

## Complaints received by Stock Brokers for the month of November 2023 For Portfolio Management Services

### 1. Data for every month ending

| Total PMS 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 months    | Pending for more than 3 months |                                    |
| 1                    | 2                       | 3                                   | 4                         | 5             | 6         | 7                                 |                                | 8                                  |
| 1                    | Directly from Investors | 0                                   | 0                         | 0             | 0         | 0                                 | 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                    | <b>Grand Total</b>      | <b>0</b>                            | <b>0</b>                  | <b>0</b>      | <b>0</b>  | <b>0</b>                          | <b>0</b>                       | <b>0</b>                           |

\*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 PMS Complaints) |        |   |          |          |          |
|--------------------------------|--------|---|----------|----------|----------|
| Sr.No.                         | Month  | Carried forward from the previous Month | Received | Resolved | Pending  |
| 1                              | Apr-23 | 0                                       | 0        | 0        | 0        |
| 2                              | May-23 | 0                                       | 0        | 0        | 0        |
| 3                              | Jun-23 | 0                                       | 0        | 0        | 0        |
| 4                              | Jul-23 | 0                                       | 0        | 0        | 0        |
| 5                              | Aug-23 | 0                                       | 0        | 0        | 0        |
| 6                              | Sep-23 | 0                                       | 0        | 0        | 0        |
| 7                              | Oct-23 | 0                                       | 0        | 0        | 0        |
| 8                              | Nov-23 | 0                                       | 0        | 0        | 0        |
| 9                              | Dec-23 | 0                                       | 0        | 0        | 0        |
| 10                             | Jan-24 | -                                       | -        | -        | -        |
| 11                             | Feb-24 | -                                       | -        | -        | -        |
| 12                             | Mar-24 | -                                       | -        | -        | -        |
| <b>Grand Total</b>             |        | <b>0</b>                                | <b>0</b> | <b>0</b> | <b>0</b> |

### 3. Trend of annual disposal of complaints

| Total PMS Complaints |         |                                     |                          |                          |                            |
|----------------------|---------|-------------------------------------|--------------------------|--------------------------|----------------------------|
| Sr.No.               | Year    | Carried Forward from previous Month | Received during the year | Resolved during the year | Pending at the 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                          |
| <b>Grand Total</b>   |         | <b>0</b>                            | <b>0</b>                 | <b>0</b>                 | <b>0</b>                   |