

## Broking

| Investor Complaint Data for Broking for September 2022 |                         |                                     |                           |               |            |                                   |                                |                                   |
|--|-------------------------|-------------------------------------|---------------------------|---------------|------------|-----------------------------------|--------------------------------|-----------------------------------|
| 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 | 23                                  | 268                       | 37            | 254        | 37                                | -                              | 4                                 |
| 2  | SEBI (SCORES)           | 0                                   | 0                         | 0             | 0          | 0                                 | -                              | 0                                 |
| 3  | Stock Exchanges         | 0                                   | 3                         | 0             | 3          | 0                                 | -                              | 3                                 |
| 4  | Other Sources (if any)  | 0                                   | 0                         | 0             | 0          | 0                                 | -                              | 0                                 |
|  | <b>Grand Total</b>      | <b>23</b>                           | <b>271</b>                | <b>37</b>     | <b>257</b> | <b>37</b>                         | <b>0</b>                       |                                   |

| <b>Trend of Monthly Disposal of Complaints - Broking</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  | Apr-2022     | 47   | 408             | 400              | 55               |
| 2  | May-2022     | 55   | 139             | 172              | 22               |
| 3  | Jun-2022     | 22   | 328             | 283              | 67               |
| 4  | Jul-2022     | 67   | 158             | 199              | 26               |
| 5  | Aug-2022     | 26   | 92              | 95               | 23               |
| 6  | Sep-2022     | 23   | 271             | 257              | 37               |

| <b>Trend of annual disposal of complaints (Broking + Depository)</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  | 2017-18     | 109                                       | 3550                            | 3517                            | 142                                   |
| 2  | 2018-19     | 142                                       | 3014                            | 3036                            | 120                                   |
| 3  | 2019-20     | 120                                       | 3483                            | 3517                            | 86                                    |
| 4  | 2020-21     | 86  | 4636                            | 4680                            | 42                                    |
| 5  | 2021-22     | 42  | 3625                            | 3606                            | 61                                    |
| 6  | 2022-23     | 61  | 1491                            | 1515                            | 37                                    |

## Depository

| Investor Complaint Data for Depository for September 2022 |                         |                                     |                           |               |           |                                   |                                |                                   |
|---|-------------------------|-------------------------------------|---------------------------|---------------|-----------|-----------------------------------|--------------------------------|-----------------------------------|
| 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                                   | 0                         | 0             | 0         | 0                                 | -                              | 0                                 |
| 3   | Stock Exchanges         | 0                                   | 0                         | 0             | 0         | 0                                 | -                              | 0                                 |
| 4   | Other Sources (if any)  | 0                                   | 30                        | 0             | 30        | 0                                 | -                              | 3                                 |
|   | <b>Grand Total</b>      | <b>0</b>                            | <b>32</b>                 | <b>0</b>      | <b>32</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-2022 | 14                                  | 28       | 39        | 3         |
| 2  | May-2022 | 3                                   | 13       | 13        | 3         |
| 3  | Jun-2022 | 3                                   | 9        | 12        | 0         |
| 4  | Jul-2022 | 0                                   | 6        | 6         | 0         |
| 5  | Aug-2022 | 0                                   | 7        | 7         | 0         |
| 6  | Sep-2022 | 0                                   | 32       | 32        | 0         |

| Trend of annual disposal of complaints (Broking + Depository) |         |                                    |                          |                          |                                |
|---|---------|------------------------------------|--------------------------|--------------------------|--------------------------------|
| 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 | 109                                | 3550                     | 3517                     | 142                            |
| 2   | 2018-19 | 142                                | 3014                     | 3036                     | 120                            |
| 3   | 2019-20 | 120                                | 3483                     | 3517                     | 86                             |
| 4   | 2020-21 | 86                                 | 4636                     | 4680                     | 42                             |
| 5   | 2021-22 | 42                                 | 3625                     | 3606                     | 61                             |
| 6   | 2022-23 | 61                                 | 1491                     | 1515                     | 37                             |

## Investment Advisory (BAS)

| Investor Complaint Data for Investment Advisory (BAS) for September 2022 |                         |                                     |                           |               |           |                                   |                                |                                   |
|--|-------------------------|-------------------------------------|---------------------------|---------------|-----------|-----------------------------------|--------------------------------|-----------------------------------|
| 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                                 | 1                         | Nil           | 1         | 0                                 | 0                              | 3                                 |
| 4  | Other Sources (if any)  | Nil                                 | Nil                       | Nil           | Nil       | Nil                               | Nil                            | Nil                               |
|  | <b>Grand Total</b>      | 0                                   | 1                         | 0             | 1         | 0                                 | 0                              | 3                                 |

| 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-2022 | Nil                                 | Nil      | Nil       | Nil       |
| 2   | May-2022 | Nil                                 | Nil      | Nil       | Nil       |
| 3   | Jun-2022 | Nil                                 | Nil      | Nil       | Nil       |
| 4   | Jul-2022 | Nil                                 | Nil      | Nil       | Nil       |
| 5   | Aug-2022 | Nil                                 | Nil      | Nil       | Nil       |
| 6   | Sep-2022 | Nil                                 | 1        | 1         | 0         |

| <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   | 2017-18     | Nil                                       | Nil                             | Nil                             | Nil                                   |
| 2   | 2018-19     | Nil                                       | Nil                             | Nil                             | Nil                                   |
| 3   | 2019-20     | Nil                                       | Nil                             | Nil                             | Nil                                   |
| 4   | 2020-21     | Nil                                       | Nil                             | Nil                             | Nil                                   |
| 5   | 2021-22     | Nil                                       | 1                               | 1                               | Nil                                   |
| 6   | 2022-23     | Nil                                       | 1                               | 1                               | Nil                                   |

## Research

| Investor Complaint Data for Research for September 2022 |                         |                                     |                           |               |           |                                   |                                |                                   |
|---|-------------------------|-------------------------------------|---------------------------|---------------|-----------|-----------------------------------|--------------------------------|-----------------------------------|
| 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                               |

| 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-2022 | Nil                                 | Nil      | Nil       | Nil       |
| 2  | May-2022 | Nil                                 | Nil      | Nil       | Nil       |
| 3  | Jun-2022 | Nil                                 | Nil      | Nil       | Nil       |
| 4  | Jul-2022 | Nil                                 | Nil      | Nil       | Nil       |
| 5  | Aug-2022 | Nil                                 | Nil      | Nil       | Nil       |
| 6  | Sep-2022 | 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   | 2017-18 | Nil                                | Nil                      | Nil                      | Nil                            |
| 2   | 2018-19 | Nil                                | Nil                      | Nil                      | Nil                            |
| 3   | 2019-20 | Nil                                | Nil                      | Nil                      | Nil                            |
| 4   | 2020-21 | Nil                                | Nil                      | Nil                      | Nil                            |
| 5   | 2021-22 | Nil                                | Nil                      | Nil                      | Nil                            |
| 5   | 2022-23 | Nil                                | Nil                      | Nil                      | Nil                            |