

**Complaints received by Stock Brokers for the month of Sep-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                                   | 1                         | 0             | 1         | 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>NIL</b>                          | <b>1</b>                  | <b>NIL</b>    | <b>1</b>  | <b>NIL</b>                        | <b>NIL</b>                      | <b>NIL</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 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          |
| <b>GrandTotal</b> |        | <b>NIL</b> | <b>1</b> | <b>1</b> | <b>NIL</b> |

3. Trendofannualdisposalofcomplaints:

| TotalIAComplaints |         |                                      |                            |                            |                             |
|-------------------|---------|--------------------------------------|----------------------------|----------------------------|-----------------------------|
| Sr.No.            | Year    | CarriedForwardfrom<br>previous Month | Receivedduring<br>the year | Resolvedduring<br>the year | Pendingatthe<br>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                                    | 1                          | 1                          | 0                           |
| <b>GrandTotal</b> |         | <b>NIL</b>                           | <b>1</b>                   | <b>1</b>                   | <b>NIL</b>                  |