

Investor Complaints – BROKING:

Data for March ' 25

S N	Received from	Carried forward from previous Month	Received during the month	Total Pendi ng	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)^^	2	2	4	0	4		0
3	Stock Exchanges	0	0	0	0	0		0
4	Other Sources (if any)	0	0	0	0	0		0
5	Grand Total	2	2	4	0	4		0

^^^Complaints received from 2 individuals via SCORES - it pertains to scams run by individual posing as from Barclays. These complainants are not our clients. We shall close when SCORES closes it in the system.

Contd ...

Trend of monthly disposal of complaints

SN	Month	Carried forward from previous Month	Received	Resolved*	Pending**
1	2	3	4	5	6
1	Apr 2024	0	1	0	1
2	May 2024	1	3 ^{^^^}	1	3
3	June 2024	3	6 ^{^^^}	0	9
4	July 2024	9	1 [^]	10 ^{^^^}	0
5	Aug 2024 ⁺⁺	0	5 ^{^^^}	0	5
6	Sep 2024	5 ^{^^^}	0	0	5
7	Oct 2024	5	0	5 ⁺⁺	0
8	Nov 2024	0	0	0	0
9	Dec 2024	0	0	0	0
10	Jan 2025	0	0	0	0
11	Feb 2025	0	2 ^{^^}	0	2 ^{^^}
12	Mar 2025	2 ^{^^}	2 ^{^^}	0	4 ^{^^}
	Grand Total	25	20	16	29

*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	20	16	4
	Grand Total	0	29	25	4

