

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

Data for Month Ending: 31 Mar 2022

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	2	3	4	5	6	7		8
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	Total	0	0	0	0	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	April 2021	0	0	0	0
2	May 2021	0	0	0	0
3	June 2021	0	1	0	1
4	July 2021	1	1	0	2
5	Aug 2021	2	0	2	0
6	Sep 2021	0	0	0	0
7	Oct 2021	0	0	0	0
8	Nov 2021	0	0	0	0
9	Dec 2021	0	0	0	0
10	Jan 2022	0	0	0	0
11	Feb 2022	0	0	0	0
12	Mar 2022	0	0	0	0
	Grand Total	3	2	2	3

*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 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	2	3	4	5	6
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	2	2	0
	Grand Total	0	2	2	0