

## Broking

Investor Complaint Data for Broking for December 2021								
SN	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	23	215	21	220	21	-	3
2	SEBI (SCORES)	0	0	0	0	0	-	
3	Stock Exchanges	2	2	1	1	1	-	5
4	Other Sources (if any)	1	2	0	2	0	-	3
	<b>Grand Total</b>	<b>26</b>	<b>219</b>	<b>22</b>	<b>223</b>	<b>22</b>	<b>0</b>	

Trend of Monthly Disposal of Complaints - Broking					
Sr No	Month	Carried forward from previous month	Received	Resolved*	Pending**
1	2	3	4	5	6
1	Apr-2021	40	224	246	18
2	May-2021	18	268	245	41
3	Jun-2021	41	421	431	31
4	Jul-2021	31	249	254	26
5	Aug-2021	26	585	568	43
6	Sep-2021	43	383	378	48
7	Oct-2021	48	243	241	50
8	Nov-2021	50	139	163	26
9	Dec-2021	26	219	223	22

Trend of annual disposal of complaints (Broking + Depository)					
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	109	3550	3517	142
2	2018-19	142	3014	3036	120
3	2019-20	120	3483	3517	86
4	2020-21	86	4636	4680	42
5	2021-22	42	2967	2985	24

## Depository

Investor Complaint Data for Depository for December 2021								
SN	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	5	9	1	13	1	-	3
2	SEBI (SCORES)	0	0	0	0		-	
3	Stock Exchanges	0	1	0	1	0	-	5
4	Other Sources (if any)	0	3	1	2	1	-	3
	<b>Grand Total</b>	<b>5</b>	<b>13</b>	<b>2</b>	<b>16</b>	<b>2</b>	<b>0</b>	

Trend of Monthly Disposal of Complaints - Depository					
Sr No	Month	Carried forward from previous month	Received	Resolved*	Pending**
1	2	3	4	5	6
1	Apr-2021	2	19	14	7
2	May-2021	7	25	31	1
3	Jun-2021	1	37	33	5
4	Jul-2021	5	40	39	6
5	Aug-2021	6	33	37	2
6	Sep-2021	2	25	19	8
7	Oct-2021	8	27	31	4
8	Nov-2021	4	17	16	5
9	Dec-2021	5	13	16	2

Trend of annual disposal of complaints (Broking + Depository)					
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	109	3550	3517	142
2	2018-19	142	3014	3036	120
3	2019-20	120	3483	3517	86
4	2020-21	86	4636	4680	42
5	2021-22	42	2967	2985	24

## Investment Advisory (BAS)

Investor Complaint Data for Investment Advisory (BAS) for December 2021								
SN	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	Nil	Nil	Nil	Nil	Nil	Nil	Nil
2	SEBI (SCORES)	Nil	Nil	Nil	Nil	Nil	Nil	Nil
3	Stock Exchanges	Nil	Nil	Nil	Nil	Nil	Nil	Nil
4	Other Sources (if any)	Nil	Nil	Nil	Nil	Nil	Nil	Nil
	<b>Grand Total</b>	Nil	Nil	Nil	Nil	Nil	Nil	Nil

Trend of Monthly Disposal of Complaints - Investment Advisory (BAS)					
Sr No	Month	Carried forward from previous month	Received	Resolved*	Pending**
1	2	3	4	5	6
1	Apr-2021	Nil	Nil	Nil	Nil
2	May-2021	Nil	Nil	Nil	Nil
3	Jun-2021	Nil	Nil	Nil	Nil
4	Jul-2021	Nil	Nil	Nil	Nil
5	Aug-2021	Nil	Nil	Nil	Nil
6	Sep-2021	Nil	Nil	Nil	Nil
7	Oct-2021	Nil	Nil	Nil	Nil
8	Nov-2021	Nil	Nil	Nil	Nil
9	Dec-2021	Nil	Nil	Nil	Nil

<b>Trend of Annual Disposal of Complaints - Investment Advisory (BAS)</b>					
<b>SN</b>	<b>Year</b>	<b>Carried forward from previous year</b>	<b>Received during the year</b>	<b>Resolved during the year</b>	<b>Pending at the end of the year</b>
1	2017-18	Nil	Nil	Nil	Nil
2	2018-19	Nil	Nil	Nil	Nil
3	2019-20	Nil	Nil	Nil	Nil
4	2020-21	Nil	Nil	Nil	Nil
5	2021-22	Nil	Nil	Nil	Nil

## Research

Investor Complaint Data for Research for December 2021								
SN	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	Nil	Nil	Nil	Nil	Nil	Nil	Nil
2	SEBI (SCORES)	Nil	Nil	Nil	Nil	Nil	Nil	Nil
3	Stock Exchanges	Nil	Nil	Nil	Nil	Nil	Nil	Nil
4	Other Sources (if any)	Nil	Nil	Nil	Nil	Nil	Nil	Nil
	<b>Grand Total</b>	Nil	Nil	Nil	Nil	Nil	Nil	Nil

Trend of Monthly Disposal of Complaints - Research					
Sr No	Month	Carried forward from previous month	Received	Resolved*	Pending**
1	2	3	4	5	6
1	Apr-2021	Nil	Nil	Nil	Nil
2	May-2021	Nil	Nil	Nil	Nil
3	Jun-2021	Nil	Nil	Nil	Nil
4	Jul-2021	Nil	Nil	Nil	Nil
5	Aug-2021	Nil	Nil	Nil	Nil
6	Sep-2021	Nil	Nil	Nil	Nil
7	Oct-2021	Nil	Nil	Nil	Nil
8	Nov-2021	Nil	Nil	Nil	Nil
9	Dec-2021	Nil	Nil	Nil	Nil

<b>Trend of Annual Disposal of Complaints - Research</b>					
<b>SN</b>	<b>Year</b>	<b>Carried forward from previous year</b>	<b>Received during the year</b>	<b>Resolved during the year</b>	<b>Pending at the end of the year</b>
1	2017-18	Nil	Nil	Nil	Nil
2	2018-19	Nil	Nil	Nil	Nil
3	2019-20	Nil	Nil	Nil	Nil
4	2020-21	Nil	Nil	Nil	Nil
5	2021-22	Nil	Nil	Nil	Nil