

Complaints received by Stock Brokers for the month of Nov-2024 For Investment Advisory

1. Data for every month ending:

Total IA Complaints								
Sr. No.	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 Month's	Pending for more than 3 Month's	
1	2	3	4	5	6	7		8
1	Directly from Investors	1	0	1	1	1	0	NA
2	SEBI (Scores)	0	0	0	0		0	NA
3	Stock Exchanges	0	0	0	0	0	0	NA
4	Other Sources (If Any)	0	0	0	0	0	0	NA
5	Grand Total	1	0	1	1	1	NIL	NIL

- 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.

2. Trend of monthly disposal of complaints:

FY23-24(Total IA Complaints)					
Sr.No.	Month	Carried forward from the previous Month	Received	Resolved	Pending
1	Aug-23	0	0	0	0
2	Sep-23	0	0	0	0
3	Oct-23	0	0	0	0
4	Nov-23	0	0	0	0
5	Dec-23	0	0	0	0
6	Jan-24	0	0	0	0
7	Feb-24	0	0	0	0
8	Mar-24	0	0	0	0
9	Apr-24	0	0	0	0

10	May-24	0	0	0	0
11	Jun-24	0	0	0	0
12	Jul-24	0	0	0	0
13	Aug-24	0	0	0	0
14	Sep-24	0	1	1	0
15	Oct-24	0	1	0	1
16	Nov-24	0	0	0	0
GrandTotal		NIL	2	1	1

3. Trendofannualdisposalofcomplaints:

TotalIAComplaints					
Sr.No.	Year	CarriedForwardfrom previous Month	Receivedduring the year	Resolvedduring the year	Pendingatthe end of year
1	FY17-18	0	0	0	0
2	FY18-19	0	0	0	0
3	FY19-20	0	0	0	0
4	FY20-21	0	0	0	0
5	FY21-22	0	0	0	0
6	FY22-23	0	0	0	0
7	FY23-24	0	0	0	0
8	FY24-25	0	2	1	1
GrandTotal		NIL	2	1	1