

Data for the month ending – March 2026

Sr. No.	Received from	Pending at the end of last month	Received	Resolved	Total Pending	Pending complaints > 3months	Average Resolution time (in days)
1.	Directly from Investors	Nil	Nil	Nil	Nil	NA	NA
2.	SEBI (SCORES)	Nil	Nil	Nil	Nil	NA	NA
3.	Other Sources (if any)	Nil	Nil	Nil	Nil	NA	NA
	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 2025	Nil	Nil	Nil	Nil
2.	May 2025	Nil	Nil	Nil	Nil
3.	June 2025	Nil	Nil	Nil	Nil
4.	July 2025	Nil	Nil	Nil	Nil
5.	August 2025	Nil	Nil	Nil	Nil
6.	September 2025	Nil	Nil	Nil	Nil
7.	October 2025	Nil	Nil	Nil	Nil
8.	November 2025	Nil	Nil	Nil	Nil
9.	December 2025	Nil	Nil	Nil	Nil
10.	January 2026	Nil	Nil	Nil	Nil
11.	February 2026	Nil	Nil	Nil	Nil
12.	March 2026	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	Resolved	Pending
1.	2019-20	Nil	Nil	Nil	Nil
2.	2020-21	Nil	Nil	Nil	Nil
3.	2021-22	Nil	Nil	Nil	Nil
4.	2022-23	Nil	Nil	Nil	Nil
5.	2023-24	Nil	Nil	Nil	Nil
6.	2024-25	Nil	Nil	Nil	Nil
7.	2025-26 (As on 31 st March 2026)	Nil	Nil	Nil	Nil
	Grand Total	Nil	Nil	Nil	Nil

Data for the month ending – February 2026

Sr. No.	Received from	Pending at the end of last month	Received	Resolved	Total Pending	Pending complaints > 3months	Average Resolution time (in days)
1.	Directly from Investors	Nil	Nil	Nil	Nil	NA	NA
2.	SEBI (SCORES)	Nil	Nil	Nil	Nil	NA	NA
3.	Other Sources (if any)	Nil	Nil	Nil	Nil	NA	NA
	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 2025	Nil	Nil	Nil	Nil
2.	May 2025	Nil	Nil	Nil	Nil
3.	June 2025	Nil	Nil	Nil	Nil
4.	July 2025	Nil	Nil	Nil	Nil
5.	August 2025	Nil	Nil	Nil	Nil
6.	September 2025	Nil	Nil	Nil	Nil
7.	October 2025	Nil	Nil	Nil	Nil
8.	November 2025	Nil	Nil	Nil	Nil
9.	December 2025	Nil	Nil	Nil	Nil
10.	January 2026	Nil	Nil	Nil	Nil
11.	February 2026	Nil	Nil	Nil	Nil
12.	March 2026	-	-	-	-
	Grand Total	Nil	Nil	Nil	Nil

Trend of annual disposal of complaints

Sr. No.	Year	Carried forward from previous year	Received	Resolved	Pending
1.	2019-20	Nil	Nil	Nil	Nil
2.	2020-21	Nil	Nil	Nil	Nil
3.	2021-22	Nil	Nil	Nil	Nil
4.	2022-23	Nil	Nil	Nil	Nil
5.	2023-24	Nil	Nil	Nil	Nil
6.	2024-25	Nil	Nil	Nil	Nil
7.	2025-26 (As on 28 th February 2026)	Nil	Nil	Nil	Nil
	Grand Total	Nil	Nil	Nil	Nil

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

Data for the month ending – January 2026

Sr. No.	Received from	Pending at the end of last month	Received	Resolved	Total Pending	Pending complaints > 3months	Average Resolution time (in days)
1.	Directly from Investors	Nil	Nil	Nil	Nil	NA	NA
2.	SEBI (SCORES)	Nil	Nil	Nil	Nil	NA	NA
3.	Other Sources (if any)	Nil	Nil	Nil	Nil	NA	NA
	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 2025	Nil	Nil	Nil	Nil
2.	May 2025	Nil	Nil	Nil	Nil
3.	June 2025	Nil	Nil	Nil	Nil
4.	July 2025	Nil	Nil	Nil	Nil
5.	August 2025	Nil	Nil	Nil	Nil
6.	September 2025	Nil	Nil	Nil	Nil
7.	October 2025	Nil	Nil	Nil	Nil
8.	November 2025	Nil	Nil	Nil	Nil
9.	December 2025	Nil	Nil	Nil	Nil
10.	January 2026	Nil	Nil	Nil	Nil
11.	February 2026	-	-	-	-
12.	March 2026	-	-	-	-
	Grand Total	Nil	Nil	Nil	Nil

