

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

Data for Month Ending: April 2024

| 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 2024 | 0 | 0 | 0 | 0 |
| 2 | May 2024 | | | | |
| 3 | June 2024 | | | | |
| 4 | July 2024 | | | | |
| 5 | Aug 2024 | | | | |
| 6 | Sep 2024 | | | | |
| 7 | Oct 2024 | | | | |
| 8 | Nov 2024 | | | | |
| 9 | Dec 2024 | | | | |
| 10 | Jan 2025 | | | | |
| 11 | Feb 2025 | | | | |
| 12 | Mar 2025 | | | | |
| | 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 | 0 | 0 | 0 | 0 |
| 4 | 2024-25 | 0 | | | |
| | Grand Total | 0 | 2 | 2 | 0 |