

## Annexure – B (Stock broker) Annexure – C (DP)

Format for Investor Complaints Data to be displayed by Stock Brokers on their respective websites

## Data for every month ending

S N	Receive d from	Carried forwar d from previou s month	Receive d during the month	Total Pendin g	Resolve d*	Pending at the end of the month**		Average Resolution time <sup>^</sup> (in days)
						Pending for less than 3 month s	Pending for more than 3 month s	
1	2	3	4	5	6	7		8
1	Directly from Investors	0	0	0	0	0		0
2	SEBI (SCORE S)	0	0	0	0	0		0
3	Stock Exchang es/Depo sitories	0	0	0	0	0		0
4	Other Sources (if any)	0	0	0	0	0		0
5	Grand Total	0	0	0	0	(	)	0

## **Trend of monthly disposal of complaints**

SN	Month	Carried forward	Received	Resolved*	Pending**
		from previous			
		month			
1	2	3	4	5	6
1	April -2022	0	0	0	0
2	May-2022	0	0	0	0
3	June-2022	0	0	0	0
4	July-2022	0	0	0	0
5	Aug-2022	0	0	0	0
6	Sept-2022				
7	Oct-2022				
8	Nov-2022				
9	Dec-2022				
10	Jan-2023				
11	Feb-2023				
12	March-2023				
	Grand Total	0	0	0	0

<sup>\*</sup>Should include complaints of previous months resolved in the current month, if any.

## Trend of annual disposal of complaints

SN	Year	Carried forward	Received	Resolved	Pending at
		from previous	during the year	during the	the end of
		year		year	the year
1	2017-18	0	0	0	0
2	2018-19	0	0	0	0
3	2019-20	0	0	0	0
4	2020-21	0	0	0	0
5	2021-22	0	0	0	0
6	2022-23 (up to Aug 22)	0	0	0	0
	Grand Total	0	0	0	0

<sup>\*\*</sup>Should include total complaints pending as on the last day of the month, if any.

<sup>^</sup>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.