

Annexure- B

Formats for investors complaints data to be displayed by Stock Brokers on their respective websites

Data for the month ending: August

| Sr. No. | Received from | Carried forward from the previous month | Received during the month | Total Pending | Resolved* | Pending complaints > 3months | | 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 | 0 | 0 | 0 | 0 | | 0 |
| 2. | SEBI(SCORES) | 0 | 0 | 0 | 0 | 0 | | 0 |
| 3. | Stock Exchanges | 0 | 0 | 0 | 0 | 0 | | 0 |
| 4. | Other Sources (if any) | 0 | 0 | 0 | 0 | 0 | | 0 |
| | Grand Total | 0 | 0 | 0 | 0 | 0 | | 0 |

Trend of monthly disposal of complaints:

| Sr. No. | 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. | August 2022 | | | | |
| | 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:

| Sr. No. | 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 | 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 | 0 | 0 | 0 | 0 |
| | Grand Total | 0 | 0 | 0 | 0 |

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