

## Broking

| Investor Complaint Data for Broking for July 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 | 66                                  | 152                       | 24            | 194        | 24                                | -                              | 4                                 |
| 2   | SEBI (SCORES)           | 0                                   | 0                         | 0             | 0          | 0                                 | -                              | 0                                 |
| 3   | Stock Exchanges         | 0                                   | 5                         | 2             | 3          | 2                                 | -                              | 4                                 |
| 4   | Other Sources (if any)  | 1                                   | 1                         | 0             | 2          | 0                                 | -                              | 3                                 |
|   | <b>Grand Total</b>      | <b>67</b>                           | <b>158</b>                | <b>26</b>     | <b>199</b> | <b>26</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-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        |

| 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                                 | 1089                     | 1124                     | 26                             |

## Depository

| Investor Complaint Data for Depository for July 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                                 | -                              | 2                                 |
| 2  | SEBI (SCORES)           | 0                                   | 0                         | 0             | 0         | 0                                 | -                              | 0                                 |
| 3  | Stock Exchanges         | 0                                   | 0                         | 0             | 0         | 0                                 | -                              | 0                                 |
| 4  | Other Sources (if any)  | 0                                   | 5                         | 0             | 5         | 0                                 | -                              | 3                                 |
|  | <b>Grand Total</b>      | <b>0</b>                            | <b>6</b>                  | <b>0</b>      | <b>6</b>  | <b>0</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-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         |

| 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                                 | 1089                     | 1124                     | 26                             |

## Investment Advisory (BAS)

| Investor Complaint Data for Investment Advisory (BAS) for July 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                               |
|   | <b>Grand Total</b>      | 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       |

| <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                                       | 1                               | 1                               | Nil                                   |
| 6   | 2022-23     | Nil                                       | Nil                             | Nil                             | Nil                                   |

## Research

| Investor Complaint Data for Research for July 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                               |
|  | <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-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       |

| 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                            |