

COMPLAINT DATA – STOCK BROKER

Annexure – B

Complaint Data – Stock Broker

(Required by SEBI Circular SEBI/HO/IMD/IMD-II CIS/P/CIR/2021/0685 dated December 13, 2021)

Data for every month ending April 2025

S N	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	9
1	Directly from Investors	0	0	0	0	0	0	0
2	SEBI (SCORE S 2.0)	1	1	0	2	0	0	0
3	Stock Exchanges	0	0	0	0	0	0	0
4	Other Sources (if any)	0	0	0	0	0	0	0
5	Grand Total	1	1	0	2	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	October 2024	0	0	0	0
2	November 2024	0	0	0	0
3	December 2024	0	0	0	0
4	January 2025	0	0	0	0
5	February 2025	0	1	0	0
6	March 2025	1	1	2	0
7	April 2025	0	0	0	0
	Grand Total	1	2	2	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

COMPLAINT DATA – STOCK BROKER

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	2019-20	0	5	5	0
2	2020-21	0	5	5	0
3	2021-22	0	11	11	0
4	2022-23	0	6	6	0
5	2023-24	0	3	3	0
6	2024-25	0	6	6	0
	Grand Total	0	36	36	0

Complaint Data – Research Analyst

(Required by SEBI Circular SEBI/HO/IMD/IMD-II CIS/P/CIR/2021/0685 dated December 13, 2021)

Data for the month ending April 2025

Sr. No	Received from	Pending at the end of last month	Received	Resolved*	Total Pending#	Pending complaints > 3months	Average Resolution time^ (in days)
1	Directly from Investors	0	0	0	0	0	0
2	SEBI (SCORES)	0	0	0	0	0	0
3	Other Sources (if any)	0	0	0	0	0	0
	Grand Total	0	0	0	0	0	0

[^] Average Resolution time is the sum total of time taken to resolve each complaint in days, in the current month divided by total number of complaints resolved in the current month.

COMPLAINT DATA – STOCK BROKER

Trend of annual disposal of complaints

Sr. No.	Month	Carried forward from previous month	Received	Resolved*	Pending#
1	October 2024	0	0	0	0
2	November 2024	0	0	0	0
3	December 2024	0	0	0	0
5	January 2025	0	0	0	0
5	February 2025	0	0	0	0
6	March 2025	0	0	0	0
7	April 2025	0	0	0	0
	Grand Total	0	0	0	0

*Inclusive of complaints of previous months resolved in the current month.

#Inclusive of complaints pending as on the last day of the month.

Complaint Data – Investment Advisor

(Required by SEBI Circular SEBI/HO/IMD/IMD-II CIS/P/CIR/2021/0685 dated December 13, 2021)

Data for the month ending April 2025

Sr. No.	Received from	Pending at the end of last month	Received	Resolved*	Total Pending #	Pending complaints > 3months	Average Resolution time^ (in days)
1	Directly from Investors	0	0	0	0	0	0
2	SEBI (SCORES)	0	0	0	0	0	0
3	Other Sources (if any)	0	0	0	0	0	0
	Grand Total	0	0	0	0	0	0

^ Average Resolution time is the sum total of time taken to resolve each complaint in days, in the current month divided by total number of complaints resolved in the current month.

COMPLAINT DATA – STOCK BROKER

Trend of monthly disposal of complaints

Sr. No.	Month	Carried forward from previous month	Received	Resolved*	Pending#
1	October 2024	0	0	0	0
2	November 2024	0	0	0	0
3	December 2024	0	0	0	0
4	January 2025	0	0	0	0
5	February 2025	0	0	0	0
6	March 2025	0	0	0	0
7	April 2025	0	0	0	0
	Grand Total	0	0	0	0

*Inclusive of complaints of previous months resolved in the current month.

#Inclusive of complaints pending as on the last day of the month.

Trend of annual disposal of complaints

SN	Year	Carried forward from previous year	Received	Resolved*	Pending#
1	2019-20	0	0	0	0
2	2020-21	0	0	0	0
3	2021-22	0	0	0	0
4	2022-23	0	0	0	0
5	2023-24	0	0	0	0
6	2024-25	0	0	0	0
	Grand Total	0	0	0	0

*Inclusive of complaints of previous years resolved in the current year.

#Inclusive of complaints pending as on the last day of the year.

COMPLAINT DATA – STOCK BROKER

Annexure – C

Complaint Data – Depository Participant

(Communiqué no. CDSL/OPS/DP/POLCY/2021/589 dated December 25, 2021)

Data for the month ending April 2025

Sr. No	Received from	Pending at the end of last month	Received	Resolved*	Total Pending	Pending complaints > 3months	Average Resolution time^ (in days)
1	Directly from Investors	0	0	0	0	0	0
2	SEBI (SCORES)	0	1	1	0	0	0
3	Depositories	0	0	0	0	0	0
3	Other Sources (if any)	0	0	0	0	0	0
	Grand Total	0	1	1	0	0	0

^ Average Resolution time is the sum total of time taken to resolve each complaint in days, in the current month divided by total number of complaints resolved in the current month.

Trend of monthly disposal of complaints

Sr. No.	Month	Carried forward from previous month	Received	Resolved*	Pending#
1	October 2024	0	0	0	0
2	November 2024	0	0	0	0
3	December 2024	0	0	0	0
4	January 2025	0	0	0	0
5	February 2025	0	0	0	0
6	March 2025	0	1	1	0
7	April 2025	0	0	0	0
	Grand Total	0	1	1	0

*Inclusive of complaints of previous months resolved in the current month.#Inclusive of complaints pending as on the last day of the month.

COMPLAINT DATA – STOCK BROKER

Trend of annual disposal of complaints

SN	Year	Carried forward from previous year	Received	Resolved*	Pending#
1	2019-20	0	0	0	0
2	2020-21	0	3	3	0
3	2021-22	0	1	1	0
4	2022-23	0	4	4	0
5	2023-24	0	1	1	0
6	2024-25	0	1	1	0
	Grand Total	0	10	10	0

*Inclusive of complaints of previous years resolved in the current year.

#Inclusive of complaints pending as on the last day of the year.