

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

Data for Month Ending: October 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	0	0	0	0
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