Trend of annual disposal of complaints

Sr. No.	Year	Carried forward from previous year	Received	Resolved	Pending
1.	2019-20	Nil	Nil	Nil	Nil
2.	2020-21	Nil	Nil	Nil	Nil
3.	2021-22	Nil	Nil	Nil	Nil
4.	2022-23	Nil	Nil	Nil	Nil
5.	2023-24	Nil	Nil	Nil	Nil
6.	2024-25	Nil	Nil	Nil	Nil
7.	2025-26 (As on 31 st January 2026)	Nil	Nil	Nil	Nil
	Grand Total	Nil	Nil	Nil	Nil

Data for the month ending – December 2025

Sr. No.	Received from	Pending at the end of last month	Received	Resolved	Total Pending	Pending complaints > 3months	Average Resolution time (in days)
1.	Directly from Investors	Nil	Nil	Nil	Nil	NA	NA
2.	SEBI (SCORES)	Nil	Nil	Nil	Nil	NA	NA
3.	Other Sources (if any)	Nil	Nil	Nil	Nil	NA	NA
	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 2025	Nil	Nil	Nil	Nil
2.	May 2025	Nil	Nil	Nil	Nil
3.	June 2025	Nil	Nil	Nil	Nil
4.	July 2025	Nil	Nil	Nil	Nil
5.	August 2025	Nil	Nil	Nil	Nil
6.	September 2025	Nil	Nil	Nil	Nil
7.	October 2025	Nil	Nil	Nil	Nil
8.	November 2025	Nil	Nil	Nil	Nil
9.	December 2025	Nil	Nil	Nil	Nil
10.	January 2026	-	-	-	-
11.	February 2026	-	-	-	-
12.	March 2026	-	-	-	-
	Grand Total	Nil	Nil	Nil	Nil

Trend of annual disposal of complaints

Sr. No.	Year	Carried forward from previous year	Received	Resolved	Pending
1.	2019-20	Nil	Nil	Nil	Nil
2.	2020-21	Nil	Nil	Nil	Nil
3.	2021-22	Nil	Nil	Nil	Nil
4.	2022-23	Nil	Nil	Nil	Nil
5.	2023-24	Nil	Nil	Nil	Nil
6.	2024-25	Nil	Nil	Nil	Nil
7.	2025-26 (As on 31 st December 2025)	Nil	Nil	Nil	Nil
	Grand Total	Nil	Nil	Nil	Nil

Data for the month ending – November 2025

Sr. No.	Received from	Pending at the end of last month	Received	Resolved	Total Pending	Pending complaints > 3months	Average Resolution time (in days)
1.	Directly from Investors	Nil	Nil	Nil	Nil	NA	NA
2.	SEBI (SCORES)	Nil	Nil	Nil	Nil	NA	NA
3.	Other Sources (if any)	Nil	Nil	Nil	Nil	NA	NA
	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 2025	Nil	Nil	Nil	Nil
2.	May 2025	Nil	Nil	Nil	Nil
3.	June 2025	Nil	Nil	Nil	Nil
4.	July 2025	Nil	Nil	Nil	Nil
5.	August 2025	Nil	Nil	Nil	Nil
6.	September 2025	Nil	Nil	Nil	Nil
7.	October 2025	Nil	Nil	Nil	Nil
8.	November 2025	Nil	Nil	Nil	Nil
9.	December 2025	-	-	-	-
10.	January 2026	-	-	-	-
11.	February 2026	-	-	-	-
12.	March 2026	-	-	-	-
	Grand Total	Nil	Nil	Nil	Nil

Trend of annual disposal of complaints

Sr. No.	Year	Carried forward from previous year	Received	Resolved	Pending
1.	2019-20	Nil	Nil	Nil	Nil
2.	2020-21	Nil	Nil	Nil	Nil
3.	2021-22	Nil	Nil	Nil	Nil
4.	2022-23	Nil	Nil	Nil	Nil
5.	2023-24	Nil	Nil	Nil	Nil
6.	2024-25	Nil	Nil	Nil	Nil
7.	2025-26 (As on 30 th November 2025)	Nil	Nil	Nil	Nil
	Grand Total	Nil	Nil	Nil	Nil

