

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

Data for the month ending – May 2022

Sr. No.	Received from	Carried forward from previous month	Received during the month	Total Pending	Resolved	Pending at the end of the month		Average Resolution time (in days)
						Pending for less than 3 months	Pending for more than 3 months	
1.	Directly from Investors	Nil	Nil	Nil	Nil	N.A	N.A	N.A
2.	SEBI (SCORES)	N.A	N.A	N.A	N.A	N.A	N.A	N.A
3.	Stock Exchanges	Nil	Nil	Nil	Nil	N.A	N.A	N.A
4.	Other Sources (if any)	Nil	Nil	Nil	Nil	N.A	N.A	N.A
	Grand Total	Nil	Nil	Nil	Nil	-	-	-

Trend of monthly disposal of complaints

Sr. No.	Month	Carried forward from previous month	Received	Resolved	Pending
1.	May 2022	Nil	Nil	Nil	Nil
	Grand Total	Nil	Nil	Nil	Nil

Trend of annual disposal of complaints

Sr. No.	Year	Carried forward from previous year	Received during the year	Resolved during the year	Pending at the end of the year
1.	2017-18	Nil	Nil	Nil	Nil
2.	2018-19	Nil	Nil	Nil	Nil
3.	2019-20	Nil	Nil	Nil	Nil
4.	2020-21	Nil	Nil	Nil	Nil
5.	2021-22	Nil	Nil	Nil	Nil
6.	2022-23	Nil	Nil	Nil	Nil
	Grand Total	Nil	Nil	Nil	Nil

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

Data for the month ending – April 2022

Sr. No.	Received from	Carried forward from previous month	Received during the month	Total Pending	Resolved	Pending at the end of the month		Average Resolution time (in days)
						Pending for less than 3 months	Pending for more than 3 months	
1.	Directly from Investors	Nil	Nil	Nil	Nil	N.A	N.A	N.A
2.	SEBI (SCORES)	N.A	N.A	N.A	N.A	N.A	N.A	N.A
3.	Stock Exchanges	Nil	Nil	Nil	Nil	N.A	N.A	N.A
4.	Other Sources (if any)	Nil	Nil	Nil	Nil	N.A	N.A	N.A
	Grand Total	Nil	Nil	Nil	Nil	-	-	-

Trend of monthly disposal of complaints

Sr. No.	Month	Carried forward from previous month	Received	Resolved	Pending
1.	April 2022	Nil	Nil	Nil	Nil
	Grand Total	Nil	Nil	Nil	Nil

Trend of annual disposal of complaints

Sr. No.	Year	Carried forward from previous year	Received during the year	Resolved during the year	Pending at the end of the year
1.	2017-18	Nil	Nil	Nil	Nil
2.	2018-19	Nil	Nil	Nil	Nil
3.	2019-20	Nil	Nil	Nil	Nil
4.	2020-21	Nil	Nil	Nil	Nil
5.	2021-22	Nil	Nil	Nil	Nil
6.	2022-23	Nil	Nil	Nil	Nil
	Grand Total	Nil	Nil	Nil	Nil

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

Data for the month ending – March 2022

Sr. No.	Received from	Carried forward from previous month	Received during the month	Total Pending	Resolved	Pending at the end of the month		Average Resolution time (in days)
						Pending for less than 3 months	Pending for more than 3 months	
1.	Directly from Investors	Nil	Nil	Nil	Nil	N.A	N.A	N.A
2.	SEBI (SCORES)	N.A	N.A	N.A	N.A	N.A	N.A	N.A
3.	Stock Exchanges	Nil	Nil	Nil	Nil	N.A	N.A	N.A
4.	Other Sources (if any)	Nil	Nil	Nil	Nil	N.A	N.A	N.A
	Grand Total	Nil	Nil	Nil	Nil	-	-	-

Trend of monthly disposal of complaints

Sr. No.	Month	Carried forward from previous month	Received	Resolved	Pending
1.	March 2022	Nil	Nil	Nil	Nil
	Grand Total	Nil	Nil	Nil	Nil

Trend of annual disposal of complaints

Sr. No.	Year	Carried forward from previous year	Received during the year	Resolved during the year	Pending at the end of the year
1.	2017-18	Nil	Nil	Nil	Nil
2.	2018-19	Nil	Nil	Nil	Nil
3.	2019-20	Nil	Nil	Nil	Nil
4.	2020-21	Nil	Nil	Nil	Nil
5.	2021-22	Nil	Nil	Nil	Nil
	Grand Total	Nil	Nil	Nil	Nil

