

Annexure – B

**Format for Investor Complaints Data to be displayed by Stock Brokers on their respective websites
Data for every month ending May 2022**

| S N | 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 | 0 | 0 | 0 | 0 | 0 | | 0 |
| 2 | SEBI (SCORES) | 0 | 0 | 0 | 0 | 0 | | 0 |
| 3 | Stock Exchanges | 0 | 0 | 0 | 0 | 0 | | 0 |
| 4 | Other Sources(if any) | 0 | 0 | 0 | 0 | 0 | | 0 |
| 5 | Grand | 0 | 0 | 0 | 0 | 0 | | 0 |

Trend of monthly disposal of complaints

| SN | Month | Carried forward | Received | Resolved* | Pending** |
|----|--------------------|-----------------|----------|-----------|-----------|
| 1 | 2 | 3 | 4 | 5 | 6 |
| 1 | Apr-2021 | 0 | 0 | 0 | 0 |
| 2 | May-2021 | 0 | 0 | 0 | 0 |
| 3 | Jun-2021 | 0 | 0 | 0 | 0 |
| 4 | Jul-2021 | 0 | 0 | 0 | 0 |
| 5 | Aug-2021 | 0 | 0 | 0 | 0 |
| 6 | Sep-2021 | 0 | 0 | 0 | 0 |
| 7 | Oct-2021 | 0 | 0 | 0 | 0 |
| 8 | Nov-2021 | 0 | 0 | 0 | 0 |
| 9 | Dec-2021 | 0 | 1 | 0 | 1 |
| 10 | Jan-2022 | 1 | 0 | 1 | 0 |
| 11 | Feb-2022 | 0 | 0 | 0 | 0 |
| 12 | Mar-2022 | 0 | 0 | 0 | 0 |
| | Grand Total | 1 | 1 | 1 | 1 |

*Should include complaints of previous months resolved in the current month, if any.

**Should include total complaints pending as on the last day of the month, if any.

^Average resolution time is the sum total of time taken to resolve each complaint in the current month divided by total number of complaints resolved in the current month.

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Trend of annual disposal of complaints

| 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 | 0 | 0 | 0 | 0 |
| 2 | 2018-19 | 0 | 1 | 1 | 0 |
| 3 | 2019-20 | 0 | 1 | 1 | 0 |
| 4 | 2020-21 | 0 | 1 | 1 | 0 |
| 5 | 2021-22 | 0 | 1 | 1 | 0 |
| | Grand Total | 0 | 4 | 4 | 0 |