

Broking

Investor Complaint Data for Broking for November, 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	4	8	3	9	3	0	3
2	SEBI (SCORES)	0	20	1	19	1	0	2
3	Stock Exchanges	0	0	0	0	0	0	0
4	Other Sources, ODR	0	4	1	3	0	0	2
	Grand Total	4	32	5	31	4	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-2024	3	15	17	1
2	May-2024	1	16	12	5
3	Jun-2024	5	10	14	1
4	Jul-2024	1	7	7	1
5	Aug-2024	1	13	13	1
6	Sep-2024	1	12	8	5
7	Oct-2024	5	12	13	4
8	Nov-2024	4	32	31	4

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	2024-25	3	119	117	4
2	2023-24	2	199	198	3
3	2022-23	60	2239	2297	2
4	2021-22	36	3625	3601	60
5	2020-21	86	4636	4680	42
6	2019-20	120	3483	3517	86
7	2018-19	142	3014	3036	120

Depository

Investor Complaint Data for Depository for November, 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	2	0	2	0	-	3
2	SEBI (SCORES)	0	8	1	7	1	-	2
3	Stock Exchanges	0	0	0	0	0	-	0
4	Other Sources, ODR	0	0	0	0	0	-	2
	Grand Total	0	10	1	9	1	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-2024	0	4	4	0
2	May-2024	0	14	13	0
3	Jun-2024	1	18	19	0
4	Jun-2024	0	7	7	0
5	Jul-2024	0	7	7	0
6	Aug-2024	0	24	23	1
7	Sep-2024	1	8	6	3
8	Oct-2024	3	8	11	0
9	Nov-2024	0	10	9	1

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	2024-25	0	100	99	1
2	2023-24	0	141	141	0
3	2022-23	1	145	146	0
4	2021-22	6	288	293	1
5	2020-21	86	4636	4680	42
6	2019-20	120	3483	3517	86
7	2018-19	142	3014	3036	120

Investment Advisory (BAS)

Investor Complaint Data for Investment Advisory (BAS) for November, 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	Apr-2024	Nil	Nil	Nil	Nil
2	May-2024	Nil	Nil	Nil	Nil
3	Jun-2024	Nil	Nil	Nil	Nil
4	Jul-2024	Nil	Nil	Nil	Nil
5	Aug-2024	Nil	Nil	Nil	Nil
6	Sep-2024	Nil	Nil	Nil	Nil
7	Oct-2024	Nil	Nil	Nil	Nil
8	Nov-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
7	2024-25	Nil	Nil	Nil	Nil

Research

Investor Complaint Data for Research for November, 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	Apr-2024	Nil	Nil	Nil	Nil
2	May-2024	Nil	Nil	Nil	Nil
3	Jun-2024	Nil	Nil	Nil	Nil
4	Jul-2024	Nil	Nil	Nil	Nil
5	Aug-2024	Nil	Nil	Nil	Nil
6	Sep-2024	Nil	Nil	Nil	Nil
7	Oct-2024	Nil	Nil	Nil	Nil
8	Nov-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
7	2024-25	Nil	Nil	Nil	Nil