

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	Receive	Carried	Receive	Total	Resolve	Pending a	Average	
N	d from	forwar d from previou s month	d during the month	Pendin g	d*	of the month**		Resolution time^ (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 from previous month	Received	Resolved*	Pending**
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	0	0	0	0
7	Oct-2022	0	0	0	0
8	Nov-2022	0	0	0	0
9	Dec-2022	0	0	0	0
10	Jan-2023	0	0	0	0
11	Feb-2023				
12	March-2023				
	Grand Total	0	0	0	0

*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.

Trend of annual disposal of complaints

SN	Year	Carried forward	Received	Resolved	Pending at
		from previous	during the year	during the	the end of
		ye ar		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	0	0	0	0
	Jan.23)				
	Grand Total	0	0	0	0