

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

**Data for Month Ending: 30 September 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	0	1	1	0	1	0	0
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	<b>Total</b>	<b>0</b>	<b>1</b>	<b>1</b>	<b>0</b>	<b>1</b>	<b>0</b>	<b>0</b>

### **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	NA	NA	NA	NA
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
	<b>Grand Total</b>	<b>0</b>	<b>2</b>	<b>1</b>	<b>1</b>

\*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**

<b>SN</b>	<b>Year</b>	<b>Carried forward from Previous Year</b>	<b>Received during the Year</b>	<b>Resolved during the Year</b>	<b>Pending at the end of Year</b>
<b>1</b>	<b>2</b>	<b>3</b>	<b>4</b>	<b>5</b>	<b>6</b>
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			
	<b>Grand Total</b>	<b>0</b>	<b>2</b>	<b>2</b>	<b>0</b>