

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

Data for Month Ending: September 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 |

^Average resolution time is the sum of time taken to resolve each complaint in the current month divided by total number of complaints resolved in the current month.

Trend of Monthly Disposal of Complaints

| SN | Month | Carried forward from Previous Month | Received | Resolved * | Pending ** |
|----|--------------------|-------------------------------------|----------|------------|------------|
| 1 | April 2023 | 0 | 0 | 0 | 0 |
| 2 | May 2023 | 0 | 0 | 0 | 0 |
| 3 | June 2023 | 0 | 0 | 0 | 0 |
| 4 | July 2023 | 0 | 0 | 0 | 0 |
| 5 | Aug 2023 | 0 | 0 | 0 | 0 |
| 6 | Sep 2023 | 0 | 0 | 0 | 0 |
| 7 | Oct 2023 | | | | |
| 8 | Nov 2023 | | | | |
| 9 | Dec 2023 | | | | |
| 10 | Jan 2024 | | | | |
| 11 | Feb 2024 | | | | |
| 12 | Mar 2024 | | | | |
| | Grand Total | 0 | 0 | 0 | 0 |

*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.

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 | 2021-22 | 0 | 2 | 2 | 0 |
| 2 | 2022-23 | 0 | 0 | 0 | 0 |
| 3 | 2023-24 | | | | |
| | Grand Total | 0 | 2 | 2 | 0 |