Data for the month ending – October 2025

Sr. No.	Received from	Pending at the end of last month	Received	Resolved	Total Pending	Pending complaints > 3months	Average Resolution time (in days)
1.	Directly from Investors	Nil	Nil	Nil	Nil	NA	NA
2.	SEBI (SCORES)	Nil	Nil	Nil	Nil	NA	NA
3.	Other Sources (if any)	Nil	Nil	Nil	Nil	NA	NA
	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 2025	Nil	Nil	Nil	Nil
2.	May 2025	Nil	Nil	Nil	Nil
3.	June 2025	Nil	Nil	Nil	Nil
4.	July 2025	Nil	Nil	Nil	Nil
5.	August 2025	Nil	Nil	Nil	Nil
6.	September 2025	Nil	Nil	Nil	Nil
7.	October 2025	Nil	Nil	Nil	Nil
8.	November 2025	-	-	-	-
9.	December 2025	-	-	-	-
10.	January 2026	-	-	-	-
11.	February 2026	-	-	-	-
12.	March 2026	-	-	-	-
	Grand Total	Nil	Nil	Nil	Nil

Trend of annual disposal of complaints

Sr. No.	Year	Carried forward from previous year	Received	Resolved	Pending
1.	2019-20	Nil	Nil	Nil	Nil
2.	2020-21	Nil	Nil	Nil	Nil
3.	2021-22	Nil	Nil	Nil	Nil
4.	2022-23	Nil	Nil	Nil	Nil
5.	2023-24	Nil	Nil	Nil	Nil
6.	2024-25	Nil	Nil	Nil	Nil
7.	2025-26 (As on 31 st October 2025)	Nil	Nil	Nil	Nil
	Grand Total	Nil	Nil	Nil	Nil

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

Data for the month ending – September 2025

Sr. No.	Received from	Pending at the end of last month	Received	Resolved	Total Pending	Pending complaints > 3months	Average Resolution time (in days)
1.	Directly from Investors	Nil	Nil	Nil	Nil	NA	NA
2.	SEBI (SCORES)	Nil	Nil	Nil	Nil	NA	NA
3.	Other Sources (if any)	Nil	Nil	Nil	Nil	NA	NA
	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 2025	Nil	Nil	Nil	Nil
2.	May 2025	Nil	Nil	Nil	Nil
3.	June 2025	Nil	Nil	Nil	Nil
4.	July 2025	Nil	Nil	Nil	Nil
5.	August 2025	Nil	Nil	Nil	Nil
6.	September 2025	Nil	Nil	Nil	Nil
7.	October 2025	-	-	-	-
8.	November 2025	-	-	-	-
9.	December 2025	-	-	-	-
10.	January 2026	-	-	-	-
11.	February 2026	-	-	-	-
12.	March 2026	-	-	-	-
	Grand Total	Nil	Nil	Nil	Nil

Trend of annual disposal of complaints

Sr. No.	Year	Carried forward from previous year	Received	Resolved	Pending
1.	2019-20	Nil	Nil	Nil	Nil
2.	2020-21	Nil	Nil	Nil	Nil
3.	2021-22	Nil	Nil	Nil	Nil
4.	2022-23	Nil	Nil	Nil	Nil
5.	2023-24	Nil	Nil	Nil	Nil
6.	2024-25	Nil	Nil	Nil	Nil
7.	2025-26 (As on 30 th September 2025)	Nil	Nil	Nil	Nil
	Grand Total	Nil	Nil	Nil	Nil

Data for the month ending – August 2025

Sr. No.	Received from	Pending at the end of last month	Received	Resolved	Total Pending	Pending complaints > 3months	Average Resolution time (in days)
1.	Directly from Investors	Nil	Nil	Nil	Nil	NA	NA
2.	SEBI (SCORES)	Nil	Nil	Nil	Nil	NA	NA
3.	Other Sources (if any)	Nil	Nil	Nil	Nil	NA	NA
	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 2025	Nil	Nil	Nil	Nil
2.	May 2025	Nil	Nil	Nil	Nil
3.	June 2025	Nil	Nil	Nil	Nil
4.	July 2025	Nil	Nil	Nil	Nil
5.	August 2025	Nil	Nil	Nil	Nil
6.	September 2025	-	-	-	-
7.	October 2025	-	-	-	-
8.	November 2025	-	-	-	-
9.	December 2025	-	-	-	-
10.	January 2026	-	-	-	-
11.	February 2026	-	-	-	-
12.	March 2026	-	-	-	-
	Grand Total	Nil	Nil	Nil	Nil

Trend of annual disposal of complaints

Sr. No.	Year	Carried forward from previous year	Received	Resolved	Pending
1.	2019-20	Nil	Nil	Nil	Nil
2.	2020-21	Nil	Nil	Nil	Nil
3.	2021-22	Nil	Nil	Nil	Nil
4.	2022-23	Nil	Nil	Nil	Nil
5.	2023-24	Nil	Nil	Nil	Nil
6.	2024-25	Nil	Nil	Nil	Nil
7.	2025-26 (As on 31 st August 2025)	Nil	Nil	Nil	Nil
	Grand Total	Nil	Nil	Nil	Nil

