

## Annexure B - Investor Charter

### Complaint Data to be displayed by Stock Broker – 5paise Capital Ltd.

Dec Month Data (Uploaded in Jan 2026)								
Sr.no.	Received form	Carried forward from previous month	Received during the month	Total Pending	Resolved*	Pending at the end of the month**		Average Resolution in time ( In days )^
						Pending for less than 3 month	Pending for more than 3 months	
1	2	3	4	5	6	7		
1	Directly from investors	2	91	93	93	0	0	2 days
2	SEBI (SCORES 2.0)	0	17	17	12	5	0	7 days
3	Stock Exchange (NSE, BSE & MCX)	0	0	0	0	0	0	0 Days
4	Other Sources (SMART ODR)	0	1	1	1	0	0	2 Days
	<b>Grand Total</b>	<b>2</b>	<b>109</b>	<b>111</b>	<b>106</b>	<b>5</b>	<b>0</b>	<b>1 day</b>

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### Complaint Data to be displayed by Stock Broker – 5paisa Capital Ltd.

Trend of monthly disposal of complaints					
Sr No.	Month	Carried forward from previous month	Received	Resolved*	Pending**
1	Apr-25	5	38	41	2
2	May-25	2	75	73	4
3	Jun-25	4	50	50	4
4	Jul-25	4	51	54	1
5	Aug-25	1	35	28	8
6	Sep-25	8	38	45	1
7	Oct-25	1	51	48	4
8	Nov-25	4	33	35	2
9	Dec-25	2	109	106	5
	<b>Grand Total</b>	<b>31</b>	<b>480</b>	<b>480</b>	<b>31</b>

Year-wise data (for 5 years on rolling basis)					
Sr No.	Year	Carried forward from previous year	Received during the year	Resolved during the year	Pending at the end of the year
1	2	3	4	5	6
1	2021-22	10	887	886	11
2	2022-23	11	445	442	14
3	2023-24	14	1359	1343	30
4	2024-25	30	1576	1601	5
5	2025-26	5	109	106	5
	<b>Grand Total</b>	<b>70</b>	<b>3931</b>	<b>3936</b>	<b>65</b>

**Note:** For the Financial Year ended 2024-25 count in the column having header as "Carried forward from previous year" was inadvertently captured as 284 instead of correct count i.e. 30. Resultantly, the count of column having header as "Pending at the end of the year" got captured as 260 instead of 5. Therefore, as a corrective measure we have considered the count of carried forward from previous year complaint for the start of the FY 2025-26 as 5 which was actual count of pending complaints as on 31.03.2025. Also, the count under the column "Resolved during the year" was inadvertently mentioned as 1548 in for the year ended 2024-25 instead of the correct count of 1601 which has been rectified now.