



Complaints received by STOCK BROKERS for the month of Oct 2023

Data for Every month Ending – Oct 2023								
Sr. No	Received From Customers	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	1	0	0	1	0	0	28
2	SEBI (SCORES)	0	0	0	0	0	0	0
3	Stock Exchanges	2	0	0	2	0	0	14
4	Other Sources (if any)	0	0	0	0	0	0	0
	Grand Total	3	0	0	3	0	0	42

Monthly Trend for Disposal of Complaints - FY 2023-24					
Sr. No.	Month	Carried forward from previous month	Received	Resolved *	Pending **
1	Apr -23	0	2	2	0
2	May-23	0	3	2	1
3	Jun-23	1	0	1	0
4	Jul-23	0	4	4	0
5	Aug-23	0	1	1	0
6	Sep-23	0	3	0	3
7	Oct-23	3	0	3	0
8	Nov-23	0	0	0	0
9	Dec-23	0	0	0	0
10	Jan-24	0	0	0	0
11	Feb-24	0	0	0	0
12	Mar-24	0	0	0	0
	Grand Total	4	13	13	4

* 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 – Trading					
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	NA	NA	NA	NA
2	2019-20	NA	NA	NA	NA
3	2020-21	0	0	0	0
4	2021-22	0	0	0	0
5	2022-23	0	25	25	0
6	2023-24	0	13	13	0
	Grand Total	0	38	38	0

* Member ID enabled in the month of August, 2021



Complaints received by **DEPOSITORY PARTICIPANTS** for the month of Oct 2023:

Data for every month ending – Oct 2023								
Sr. No	Received From Customers	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	1	0	0	1	0	0	17
2	SEBI (SCORES)	0	0	0	0	0	0	0
3	Depositories	0	0	0	0	0	0	0
4	Other Sources (if any)	0	0	0	0	0	0	0
	Grand Total	1	0	0	1	0	0	17

Trend of monthly disposal of complaints – Depositories						
Sr. No.	Month	Carried forward from previous month	Received	Resolved*	Pending**	
1	Apr -23	0	5	5	0	
2	May-23	0	8	8	0	
3	Jun-23	0	4	4	0	
4	Jul-23	0	15	15	0	
5	Aug-23	0	3	3	0	
6	Sep-23	0	1	0	1	
7	Oct-23	1	0	1	0	
8	Nov-23	0	0	0	0	
9	Dec-23	0	0	0	0	
10	Jan -24	0	0	0	0	
11	Feb-24	0	0	0	0	
12	Mar-24	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 – Depositories					
Sr. No.	Year	Carried forward from previous year	Received during the year	Resolved during the year *	Pending at the end of the year
1	2018-19	NA	NA	NA	NA
2	2019-20	NA	NA	NA	NA
3	2020-21	NA	NA	NA	NA
4	2021-22	0	94	91	3
5	2022-23	3	42	45	0
6	2023-24	0	36	36	0
	Grand Total	0	172	172	0

* CDSL DP ID was received in the month of April, 2021