

Nomura Financial Advisory and Securities (India) Private Limited - Complaint Data pertaining to Merchant Banking registration

Initial Public Offer (IPO) and Further Public Offer (FPO) including Offer for Sale (OFS): Data for the month ending March 2024

Sr. No.	Received from	Pending as at the end of last month (February 29, 2024)	Received during the particular month (March 2024)	Resolved during the particular month (March 2024)	Total Pending during the particular month	Pending complaints > 1 month	Average Resolution time (in days)
1.	Directly from Investors	0	0	0	0	0	0
2.	SEBI (SCORES)	0	0	0	0	0	0
3.	Stock Exchanges (if relevant)	0	0	0	0	0	0
4.	Other Sources (if any)	0	0	0	0	0	0
	Grand Total	0	0	0	0	0	0

Trend of monthly disposal of complaints (For 5 months on rolling basis)

Sr. No.	Month	Carried forward from previous month	Received during the particular month	Resolved during the particular month	Pending at the end of the particular month
1.	November 2023	1	0	1	0
2.	December 2023	0	0	0	0
3.	January 2024	0	0	0	0
4.	February 2024	0	0	0	0
5.	March 2024	0	0	0	0
	Grand Total	1	0	1	0

Trend of annual (Calendar year) disposal of complaints (For 5 years on rolling basis)

Sr. No.	Year	Carried forward from previous year	Received during the particular year	Resolved during the particular year	Pending at the end of the particular year
1.	2022	1	3	4	0

2.	2023	0	1	1	0
3.	2024	0 (as on 31 st March)	0	0	0 (as on 31 st March)
4.	2025	NA	NA	NA	NA
5.	2026	NA	NA	NA	NA

Rights Issue; Qualified Institutions Placement (QIP); Preferential Issue; SME IPO and FPO including OFS; Buyback of Securities; Delisting of Equity Shares; Substantial Acquisitions of Shares and Takeovers: Data for the month ending March 2024

Sr. No.	Received from	Pending as at the end of last month (February 29, 2024)	Received during the particular month (March 2024)	Resolved during the particular month (March 2024)	Total Pending during the particular month	Pending complaints > 1 month	Average Resolution time (in days)
1.	Directly from Investors	0	0	0	0	-	-
2.	SEBI (SCORES)	0	0	0	0	-	-
3.	Stock Exchanges (if relevant)	0	0	0	0	-	-
4.	Other Sources (if any)	0	0	0	0	-	-
	Grand Total	-	-	-	-	-	-

Trend of monthly disposal of complaints (For 5 months on rolling basis)

Sr. No.	Month	Carried forward from previous month	Received during the particular month	Resolved during the particular month	Pending at the end of the particular month
1.	November 2023	0	0	0	0
2.	December 2023	0	0	0	0
3.	January 2024	0	0	0	0
4.	February 2024	0	0	0	0
5.	March 2024	0	0	0	0
	Grand Total	-	-	-	-

Trend of annual (Calendar year) disposal of complaints (For 5 years on rolling basis)

Sr. No.	Year	Carried forward from previous year	Received during the particular year	Resolved during the particular year	Pending at the end of the particular year
1.	2022	0	0	0	0
2.	2023	0	0	0	0
3.	2024 (as on 31 st March)	0	0	0	0 (as on 31 st March)
4.	2025	NA	NA	NA	NA
5.	2026	NA	NA	NA	NA

Public issue of debt securities; Public issue of non-convertible redeemable preference shares; and Private placement of debt securities and non-convertible redeemable preference shares: Data for the month ending March 2024

Sr. No.	Received from	Pending as at the end of last month (February 29, 2024)	Received during the particular month (March 2024)	Resolved during the particular month (March 2024)	Total Pending during the particular month	Pending complaints > 1 month	Average Resolution time (in days)
1.	Directly from Investors	0	0	0	0	-	-
2.	SEBI (SCORES)	0	0	0	0	-	-
3.	Stock Exchanges (if relevant)	0	0	0	0	-	-
4.	Other Sources (if any)	0	0	0	0	-	-
	Grand Total	-	-	-	-	-	-

Trend of monthly disposal of complaints for the financial year:

Sr. No.	Month	Carried forward from previous month	Received during the particular month	Resolved during the particular month	Pending at the end of the particular month
1.	April 2023	0	0	0	0
2.	May 2023	0	0	0	0
3.	June 2023	0	0	0	0
4.	July 2023	0	0	0	0
5.	August 2023	0	0	0	0
6.	September 2023	0	0	0	0
7.	October 2023	0	0	0	0
8.	November 2023	0	0	0	0
9.	December 2023	0	0	0	0
10.	January 2024	0	0	0	0
11.	February 2024	0	0	0	0
12.	March 2024	0	0	0	0
	Grand Total	-	-	-	-

Trend of annual (financial year) disposal of complaints (for 3 years on rolling basis)

