



Complaint Data to be displayed by IAs

Formats for investors complaints data to be disclosed monthly by IAs on their website/mobile application:

Data for the month ending - _____

| Sr. No. | Received from | Pending at the end of last month | Received | Resolved* | Total Pending # | Pending complaints > 3months | Average Resolution time^ (in days) |
|---------|-------------------------|----------------------------------|----------|-----------|-----------------|------------------------------|------------------------------------|
| 1 | Directly from Investors | | | | | | |
| 2 | SEBI (SCORES) | | | | | | |
| 3 | Other Sources (if any) | | | | | | |
| | Grand Total | | | | | | |

^ Average Resolution time is the sum total of time taken to resolve each complaint in days, in the current month divided by total number of complaints resolved in the current month.

Trend of monthly disposal of complaints

| Sr. No. | Month | Carried forward from previous month | Received | Resolved* | Pending# |
|---------|--------------------|-------------------------------------|----------|-----------|----------|
| 1 | April, YYYY | | | | |
| 2 | May, YYYY | | | | |
| 3 | June, YYYY | | | | |
| 4 | | | | | |
| 5 | March, YYYY | | | | |
| | Grand Total | | | | |

*Inclusive of complaints of previous months resolved in the current month.

#Inclusive of complaints pending as on the last day of the month.

Trend of annual disposal of complaints

| SN | Year | Carried forward from previous year | Received | Resolved* | Pending# |
|----|---------|------------------------------------|----------|-----------|----------|
| 1 | 2018-19 | | | | |



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Securities and Exchange Board of India

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|---|--------------------|--|--|--|--|
| 2 | 2019-20 | | | | |
| 3 | 2020-21 | | | | |
| | Grand Total | | | | |

*Inclusive of complaints of previous years resolved in the current year.

#Inclusive of complaints pending as on the last day of the year.