

**Investor Complaints & Grievances**  
**Broking and Depository**  
**Annexure - B/C**



**September-2023**

| 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                                   | 0                         | 0             | 0        | 0                                 | 0                              | 0                                 |
| 2  | SEBI (SCORES)                 | 0                                   | 0                         | 0             | 0        | 0                                 | 0                              | 0                                 |
| 3  | Stock Exchanges/ Depositories | 0                                   | 0                         | 0             | 0        | 0                                 | 0                              | 0                                 |
| 4  | Other Sources (if any)        | 0                                   | 0                         | 0             | 0        | 0                                 | 0                              | 0                                 |
| 5  | Grand Total                   | 0                                   | 0                         | 0             | 0        | 0                                 | 0                              | 0                                 |

**Trend of monthly disposal of complaints**

| SN | Month       | Carried forward from previous month | Received | Resolved* | Pending** |
|----|-------------|-------------------------------------|----------|-----------|-----------|
| 1  | 2           | 3                                   | 4        | 5         | 6         |
| 1  | Apr-2023    | 0                                   | 0        | 0         | 0         |
| 2  | May-2023    | 0                                   | 0        | 0         | 0         |
| 3  | Jun-2023    | 0                                   | 0        | 0         | 0         |
| 4  | Jul-2023    | 0                                   | 0        | 0         | 0         |
| 5  | Aug-2023    | 0                                   | 0        | 0         | 0         |
| 6  | Sep-2023    | 0                                   | 0        | 0         | 0         |
| 7  | Oct-2023    |                                     |          |           |           |
| 8  | Nov-2023    |                                     |          |           |           |
| 9  | Dec-2023    |                                     |          |           |           |
| 10 | Jan-2024    |                                     |          |           |           |
| 11 | Feb-2024    |                                     |          |           |           |
| 12 | Mar-2024    |                                     |          |           |           |
|    | Grand Total |                                     |          |           |           |

**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  | 2019-20     | 0                                  | 0                        | 0                        | 0                              |
| 2  | 2020-21     | 0                                  | 0                        | 0                        | 0                              |
| 3  | 2021-22     | 0                                  | 2                        | 2                        | 0                              |
| 4  | 2022-23     | 0                                  | 0                        | 0                        | 0                              |
| 5  | 2023-24     | 0                                  |                          |                          |                                |
|    | Grand Total |                                    |                          |                          |                                |

**SPS Share Brokers Private Limited**

4C VULCAN INSURANCE BUILDING 4TH FLOOR NEXT TO GAYLORD RESTAURANT CHURCHGATE MUMBAI – 400020

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