

## Disclosure of investor complaints by Rudra Shares & Stock Brokers Limited

Annexure B

Data for every month ending - MARCH - 2024

| S N | Received from           | Carried forward from previous month | Received during the month | Total Pending | Resolved* | Pending at the end of the month** |                                | Average Resolution on 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         | 1                                   | 0                         | 1             | 0         | 0                                 | 1                              | NA (APPL U/P in Kanpur Court)         |
| 4   | Other Sources (if any)  | 0                                   | 0                         | 0             | 0         | 0                                 | 0                              | 0                                     |
| 5   | <b>Grand Total</b>      | <b>1</b>                            | <b>0</b>                  | <b>1</b>      | <b>0</b>  | <b>0</b>                          | <b>1</b>                       | ...                                   |

### Trend of monthly disposal of complaints

| S N | Month              | Carried forward from previous month | Received | Resolved | Pending  |
|-----|--------------------|-------------------------------------|----------|----------|----------|
| 1   | 2                  | 3                                   | 4        | 5        | 6        |
| 1   | April-2023         | 1                                   | 0        | 0        | 1        |
| 2   | May-2023           | 1                                   | 0        | 0        | 1        |
| 3   | June-2023          | 1                                   | 0        | 0        | 1        |
| 4   | July-2023          | 1                                   | 0        | 0        | 1        |
| 5   | August-2023        | 1                                   | 0        | 0        | 1        |
| 6   | September-2023     | 1                                   | 1        | 0        | 2        |
| 7   | October-2023       | 2                                   | 0        | 1        | 1        |
| 8   | November-2023      | 1                                   | 0        | 0        | 1        |
| 9   | December-2023      | 1                                   | 0        | 0        | 1        |
| 10  | January-2024       | 1                                   | 2        | 1        | 2        |
| 11  | February-2024      | 2                                   | 0        | 1        | 1        |
| 12  | March-2024         | 1                                   | 0        | 0        | 1        |
|     | <b>Grand Total</b> |                                     | <b>3</b> | <b>3</b> | <b>1</b> |

\*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.

#### Trend of annual disposal of complaints

| S N | Year               | Carried forward from previous year | Received during the year | Resolved during the year | Pending at the end of the year |
|-----|--------------------|------------------------------------|--------------------------|--------------------------|--------------------------------|
|     |                    |                                    |                          |                          |                                |
| 1   | 2017-18            | 0                                  | 0                        | 0                        | 0                              |
| 2   | 2018-19            | 0                                  | 0                        | 0                        | 0                              |
| 3   | 2019-20            | 0                                  | 0                        | 0                        | 0                              |
| 4   | 2020-21            | 0                                  | 1                        | 0                        | 1                              |
| 5   | 2021-22            | 1                                  | 8                        | 7                        | 2                              |
| 6   | 2022-23            | 2                                  | 3                        | 4                        | 1                              |
| 7   | 2023-24            | 1                                  | 3                        | 3                        | 1                              |
|     | <b>Grand Total</b> |                                    | <b>15</b>                | <b>14</b>                |                                |