

<u>Annexure – B</u>

Format for Investor Complaints Data to be displayed by Stock Brokers on their respective websites

Data for every month ending – FEBRUARY 2024

| S N | Received from | Carried forwar d from previou s month | Receive d during the month | Total Pending | Resol ved* | Pending at the end of the month** Pending Pending | | Average Resoluti on time^ (in days) |
|--------|-------------------------------|--|--|------------------|---------------|---|---------------------------------|--|
| | | | | | | for less than 3 months | for more than 3 months | |
| 1 | 2 | 3 | 4 | 5 | 6 | 7 | | 8 |
| 1 | Directly from Investors | 0 | 0 | 0 | 0 | 0 | | NA |
| 2 | SEBI (SCORE) | 0 | 0 | 0 | 0 | 0 | | NA |
| 3 | Stock Exchanges | 0 | 0 | 0 | 0 | 0 | | NA |
| 4 | Other Sources (if any) | 0 | 0 | 0 | 0 | 0 | | NA |
| 5 | Grand Total | 0 | 0 | 0 | 0 | 0 | | 0 |

Regd. Office : 814, Arunachal Building, 19, Barakhamba Road, New Delhi-110001 • Ph.: 011-23350670, 23350672 • Mob.: 9910334461 E-mail : fes@fesecurities.in • Compliance Officer : Anil Kumar, Ph.: 011-23350670

Investor Grievance : nsecomplaint@fesecurities.in, bsecomplaint@fesecurities.in, cdslcomplaint@fesecurities.in



Trend of monthly disposal of complaints

| SN | Month | from previous month | Received | Resolved* | Pending** |
|----|----------------|------------------------|----------|-----------|-----------|
| 1 | 2 | 3 | 4 | 5 | 6 |
| 1 | DEC -2021 | 0 | 0 | 0 | 0 |
| 2 | JAN-2022 | 0 | 0 | 0 | 0 |
| 3 | FEB-2022 | 0 | 0 | 0 | 0 |
| 4 | MAR-2022 | 0 | 0 | 0 | 0 |
| 5 | APR-2022 | 0 | 0 | 0 | 0 |
| 6 | MAY-2022 | 0 | 0 | 0 | 0 |
| 7 | JUNE-2022 | 0 | 0 | 0 | 0 |
| 8 | JULY-2022 | 0 | 0 | 0 | 0 |
| 9 | AUG-2022 | 0 | 0 | 0 | 0 |
| 10 | SEP-2022 | 0 | 0 | 0 | 0 |
| 11 | OCT-2022 | 0 | 0 | 0 | 0 |
| 12 | NOV-2022 | 0 | 0 | 0 | 0 |
| 13 | DEC-2022 | 0 | 0 | 0 | 0 |
| 14 | JAN-2023 | 0 | 0 | 0 | 0 |
| 15 | FEB-2023 | 0 | 0 | 0 | 0 |
| 16 | MAR-2023 | 0 | 0 | 0 | 0 |
| 17 | APR-2023 | 0 | 0 | 0 | 0 |
| 18 | MAY 2023 | 0 | 0 | 0 | 0 |
| 19 | JUNE 2023 | 0 | 0 | 0 | 0 |
| 20 | JULY 2023 | 0 | 0 | 0 | 0 |
| 21 | AUGUST 2023 | 0 | 0 | 0 | 0 |
| 22 | SEPTEMBER 2023 | 0 | 0 | 0 | 0 |
| 23 | OCTOBER 2023 | 0 | 0 | 0 | 0 |
| 24 | NOVEMBER 2023 | 0 | 0 | 0 | 0 |
| 25 | DECEMBER 2023 | 0 | 0 | 0 | 0 |
| 26 | JANUARY 2024 | 0 | 0 | 0 | 0 |
| 27 | FEBRUARY 2024 | 0 | 0 | 0 | 0 |
| | Grand Total | 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.

Regd. Office : 814, Arunachal Building, 19, Barakhamba Road, New Delhi-110001 • Ph.: 011-23350670, 23350672 • Mob.: 9910334461 E-mail : fes@fesecurities.in • Compliance Officer : Anil Kumar, Ph.: 011-23350670 Investor Grievance : nsecomplaint@fesecurities.in, bsecomplaint@fesecurities.in, cdslcomplaint@fesecurities.in



Trend of annual disposal of complaints

| SN | Year | Carried forward from previous year | | Resolved during the year | Pending at the end of the year |
|----|-------------|--|---|--------------------------------|--------------------------------------|
| 1 | 2020-21 | 0 | 0 | 0 | 0 |
| 2 | 2021-22 | 0 | 0 | 0 | 0 |
| 3 | 2022-23 | 0 | 0 | 0 | 0 |
| | Grand Total | 0 | 0 | 0 | 0 |

Regd. Office : 814, Arunachal Building, 19, Barakhamba Road, New Delhi-110001 • Ph.: 011-23350670, 23350672 • Mob.: 9910334461 E-mail : fes@fesecurities.in • Compliance Officer : Anil Kumar, Ph.: 011-23350670 Investor Grievance : nsecomplaint@fesecurities.in, bsecomplaint@fesecurities.in, cdslcomplaint@fesecurities.in