

**Broking**

Investor Complaint Data for Broking for October 2023								
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	2	8	6	4	6	-	3
2	SEBI (SCORES)	0	0	0	0	0	-	0
3	Stock Exchanges	1	6	0	7	0	-	3
4	Other Sources (if any)	0	0	0	0	0	-	0
	<b>Grand Total</b>	<b>3</b>	<b>14</b>	<b>6</b>	<b>11</b>	<b>6</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-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
5	Sep-2023	0	20	17	3
6	Oct-2023	3	14	11	6

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	107	103	6
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 October 2023								
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	4	0	4	0	-	2
4	Other Sources (if any)	1	16	1	16	0	-	2
	<b>Grand Total</b>	<b>2</b>	<b>21</b>	<b>1</b>	<b>22</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-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

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	97	96	1
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 October, 2023**

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

<b>Trend of Monthly Disposal of Complaints - Investment Advisory (BAS)</b>					
<b>Sr No</b>	<b>Month</b>	<b>Carried forward from previous month</b>	<b>Received</b>	<b>Resolved*</b>	<b>Pending**</b>
<b>1</b>	<b>2</b>	<b>3</b>	<b>4</b>	<b>5</b>	<b>6</b>
1	Oct-2023	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	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 October 2023**

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

<b>Trend of Monthly Disposal of Complaints - Research</b>					
<b>Sr No</b>	<b>Month</b>	<b>Carried forward from previous month</b>	<b>Received</b>	<b>Resolved*</b>	<b>Pending**</b>
<b>1</b>	<b>2</b>	<b>3</b>	<b>4</b>	<b>5</b>	<b>6</b>
1	Oct-2023	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	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