

## Investor Complaints – BROKING:

Data for September ' 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	5	0	0		0
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	<b>Grand Total</b>	<b>5</b>	<b>0</b>	<b>5</b>	<b>0</b>	<b>0</b>		<b>0</b>

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

++ In Aug, 2 were earlier tagged as PMS in SCORES , later tagged as Broking., so now we have added 2 to the Broking count in Aug in this report.

Contd ...

**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>
1	Sep 2023	0	0	0	0
2	Oct 2023	0	0	0	0
3	Nov 2023	0	0	0	0
4	Dec 2023	0	0	0	0
5	Jan 2024	0	0	0	0
6	Feb 2024	0	0	0	0
7	Mar 2024	0	0	0	0
8	Apr 2024	0	1	0	1
9	May 2024	1	3 <sup>^^</sup>	1	3
10	June 2024	3	6 <sup>^^</sup>	0	9
11	July 2024	9	1 <sup>^</sup>	10 <sup>^^</sup>	0
12	Aug 2024 <sup>++</sup>	0	5 <sup>^^</sup>	0	5
13	Sep 2024	5 <sup>^^</sup>	0	0	5
	<b>Grand Total</b>	16	16	11	5

\*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.**

**++ Out of 5 in Aug, 2 were earlier tagged as PMS in SCORES , later tagged as Broking., so now we have added 2 to the Broking count in Aug in this report.**

**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	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	11	5
	<b>Grand Total</b>	0	25	20	5