

Investor Complaints – BROKING:

Data for October ' 24

S N	Received from	Carried forward from previous Month	Received during the month	Total Pendin g	Reso lved *	Pending at the end of the month**		Average Resolutio n 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)^^^	5	0	0	5++	0		31
3	Stock Exchanges	0	0	0	0	0 for both		0
4	Other Sources (if any)	0	0	0	0	0 for both		0
5	Grand Total	5	0	0	5	0		0

^^^Cases received from SCORES pertained to scams run by individual posing as from Barclays – These complainants are not our clients.

++They were closed in September in SCORES, however we got visiblity of the same only later and hence considered in October closures.

Contd ...

Trend of monthly disposal of complaints

SN	Month	Carried forward from previous Month	Received	Resolved*	Pending**
1	2	3	4	5	6
1	Nov 2023	0	0	0	0
2	Dec 2023	0	0	0	0
3	Jan 2024	0	0	0	0
4	Feb 2024	0	0	0	0
5	Mar 2024	0	0	0	0
6	Apr 2024	0	1	0	1
7	May 2024	1	3 ^{^^^}	1	3
8	June 2024	3	6 ^{^^^}	0	9
9	July 2024	9	1 [^]	10 ^{^^^}	0
10	Aug 2024 ⁺⁺	0	5 ^{^^^}	0	5
11	Sep 2024	5 ^{^^^}	0	0	5
12	Oct 2024	5	0	5 ⁺⁺	0
	Grand Total	23	16	16	23

*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.

^^^Cases received from SCORES pertained to scams run by individual posing as from Barclays – These complainants are not our clients

++They were closed in September in SCORES, however we got visibility of the same only later and hence considered in October closures.

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	0	0	0
2	2018-19	0	2	2	0
3	2019-20	0	0	0	0
4	2020-21	0	4	4	0
5	2021-22	0	1	1	0
6	2022-23	0	1	1	0
7	2023-24	0	1	1	0
8	2024-25	0	16	16	0
	Grand Total	0	25	25	0