

Broking

Investor Complaint Data for Broking for December 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	48	142	3	187	3	-	4
2	SEBI (SCORES)	0	1	0	1	0	-	3
3	Stock Exchanges	5	3	0	8	0	-	3
4	Other Sources (if any)	0	0	0	0	0	-	0
	Grand Total	53	146	3	196	3	0	

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-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
7	Oct-2022	37	135	125	47
8	Nov-2022	47	202	196	53
9	Dec-2022	53	146	196	3

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	1993	2049	5

Depository

Investor Complaint Data for Depository for December 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 Resolutio n 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)	2	5	2	5	0	-	3
	Grand Total	2	7	2	7	0	0	

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
7	Oct-2022	0	9	7	2
8	Nov-2022	2	3	3	2
9	Dec-2022	2	7	7	2

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	1993	2049	5

Investment Advisory (BAS)

Investor Complaint Data for Investment Advisory (BAS) for December 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
	Grand Total	0	0	0	0	0	0	0

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	
7	Oct-2022	Nil	Nil	Nil	Nil	
8	Nov-2022	Nil	Nil	Nil	Nil	
9	Dec-2022	Nil	Nil	Nil	Nil	

Trend of Annual Disposal of Complaints - Investment Advisory (BAS)					
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	1	1	Nil
6	2022-23	Nil	1	1	Nil

Research

Investor Complaint Data for Research for December 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
	Grand Total	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
7	Oct-2022	Nil	Nil	Nil	Nil
8	Nov-2022	Nil	Nil	Nil	Nil
9	Dec-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