**Annexure-B**

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

**Data for every month ending SEP 2024**

|  |  |  |  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- | --- | --- | --- |
| **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 ^(in days)** |
|  |  |  |  |  |  | **Pendin**  **g for less than3 month**  **s** | **Pendin**  **g for more than3 month**  **s** |  |
| **1** | **2** | **3** | **4** | **5** | **6** | **7** | | **8** |
| 1 | Directly  from  Investors | 0 | 0 | 0 | NA | 0 | | NA |
| 2 | SEBI  (SCORE S) | 0 | 0 | 0 | NA | 0 | | NA |
| 3 | Stock  Exchanges | 0 | 0 | 0 | NA | 0 | | NA |
| 4 | Other  Sources  (if any) | 0 | 0 | 0 | NA | 0 | | NA |
| 5 | Grand  Total | 0 | 0 | 0 | NA | 0 | | NA |

**Trend of monthly disposal of complaints**

|  |  |  |  |  |  |  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- |
| **SN** | | **Month** | | **Carried forward**  **from previous month** | | **Received** | | **Resolved\*** | | **Pending\*\*** | |
| **1** | | **2** | | **3** | | **4** | | **5** | | **6** | |
| 1 | | Apr-2024 | | 0 | | 0 | | NA | | 0 | |
| 2 | | May – 2024 | | 0 | | 0 | | NA | | 0 | |
| 3 | | June - 2024 | | 0 | | 0 | | NA | | 0 | |
| 4 | | July - 2024 | | 0 | | 0 | | NA | | 0 | |
| 5 | | Aug -2024 | | 0 | | 0 | | NA | | 0 | |
| 6 | | Sep - 2024 | | 0 | | 0 | | NA | | 0 | |
|  | | **Grand Total** | | 0 | | 0 | | NA | | 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**  **from previous year** | **Received**  **during the year** | **Resolved**  **during the year** | **Pending at**  **the end of the year** |
| 1 | 2017-18 | 0 | 2 | 2 | 0 |
| 2 | 2018-19 | 0 | 0 | 0 | 0 |
| 3 | 2019-20 | 0 | 2 | 2 | 0 |
| 4 | 2020-21 | 0 | 2 | 2 | 0 |
| 5 | 2021-22 | 0 | 0 | 0 | 0 |
| 6 | 2022-23 | 0 | 1 | 1 | 0 |
| 7 | 2023-24 | 0 | 0 | 0 | 0 |
| 8 | 2024-25 | 0 | 0 | 0 | 0 |
|  | **Grand Total** | 0 | 7 | 7 | 0 |