

Dimensional Securities Private Limited

Investors Complaints Data:

Data for the Month-March 2024								
Sr. No.	Received Form	Carried forward from previous month	Received during the month	Resolved	Total Pending	Pending at the end of the month		Average Resolution on time (in days)
1	Directly from Investor	0	1	1	0	0	0	10
2	SEBI (SCORES)	Nil	Nil	Nil	Nil	Nil	Nil	NA
3	Stock Exchanges	Nil	Nil	Nil	Nil	Nil	Nil	NA
4	Depositories	Nil	Nil	Nil	Nil	Nil	Nil	NA
5	Other Sources	Nil	Nil	Nil	Nil	Nil	Nil	NA
6	Grand Total	Nil	Nil	Nil	Nil	Nil	Nil	NA

Trend of Monthly Disposal of Complaints					
Sr. No.	Months	Carried forward from previous month	Received	Resolved	Pending
1	Apr-23	0	0	0	0
2	May-23	0	0	0	0
3	June-23	0	1	1	0
4	July-23	0	0	0	0
5	Aug-23	0	0	0	0
6	Sep-23	0	0	0	0
7	Oct-23	0	0	0	0
8	Nov-23	0	0	0	0
9	Dec-23	0	0	0	0
10	Jan-24	0	0	0	0
11	Feb-24	0	0	0	0
12	Mar-24	0	0	0	0
	Grand Total	0	0	0	0

Trend of Annual Disposal of Complaints					
Sr. No.	Months	Carried forward from previous year	Received	Resolved	Pending
1	2017-2018	0	0	0	0
2	2018-2019	0	0	0	0
3	2019-2020	0	0	0	0
4	2020-2021	0	3	3	0
5	2021-2022	0	22	22	0
6	2022-2023	0	21	21	0
7	2023-2024	0	1	1	0
	Grand Total	0	47	47	0

Timelines for complaint resolution process at Stock Exchanges against stock brokers

Sr. No.	Type of Activity	Timelines for activity
1	Receipt of Complaint	Day of complaint (C Day).
2	Additional information sought from the investor, if any, and provisionally forwarded to stock broker.	C + 7 Working days.
3	Registration of the complaint and forwarding to the stock broker.	C+8 Working Days i.e. T day.
4	Amicable Resolution.	T+15 Working Days.
5	Refer to Grievance Redressal Committee (GRC), in case of no amicable resolution.	T+16 Working Days.
6	Complete resolution process post GRC.	T + 30 Working Days.
7	In case where the GRC Member requires additional information, GRC order shall be completed within.	T + 45 Working Days.
8	Implementation of GRC Order.	On receipt of GRC Order, if the order is in favour of the investor, debit the funds of the stock broker. Order for debit is issued immediately or as per the directions given in GRC order.
9	In case the stock broker is aggrieved by the GRC order, will provide intention to avail arbitration	Within 7 days from receipt of order
10	If intention from stock broker is received and the GRC order amount is upto Rs.20 lakhs	Investor is eligible for interim relief from Investor Protection Fund (IPF).The interim relief will be 50% of the GRC order amount or Rs.2 lakhs whichever is less. The same shall be provided after obtaining an Undertaking from the investor.
11	Stock Broker shall file for arbitration	Within 6 months from the date of GRC recommendation
12	In case the stock broker does not file for arbitration within 6 months	The GRC order amount shall be released to the investor after adjusting the amount released as interim relief, if any.

Handling of Investor's claims / complaints in case of default of a Trading Member / Clearing Member (TM/CM)

Default of TM/CM

Following steps are carried out by Stock Exchange for benefit of investor, in case stock broker defaults:

- Circular is issued to inform about declaration of Stock Broker as Defaulter.
- Information of defaulter stock broker is disseminated on Stock Exchange website.
- Public Notice is issued informing declaration of a stock broker as defaulter and inviting claims within specified period.
- Intimation to clients of defaulter stock brokers via emails and SMS for facilitating lodging of claims within the specified period

Following information is available on Stock Exchange website for information of investors:

- Norms for eligibility of claims for compensation from IPF.
- Claim form for lodging claim against defaulter stock broker.
- FAQ on processing of investors' claims against Defaulter stock broker.
- Provision to check online status of client's claim.

Level 3 – The complaint not redressed at Stock Broker / Stock Exchange level, may be lodged with SEBI on SCORES (a web based centralized grievance redressal system of SEBI) @ <https://scores.gov.in/scores/Welcome.html>