

## Stock Broking – Private Banking Investor Complaints (Annexure-B)

### Data for Month Ending: November 2023

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	Directly from Investors	0	0	0	0	0	0	0
2	SEBI (SCORES)	0	0	0	0	0	0	0
3	Stock Exchange	0	0	0	0	0	0	0
4	Other Sources (if any)	0	0	0	0	0	0	0
5	<b>Total</b>	<b>0</b>	<b>0</b>	<b>0</b>	<b>0</b>	<b>0</b>	<b>0</b>	<b>0</b>

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

### Trend of Monthly Disposal of Complaints

SN	Month	Carried forward from Previous Month	Received	Resolved *	Pending **
1	April 2023	0	0	0	0
2	May 2023	0	0	0	0
3	June 2023	0	0	0	0
4	July 2023	0	0	0	0
5	Aug 2023	0	0	0	0
6	Sep 2023	0	0	0	0
7	Oct 2023	0	0	0	0
8	Nov 2023	0	0	0	0
9	Dec 2023				
10	Jan 2024				
11	Feb 2024				
12	Mar 2024				
	<b>Grand Total</b>	<b>0</b>	<b>0</b>	<b>0</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.

### Trend of Yearly Disposal of Complaints

SN	Year	Carried forward from Previous Year	Received during the Year	Resolved during the Year	Pending at the end of Year
1	2021-22	0	2	2	0
2	2022-23	0	0	0	0
3	2023-24				
	<b>Grand Total</b>	<b>0</b>	<b>2</b>	<b>2</b>	<b>0</b>