

### **SWASTIKA INVESTMART LIMITED**

### ANNEXURE- 'B'

# Investor's Complaints Data by Stock Brokers

Data for every month ending:(June,2025)

| SN | Received from              | Carried<br>forward<br>from<br>previous<br>month | Received<br>during the<br>month | Total Pending | Resolved | Pending at the end of the month   |                                      |                                   |
|----|----------------------------|---|---------------------------------|---------------|----------|-----------------------------------|--------------------------------------|-----------------------------------|
|    |                            |   |                                 |               |          | Pending for less<br>than 3 months | Pending for<br>more than 3<br>months | Average Resolution time (in days) |
| 1  | Directly from<br>Investors | 2   | 2                               | 0             | 2        | 0                                 | 0                                    | 15                                |
| 2  | SEBI (SCORES)              | 5   | 4                               | 6             | 3        | 6                                 | 0                                    | 15                                |
| 3  | Stock Exchanges            | 0   | 0                               | 0             | 0        | 0                                 | 0                                    | 0                                 |
| 4  | Other Sources (if any)     | 0   | 0                               | 0             | 0        | 0                                 | 0                                    | 0                                 |
|    | Grand Total                | 7   | 6                               | 6             | 5        | 6                                 | 0                                    | 18                                |



### Trend of monthly disposal of complaints

| SN | Month    | Carried Forward<br>from previous<br>month | Received | Resolved | Pending |
|----|----------|---|----------|----------|---------|
| 1  | Dec-24   | 7   | 8        | 13       | 2       |
| 2  | Jan-25   | 2   | 8        | 5        | 5       |
| 3  | Feb - 25 | 5   | 5        | 6        | 4       |
| 4  | Mar - 25 | 4   | 8        | 4        | 8       |
| 5  | Apr-25   | 8   | 1        | 6        | 2       |
| 6  | May-25   | 2   | 7        | 2        | 7       |
| 7  | June-25  | 7   | 6        | 7        | 6       |

## Trend of annual disposal of complaints

| SN | Year    | Carried forward<br>from previous<br>year | Received<br>during the year | Resolved during<br>the year | Pending at the end of the year |
|----|---------|--|-----------------------------|-----------------------------|--------------------------------|
| 1  | 2021-22 | 4  | 105                         | 100                         | 9                              |
| 2  | 2022-23 | 9  | 105                         | 106                         | 8                              |
| 3  | 2023-24 | 8  | 90                          | 95                          | 3                              |
| 4  | 2024-25 | 3  | 95                          | 90                          | 8                              |
| 5  | 2025-26 | 8  | 14                          | 15                          | 6                              |

<sup>\*</sup>Should include complaints of previous months resolved in the current month, if any.

<sup>\*\*</sup>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