolved during the Year	Pending at the end of Year
1	2	3	4	5	6
1	2018-19	0	0	0	0
2	2019-20	0	0	0	0
3	2020-21	0	0	0	0
4	2021-22	0	2	2	0
5	2022-23	0			
	Grand Total	0	2	2	0