



Investor Complaints Data - Stock Broker

Data for April 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	1	0	1	0	0	Within 30 days
2	SEBI (SCORES)	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>	0	1	0	1	0	0	0



**Trend of monthly disposal of complaints**

<b>SN</b>	<b>Month</b>	<b>Carried forward from previous month</b>	<b>Received</b>	<b>Resolved*</b>	<b>Pending**</b>
<b>1</b>	<b>2</b>	<b>3</b>	<b>4</b>	<b>5</b>	<b>6</b>
2	November - 2021	1	0	0	1 (Pending at NSE Arbitration reserve for award )
3	December-2021	1	0	0	1 (Pending at NSE Arbitration reserve for award )
4	January – 2022	1	1	0	2 = 1 (Pending at NSE Arbitration reserve for award ) & 1 Directly from Investor
5	February – 2022	1	0	1	1 (Arbitration at NSE reserve for award)
6	March – 2022	1	1	2	0
7	April - 2022	0	1	1	0
	<b>Grand Total</b>	0	1	1	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**

<b>SN</b>	<b>Year</b>	<b>Carried forward from previous year</b>	<b>Received during the year</b>	<b>Resolved during the year</b>	<b>Pending at the end of the year</b>
1	2017-18	1	7	7	1
2	2018-19	1	12	13	0
3	2019-20	0	14	12	2
4	2020-21	2	8	10	0
5	2021-22	0	5	5	0
	<b>Grand Total</b>	4	46	47	0



**Investor Complaints Data – Depository Participant**

Data for April 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
2	SEBI (SCORES)	0	0	0	0	0		0
0	Depositories	0	0	0	0	0		0
0	Other Sources (if any)	0	0	0	0	0		0
0	<b>Grand Total</b>	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	November - 2021	0	0	0	0
2	December-2021	0	0	0	0
3	January – 2022	0	0	0	0
4	February – 2022	0	0	0	0
5	March – 2022	0	0	0	0
6	April – 2022	0	0	0	0
	<b>Grand Total</b>	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**

SN	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	3	3	0
2	2018-19	0	6	6	0
3	2019-20	0	0	0	0
4	2020-21	0	0	0	0
5	2021-22	0	0	0	0
	<b>Grand Total</b>	0	9	9	0



Investor Complaints Data – Portfolio Managers

Data for April 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	Other Sources (if any)	0	0	0	0	0	0	0
	<b>Grand Total</b>	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	November - 2021	1	0	1	0
2	December-2021	0	0	0	0
3	January – 2022	0	1	0	1
4	February – 2022	1	0	1	0
5	March - 2022	0	0	0	0
6	April – 2022	0	0	0	0
	<b>Grand Total</b>	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**

SN	Year	Carried forward from previous year	Received during the year	Resolved during the year	Pending at the end of the year
1	2018-19	0	2	2	0
2	2019-20	0	1	1	0
3	2020-21	0	0	0	0
4	2021-22	0	2	2	0
	<b>Grand Total</b>	0	3	3	0



Investor Complaints Data – Research Analysts

Data for April 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
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





**Trend of monthly disposal of complaints**

SN	Month	Carried forward from previous month	Received	Resolved*	Pending**
1	2	3	4	5	6
1	November - 2021	0	0	0	0
2	December-2021	0	0	0	0
3	January – 2022	0	0	0	0
4	February – 2022	0	0	0	0
5	March – 2022	0	0	0	0
6	April – 2022	0	0	0	0
	<b>Grand Total</b>	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**

SN	Year	Carried forward from previous year	Received during the year	Resolved during the year	Pending at the end of the year
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
	<b>Grand Total</b>	0	0	0	0