

## Complaints received by Stock Brokers for the month of November 2023 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 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

FY 23-24 (Total IA 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	-	-	-	-
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 IA 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>