

Annexure-B

Format for Investor Complaints Data to be displayed by Stock Brokers on their respective websites

Data for every month ending April 2022

| S N | Receive d from | Carried forwar d from previou s month | Receive d during the month | Total Pendin g | Resolve d* | Pending at the end of the month** | | Average Resoluti on time ^(in days) |
|--------|-------------------------------|--|--|----------------------|---------------|--|--|---|
| | | | | | | Pendin g for less than3 month s | Pendin g for more than3 month s | |
| 1 | 2 | 3 | 4 | 5 | 6 | 7 | | 8 |
| 1 | Directly from Investors | 0 | 0 | 0 | NA | 0 | | NA |
| 2 | SEBI (SCORE S) | 0 | 0 | 0 | NA | 0 | | NA |
| 3 | Stock Exchang es | 0 | 1 | 0 | 1 | 0 | | NA |
| 4 | Other Sources (ifany) | 0 | 0 | 0 | NA | 0 | | NA |
| 5 | Grand Total | 0 | 1 | 0 | 1 | 0 | | NA |

Trend of monthly disposal of complaints

| SN | Month | Carried forward from previous month | Received | Resolved* | Pending** |
|----|-------|--|----------|-----------|-----------|
| 1 | 2 | 3 | 4 | 5 | 6 |

| | | | | | |
|----|--------------------|---|---|----|---|
| 1 | April-2021 | 0 | 0 | NA | 0 |
| 2 | May-2021 | 0 | 0 | NA | 0 |
| 3 | June-2021 | 0 | 0 | NA | 0 |
| 4 | July-2021 | 0 | 0 | NA | 0 |
| 5 | Aug 2021 | 0 | 0 | NA | 0 |
| 6 | Sept 2021 | 0 | 0 | NA | 0 |
| 7 | Oct- 2021 | 0 | 0 | NA | 0 |
| 8 | Nov 2021 | 0 | 0 | NA | 0 |
| 9 | Dec 2021 | 0 | 0 | NA | 0 |
| 10 | Jan -2022 | 0 | 0 | NA | 0 |
| 11 | Feb-2022 | 0 | 0 | NA | 0 |
| 12 | Mar -2022 | 0 | 0 | NA | 0 |
| | Grand Total | 0 | 0 | NA | 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.

Trend of annual disposal of complaints

| SN | Year | Carried forward from previous year | Received during the year | Resolved during the year | Pending at the end of the year |
|-----------|--------------------|---|---------------------------------|---------------------------------|---------------------------------------|
| 1 | 2017-18 | 0 | 2 | 2 | 0 |
| 2 | 2018-19 | 0 | 0 | 0 | 0 |
| 3 | 2019-20 | 0 | 2 | 2 | 0 |
| 4 | 2020-21 | 0 | 2 | 2 | 0 |
| 5 | 2021-22 | 0 | 0 | 0 | 0 |
| 6 | 2022-23 | 0 | 1 | 1 | 0 |
| | Grand Total | 0 | 7 | 7 | 0 |