Sr. No.	Year	Carried forward from previous year	Received during the particular year	Resolved during the particular year	Pending at the end of the
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			year		particular year
1.	2021 - 22	0	0	0	0
2.	2022 - 23	0	0	0	0
3.	2023 - 24 (as on 31 st March)	0	0	0	0 (as on 31 st March)

Private placements of Municipal debt securities: Data for the month ending March 2024

Sr. No.	Received from	Carried forward from previous month	Received during the particular month (March 2024)	Resolved during the particular month (March 2024)	Pending at the end of month	Pending Complaints > 3 month	Average Resolution time (in days)
1.	Directly from Investors	0	0	0	0	-	-
2.	SEBI (SCORES)	0	0	0	0	-	-
3.	Stock Exchanges (if relevant)	0	0	0	0	-	-
4.	Other Sources (if any)	0	0	0	0	-	-
	Grand Total	-	-	-	-	-	-

Trend of monthly disposal of complaints for the financial year

Sr. No.	Month	Carried forward from previous month	Received during the month	Resolved during the month	Pending at the end of month
1.	April 2023	0	0	0	0
2.	May 2023	0	0	0	0
3.	June 2023	0	0	0	0
4.	July 2023	0	0	0	0
5.	August 2023	0	0	0	0
6.	September 2023	0	0	0	0
7.	October 2023	0	0	0	0
8.	November 2023	0	0	0	0
9.	December 2023	0	0	0	0
10.	January 2024	0	0	0	0
11.	February 2024	0	0	0	0
12.	March 2024	0	0	0	0
	Grand Total	-	-	-	-

Last 3 years' trend

Sr. No.	Year	Carried forward from previous year	Received during the particular year	Resolved during the particular year	Pending at the end of the particular
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					year
1.	2021 - 22	0	0	0	0
2.	2022 - 23	0	0	0	0
3.	2023 – 24 (as on 31 st March)	0	0	0	0 (as on 31 st March)

Public offer of units by REITs; and Public offer of units by InvITs: Data for the month ending March 2024

Sr. No.	Received from	Carried forward from previous month	Received during the particular month (March 2024)	Resolved during the particular month (March 2024)	Pending at the end of month	Pending Complaints > 3 month	Average Resolution time (in days)
1.	Directly from Investors	0	0	0	0	-	-
2.	SEBI (SCORES)	0	0	0	0	-	-
3.	Stock Exchanges (if relevant)	0	0	0	0	-	-
4.	Other Sources (if any)	0	0	0	0	-	-
	Grand Total	-	-	-	-	-	-

Monthly trend for the financial year

Sr. No.	Month	Carried forward from previous month	Received during the month	Resolved during the month	Pending at the end of month
1.	April 2023	0	0	0	0
2.	May 2023	0	0	0	0
3.	June 2023	0	0	0	0
4.	July 2023	0	0	0	0
5.	August 2023	0	0	0	0
6.	September 2023	0	0	0	0
7.	October 2023	0	0	0	0
8.	November 2023	0	0	0	0
9.	December 2023	0	0	0	0
10.	January 2024	0	0	0	0
11.	February 2024	0	0	0	0
12.	March 2024	0	0	0	0
	Grand Total	-	-	-	-

Last 3 years' trend

Sr. No.	Year	Carried forward from previous year	Received during the year	Resolved during the year	Pending at the end of the year
1.	2021 - 22	0	0	0	0
2.	2022 - 23	0	0	0	0
3.	2023 – 24 (as on 31 st March)	0	0	0	0 (as on 31 st March)

Private placement of units by InvITs proposed to be listed: Data for the month ending March 2024

Sr. No.	Received from	Carried forward from previous month	Received during the particular month (February 2024)	Resolved during the particular month (February 2024)	Pending at the end of month	Pending complaints > 3 month	Average Resolution time (in days)
1.	Directly from Investors	0	0	0	0	-	-
2.	SEBI (SCORES)	0	0	0	0	-	-
3.	Stock Exchanges (if relevant)	0	0	0	0	-	-
4.	Other Sources (if any)	0	0	0	0	-	-
	Grand Total	-	-	-	-	-	-

Monthly trend for the financial year

Sr. No.	Month	Carried forward from previous month	Received during the month	Resolved during the month	Pending at the end of month
1.	April 2023	0	0	0	0
2.	May 2023	0	0	0	0
3.	June 2023	0	0	0	0
4.	July 2023	0	0	0	0
5.	August 2023	0	0	0	0

6.	September 2023	0	0	0	0
7.	October 2023	0	0	0	0
8.	November 2023	0	0	0	0
9.	December 2023	0	0	0	0
10.	January 2024	0	0	0	0
11.	February 2024	0	0	0	0
12.	March 2024	0	0	0	0
	Grand Total	-	-	-	-

Last 3 years' trend

Sr. No.	Year	Carried forward from previous year	Received during the year	Resolved during the year	Pending at the end of the year
1.	2021 - 22	0	0	0	0
2.	2022 - 23	0	0	0	0
3.	2023 – 24 (as on 31 st March)	0	0	0	0 (as on 31 st March)