

Broking

| Investor Complaint Data for Broking for March, 2024 | | | | | | | | |
|---|-------------------------|-------------------------------------|---------------------------|---------------|------------|-----------------------------------|--------------------------------|-----------------------------------|
| 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 | 5 | 1 | 4 | 1 | 0 | 3 |
| 2 | SEBI (SCORES) | 0 | 0 | 0 | 0 | 0 | 0 | 0 |
| 3 | Stock Exchanges | 2 | 6 | 2 | 6 | 2 | 0 | 2 |
| 4 | Other Sources, ODR | 1 | 7 | 0 | 8 | 0 | 0 | 2 |
| | Grand Total | 3 | 18 | 3 | 18 | 3 | 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-2023 | 2 | 18 | 15 | 5 |
| 2 | May-2023 | 5 | 10 | 11 | 4 |
| 3 | Jun-2023 | 4 | 13 | 15 | 2 |
| 4 | Jul-2023 | 2 | 14 | 16 | 0 |
| 5 | Aug-2023 | 0 | 18 | 18 | 0 |
| 6 | Sep-2023 | 0 | 20 | 17 | 3 |
| 7 | Oct-2023 | 3 | 14 | 11 | 6 |
| 8 | Nov-2023 | 6 | 12 | 18 | 0 |
| 9 | Dec-2023 | 0 | 10 | 10 | 0 |
| 10 | Jan-2024 | 0 | 24 | 21 | 3 |
| 11 | Feb-2024 | 3 | 28 | 28 | 3 |
| 12 | Mar-2024 | 3 | 18 | 18 | 3 |

| Trend of annual disposal of complaints (Broking) | | | | | |
|---|-------------|---|---------------------------------|---------------------------------|---------------------------------------|
| SN | Year | Carried forward from previous year | Received during the year | Resolved during the year | Pending at the end of the year |
| 1 | 2023-24 | 2 | 199 | 198 | 3 |
| 2 | 2022-23 | 60 | 2239 | 2297 | 2 |
| 3 | 2021-22 | 36 | 3625 | 3601 | 60 |
| 4 | 2020-21 | 86 | 4636 | 4680 | 42 |
| 5 | 2019-20 | 120 | 3483 | 3517 | 86 |
| 6 | 2018-19 | 142 | 3014 | 3036 | 120 |

Depository

| Investor Complaint Data for Depository for March, 2024 | | | | | | | | |
|--|-------------------------|-------------------------------------|---------------------------|---------------|-----------|-----------------------------------|--------------------------------|-----------------------------------|
| 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 | 1 | 1 | 0 | 2 | 0 | - | 3 |
| 2 | SEBI (SCORES) | 0 | 0 | 0 | 0 | 0 | - | 0 |
| 3 | Stock Exchanges | 0 | 3 | 0 | 3 | 0 | - | 2 |
| 4 | Other Sources, ODR | 2 | 4 | 0 | 6 | 0 | - | 2 |
| | Grand Total | 3 | 8 | 0 | 11 | 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-2023 | 0 | 6 | 6 | 0 |
| 2 | May-2023 | 0 | 7 | 7 | 0 |
| 3 | Jun-2023 | 0 | 13 | 12 | 1 |
| 4 | Jul-2023 | 1 | 15 | 16 | 0 |
| 5 | Aug-2023 | 0 | 11 | 11 | 0 |
| 6 | Sep-2023 | 0 | 24 | 22 | 2 |
| 7 | Oct-2023 | 2 | 21 | 22 | 1 |
| 8 | Nov-2023 | 1 | 5 | 6 | 0 |
| 9 | Dec-2023 | 0 | 11 | 11 | 0 |
| 10 | Jan-2024 | 0 | 5 | 3 | 2 |
| 11 | Feb-2024 | 2 | 15 | 14 | 3 |
| 12 | Mar-2024 | 3 | 8 | 11 | 0 |

| Trend of annual disposal of complaints (Depository) | | | | | |
|--|-------------|---|---------------------------------|---------------------------------|---------------------------------------|
| SN | Year | Carried forward from previous year | Received during the year | Resolved during the year | Pending at the end of the year |
| 1 | 2023-24 | 0 | 141 | 141 | 0 |
| 2 | 2022-23 | 1 | 145 | 146 | 0 |
| 3 | 2021-22 | 6 | 288 | 293 | 1 |
| 4 | 2020-21 | 86 | 4636 | 4680 | 42 |
| 5 | 2019-20 | 120 | 3483 | 3517 | 86 |
| 6 | 2018-19 | 142 | 3014 | 3036 | 120 |

Investment Advisory (BAS)

| Investor Complaint Data for Investment Advisory (BAS) for March, 2024 | | | | | | | | |
|---|-------------------------|-------------------------------------|---------------------------|---------------|-----------|-----------------------------------|--------------------------------|-----------------------------------|
| 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 | Mar-2024 | 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 | 2018-19 | Nil | Nil | Nil | Nil |
| 2 | 2019-20 | Nil | Nil | Nil | Nil |
| 3 | 2020-21 | Nil | Nil | Nil | Nil |
| 4 | 2021-22 | Nil | 1 | 1 | Nil |
| 5 | 2022-23 | Nil | 1 | 1 | Nil |
| 6 | 2023-24 | Nil | Nil | Nil | Nil |

Research

| Investor Complaint Data for Research for March, 2024 | | | | | | | | |
|--|-------------------------|-------------------------------------|---------------------------|---------------|-----------|-----------------------------------|--------------------------------|-----------------------------------|
| 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 | Mar-2024 | 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 | 2018-19 | Nil | Nil | Nil | Nil |
| 2 | 2019-20 | Nil | Nil | Nil | Nil |
| 3 | 2020-21 | Nil | Nil | Nil | Nil |
| 4 | 2021-22 | Nil | Nil | Nil | Nil |
| 5 | 2022-23 | Nil | Nil | Nil | Nil |
| 6 | 2023-24 | Nil | Nil | Nil | Nil |