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

Data for the month ending – February 2022

Sr. No.	Received from	Carried forward from previous month	Received during the month	Total Pending	Resolved	Pending at the end of the month		Average Resolution time (in days)
						Pending for less than 3 months	Pending for more than 3 months	
1.	Directly from Investors	Nil	Nil	Nil	Nil	N.A	N.A	N.A
2.	SEBI (SCORES)	N.A	N.A	N.A	N.A	N.A	N.A	N.A
3.	Stock Exchanges	Nil	Nil	Nil	Nil	N.A	N.A	N.A
4.	Other Sources (if any)	Nil	Nil	Nil	Nil	N.A	N.A	N.A
	Grand Total	Nil	Nil	Nil	Nil	-	-	-

Trend of monthly disposal of complaints

Sr. No.	Month	Carried forward from previous month	Received	Resolved	Pending
1.	February 2022	Nil	Nil	Nil	Nil
	Grand Total	Nil	Nil	Nil	Nil

Trend of annual disposal of complaints

Sr. No.	Year	Carried forward from previous year	Received during the year	Resolved during the year	Pending at the end of the year
1.	2017-18	Nil	Nil	Nil	Nil
2.	2018-19	Nil	Nil	Nil	Nil
3.	2019-20	Nil	Nil	Nil	Nil
4.	2020-21	Nil	Nil	Nil	Nil
5.	2021-22	Nil	Nil	Nil	Nil
	Grand Total	Nil	Nil	Nil	Nil

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

Data for the month ending – January 2022

Sr. No.	Received from	Carried forward from previous month	Received during the month	Total Pending	Resolved	Pending at the end of the month		Average Resolution time (in days)
						Pending for less than 3 months	Pending for more than 3 months	
1.	Directly from Investors	Nil	Nil	Nil	Nil	N.A	N.A	N.A
2.	SEBI (SCORES)	N.A	N.A	N.A	N.A	N.A	N.A	N.A
3.	Stock Exchanges	Nil	Nil	Nil	Nil	N.A	N.A	N.A
4.	Other Sources (if any)	Nil	Nil	Nil	Nil	N.A	N.A	N.A
	Grand Total	Nil	Nil	Nil	Nil	-	-	-

Trend of monthly disposal of complaints

Sr. No.	Month	Carried forward from previous month	Received	Resolved	Pending
1.	January 2022	Nil	Nil	Nil	Nil
	Grand Total	Nil	Nil	Nil	Nil

Trend of annual disposal of complaints

Sr. No.	Year	Carried forward from previous year	Received during the year	Resolved during the year	Pending at the end of the year
1.	2017-18	Nil	Nil	Nil	Nil
2.	2018-19	Nil	Nil	Nil	Nil
3.	2019-20	Nil	Nil	Nil	Nil
4.	2020-21	Nil	Nil	Nil	Nil
5.	2021-22	Nil	Nil	Nil	Nil
	Grand Total	Nil	Nil	Nil	Nil

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

Data for the month ending – December 2021

Sr. No.	Received from	Carried forward from previous month	Received during the month	Total Pending	Resolved	Pending at the end of the month		Average Resolution time (in days)
						Pending for less than 3 months	Pending for more than 3 months	
1.	Directly from Investors	Nil	Nil	Nil	Nil	N.A	N.A	N.A
2.	SEBI (SCORES)	N.A	N.A	N.A	N.A	N.A	N.A	N.A
3.	Stock Exchanges	Nil	Nil	Nil	Nil	N.A	N.A	N.A
4.	Other Sources (if any)	Nil	Nil	Nil	Nil	N.A	N.A	N.A
	Grand Total	Nil	Nil	Nil	Nil	-	-	-

Trend of monthly disposal of complaints

Sr. No.	Month	Carried forward from previous month	Received	Resolved	Pending
1.	December 2021	Nil	Nil	Nil	Nil
	Grand Total	Nil	Nil	Nil	Nil

Trend of annual disposal of complaints

Sr. No.	Year	Carried forward from previous year	Received during the year	Resolved during the year	Pending at the end of the year
1.	2017-18	Nil	Nil	Nil	Nil
2.	2018-19	Nil	Nil	Nil	Nil
3.	2019-20	Nil	Nil	Nil	Nil
4.	2020-21	Nil	Nil	Nil	Nil
5.	2021-22	Nil	Nil	Nil	Nil
	Grand Total	Nil	Nil	Nil	Nil