

# 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 January 2026

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)	0	0	0	0	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	<b>Grand Total</b>	<b>0</b>	<b>0</b>	<b>0</b>	<b>0</b>	<b>0</b>	<b>0</b>	<b>0</b>

# COMPLAINT DATA – STOCK BROKER

## Trend of monthly disposal of complaints

SN	Month	Carried forward from previous month	Received	Resolved*	Pending**
1	2	3	4	5	6
1	August 2025	0	0	0	0
2	September 2025	0	0	0	0
3	October 2025	0	1	0	0
4	November 2025	1	0	1	0
5	December 2025	0	1	1	0
6	January 2026	0	0	0	0
	<b>Grand Total</b>	<b>1</b>	<b>2</b>	<b>2</b>	<b>0</b>

\*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	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	9	9	0
	<b>Grand Total</b>	<b>0</b>	<b>39</b>	<b>39</b>	<b>0</b>

# COMPLAINT DATA – RESEARCH ANALYST

## Complaint Data – Research Analyst

(Required by SEBI Circular SEBI/HO/IMD/IMD-II CIS/P/CIR/2021/0685 dated December 13, 2021 & SEBI/HO/MIRSD/MIRSD-PoD/P/CIR/2025/81 dated August 6, 2025)

### Data for the month ending January 2026

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
	<b>Grand Total</b>	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.

### **Trend of monthly disposal of complaints**

Sr. No.	Month	Carried forward from previous month	Received	Resolved*	Pending#
1	August 2025	0	0	0	0
2	September 2025	0	0	0	0
3	October 2025	0	0	0	0
4	November 2025	0	0	0	0
5	December 2025	0	0	0	0
6	January 2026	0	0	0	0
	<b>Grand Total</b>	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**

Sr. No.	Year	Carried forward from previous year	Received	Resolved*	Pending#
1	2021-22	0	0	0	0
2	2022-23	0	0	0	0
3	2023-24	0	0	0	0
4	2024-25	0	0	0	0
	<b>Grand Total</b>	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 – INVESTMENT ADVISOR

## 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 January 2026

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	NA	NA	NA	NA	NA	NA
2	SEBI (SCORES)	NA	NA	NA	NA	NA	NA
3	Other Sources (if any)	NA	NA	NA	NA	NA	NA
	Grand Total	NA	NA	NA	NA	NA	NA

^ 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	August 2025	NA	NA	NA	NA
2	September 2025	NA	NA	NA	NA
3	October 2025	NA	NA	NA	NA
4	November 2025	NA	NA	NA	NA
5	December 2025	NA	NA	NA	NA
6	January 2026	NA	NA	NA	NA
	<b>Grand Total</b>	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
	<b>Grand Total</b>	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 – DEPOSITORY PARTICIPANT

## Annexure – C

### Complaint Data – Depository Participant

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

#### Data for the month ending January 2026

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	Depositories	0	0	0	0	0	0
3	Other Sources (if any)	0	0	0	0	0	0
	<b>Grand Total</b>	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.

#### Trend of monthly disposal of complaints

Sr. No.	Month	Carried forward from previous month	Received	Resolved*	Pending#
1	August 2025	0	1	1	0
2	September 2025	0	0	0	0
3	October 2025	0	0	0	0
4	November 2025	0	0	0	0
5	December 2025	0	0	0	0
6	January 2026	0	0	0	0
	<b>Grand Total</b>	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 – DEPOSITORY PARTICIPANT

## 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	3	3	0
	<b>Grand Total</b>	0	12	12	0

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

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