

Complaints received by Stock Brokers for the month of March-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 | 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 | Grand Total | 0 | 0 | 0 | 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.
- 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 | 0 | 0 | 0 | 0 |
| 10 | Jan-24 | 0 | 0 | 0 | 0 |
| 11 | Feb-24 | 0 | 0 | 0 | 0 |
| 12 | Mar-24 | 0 | 0 | 0 | 0 |
| Grand Total | | 0 | 0 | 0 | 0 |

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 |
| Grand Total | | 0 | 0 | 0 | 0 |