

Broking

Investor Complaint Data for Broking for August 2022								
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	24	86	23	87	24	-	4
2	SEBI (SCORES)	0	0	0	0	0	-	0
3	Stock Exchanges	2	6	0	8	2	-	3
4	Other Sources (if any)	0	0	0	0	0	-	0
	Grand Total	26	92	23	95	26	0	

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-2022	47	408	400	55
2	May-2022	55	139	172	22
3	Jun-2022	22	328	283	67
4	Jul-2022	67	158	199	26
5	Aug-2022	26	92	95	23

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	3625	3606	61
6	2022-23	61	1188	1226	61

Depository

Investor Complaint Data for Depository for August 2022								
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	0	1	0	1	0	-	3
2	SEBI (SCORES)	0	0	0	0	0	-	0
3	Stock Exchanges	0	0	0	0	0	-	0
4	Other Sources (if any)	0	6	0	6	0	-	3
	Grand Total	0	7	0	7	0	0	

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-2022	14	28	39	3
2	May-2022	3	13	13	3
3	Jun-2022	3	9	12	0
4	Jul-2022	0	6	6	0
5	Aug-2022	0	7	7	0

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	3625	3606	61
6	2022-23	61	1188	1226	23

Investment Advisory (BAS)

Investor Complaint Data for Investment Advisory (BAS) for August 2022								
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
	Grand Total	0	0	0	0	0	0	0

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-2022	Nil	Nil	Nil	Nil
2	May-2022	Nil	Nil	Nil	Nil
3	Jun-2022	Nil	Nil	Nil	Nil
4	Jul-2022	Nil	Nil	Nil	Nil
5	Aug-2022	Nil	Nil	Nil	Nil

Trend of Annual Disposal of Complaints - Investment Advisory (BAS)					
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	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	1	1	Nil
6	2022-23	Nil	Nil	Nil	Nil

Research

Investor Complaint Data for Research for August 2022								
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
	Grand Total	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-2022	Nil	Nil	Nil	Nil
2	May-2022	Nil	Nil	Nil	Nil
3	Jun-2022	Nil	Nil	Nil	Nil
4	Jul-2022	Nil	Nil	Nil	Nil
5	Aug-2022	Nil	Nil	Nil	Nil

Trend of Annual Disposal of Complaints - Research					
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	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
5	2022-23	Nil	Nil	Nil	Nil