

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

Data for Month Ending: March 2023

| 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 | 0 | 0 | 0 | 0 | 0 | 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 | Total | 0 | 0 | 0 | 0 | 0 | 0 | 0 |

Trend of Monthly Disposal of Complaints

| SN | Month | Carried forward from Previous Month | Received | Resolved * | Pending ** |
|----|--------------------|-------------------------------------|----------|------------|------------|
| 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 | 0 | 0 | 0 | 0 |
| 9 | Dec 2022 | 0 | 0 | 0 | 0 |
| 10 | Jan 2023 | 0 | 0 | 0 | 0 |
| 11 | Feb 2023 | 0 | 0 | 0 | 0 |
| 12 | Mar 2023 | 0 | 0 | 0 | 0 |
| | 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 | 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 | 0 | 0 | 0 |
| | Grand Total | 0 | 2 | 2 | 0 |