

### Complaints - Stock Broker

#### Data for every month ending – December' 2025

| 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                                   | 38                        | 0             | 38        | 0                                 | 0                              | 10 days                            |
| 2  | SEBI (SCORES 2.0)                      | 04                                  | 14                        | 11            | 07        | 11                                | 0                              | 26 days                            |
| 3  | Stock Exchanges                        | 0                                   | 0                         | 0             | 0         | 0                                 | 0                              | 0 days                             |
| 4  | Other Sources (Smart ODR & SEBI Email) | 01                                  | 01                        | 0             | 02        | 0                                 | 0                              | 13 days                            |
| 5  | Grand Total                            | 05                                  | 53                        | 11            | 47        | 11                                | 0                              | 16 days                            |

**Trend of monthly disposal of complaints**

| SN        | Month              | Carried forward from previous month | Received   | Resolved*  | Pending** |
|-----------|--------------------|-------------------------------------|------------|------------|-----------|
| 1         | 2                  | 3                                   | 4          | 5          | 6         |
| 1         | Apr-25             | 04                                  | 13         | 09         | 08        |
| 2         | May-25             | 08                                  | 04         | 06         | 06        |
| 3         | Jun-25             | 06                                  | 09         | 08         | 07        |
| 4         | Jul-25             | 07                                  | 11         | 13         | 04        |
| 5         | Aug-25             | 06                                  | 07         | 04         | 09        |
| 6         | Sep-25             | 09                                  | 23         | 20         | 12        |
| 7         | Oct-25             | 12                                  | 41         | 48         | 05        |
| 8         | Nov-25             | 05                                  | 33         | 33         | 05        |
| 9         | Dec-25             | 05                                  | 53         | 47         | 11        |
| 10        | Jan-26             | 0                                   | 0          | 0          | 0         |
| 11        | Feb-26             | 0                                   | 0          | 0          | 0         |
| 12        | Mar-26             | 0                                   | 0          | 0          | 0         |
| <b>13</b> | <b>Grand Total</b> | <b>62</b>                           | <b>194</b> | <b>188</b> | <b>67</b> |

\*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  | 2021-22              | 03                                 | 34                       | 36                       | 01                             |
| 2  | 2022-23              | 01                                 | 122                      | 122                      | 01                             |
| 3  | 2023-24              | 01                                 | 79                       | 80                       | 01                             |
| 4  | 2024-25              | 02                                 | 95                       | 93                       | 04                             |
| 5  | 2025-26 <sup>1</sup> | 04                                 | 194                      | 188                      | 11                             |
|    | <b>Grand Total</b>   | <b>11</b>                          | <b>524</b>               | <b>519</b>               | <b>18</b>                      |

<sup>1</sup> Count provided as on December 31, 2025