Data for the month ending – July 2025

Sr. No.	Received from	Pending at the end of last month	Received	Resolved	Total Pending	Pending complaints > 3months	Average Resolution time (in days)
1.	Directly from Investors	Nil	Nil	Nil	Nil	NA	NA
2.	SEBI (SCORES)	Nil	Nil	Nil	Nil	NA	NA
3.	Other Sources (if any)	Nil	Nil	Nil	Nil	NA	NA
	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 2025	Nil	Nil	Nil	Nil
2.	May 2025	Nil	Nil	Nil	Nil
3.	June 2025	Nil	Nil	Nil	Nil
4.	July 2025	Nil	Nil	Nil	Nil
5.	August 2025	-	-	-	-
6.	September 2025	-	-	-	-
7.	October 2025	-	-	-	-
8.	November 2025	-	-	-	-
9.	December 2025	-	-	-	-
10.	January 2026	-	-	-	-
11.	February 2026	-	-	-	-
12.	March 2026	-	-	-	-
	Grand Total	Nil	Nil	Nil	Nil

Trend of annual disposal of complaints

Sr. No.	Year	Carried forward from previous year	Received	Resolved	Pending
1.	2019-20	Nil	Nil	Nil	Nil
2.	2020-21	Nil	Nil	Nil	Nil
3.	2021-22	Nil	Nil	Nil	Nil
4.	2022-23	Nil	Nil	Nil	Nil
5.	2023-24	Nil	Nil	Nil	Nil
6.	2024-25	Nil	Nil	Nil	Nil
7.	2025-26 (As on 31 July 2025)	Nil	Nil	Nil	Nil
	Grand Total	Nil	Nil	Nil	Nil

Data for the month ending – June 2025

Sr. No.	Received from	Pending at the end of last month	Received	Resolved	Total Pending	Pending complaints > 3months	Average Resolution time (in days)
1.	Directly from Investors	Nil	Nil	Nil	Nil	NA	NA
2.	SEBI (SCORES)	Nil	Nil	Nil	Nil	NA	NA
3.	Other Sources (if any)	Nil	Nil	Nil	Nil	NA	NA
	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 2025	Nil	Nil	Nil	Nil
2.	May 2025	Nil	Nil	Nil	Nil
3.	June 2025	Nil	Nil	Nil	Nil
4.	July 2025	-	-	-	-
5.	August 2025	-	-	-	-
6.	September 2025	-	-	-	-
7.	October 2025	-	-	-	-
8.	November 2025	-	-	-	-
9.	December 2025	-	-	-	-
10.	January 2026	-	-	-	-
11.	February 2026	-	-	-	-
12.	March 2026	-	-	-	-
	Grand Total	Nil	Nil	Nil	Nil

Trend of annual disposal of complaints

Sr. No.	Year	Carried forward from previous year	Received	Resolved	Pending
1.	2019-20	Nil	Nil	Nil	Nil
2.	2020-21	Nil	Nil	Nil	Nil
3.	2021-22	Nil	Nil	Nil	Nil
4.	2022-23	Nil	Nil	Nil	Nil
5.	2023-24	Nil	Nil	Nil	Nil
6.	2024-25	Nil	Nil	Nil	Nil
7.	2025-26 (As on 30 June 2025)	Nil	Nil	Nil	Nil
	Grand Total	Nil	Nil	Nil	Nil

Data for the month ending – May 2025

Sr. No.	Received from	Pending at the end of last month	Received	Resolved	Total Pending	Pending complaints > 3months	Average Resolution time (in days)
1.	Directly from Investors	Nil	Nil	Nil	Nil	NA	NA
2.	SEBI (SCORES)	Nil	Nil	Nil	Nil	NA	NA
3.	Other Sources (if any)	Nil	Nil	Nil	Nil	NA	NA
	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 2025	Nil	Nil	Nil	Nil
2.	May 2025	Nil	Nil	Nil	Nil
3.	June 2025	-	-	-	-
4.	July 2025	-	-	-	-
5.	August 2025	-	-	-	-
6.	September 2025	-	-	-	-
7.	October 2025	-	-	-	-
8.	November 2025	-	-	-	-
9.	December 2025	-	-	-	-
10.	January 2026	-	-	-	-
11.	February 2026	-	-	-	-
12.	March 2026	-	-	-	-
	Grand Total	Nil	Nil	Nil	Nil

Trend of annual disposal of complaints

Sr. No.	Year	Carried forward from previous year	Received	Resolved	Pending
1.	2019-20	Nil	Nil	Nil	Nil
2.	2020-21	Nil	Nil	Nil	Nil
3.	2021-22	Nil	Nil	Nil	Nil
4.	2022-23	Nil	Nil	Nil	Nil
5.	2023-24	Nil	Nil	Nil	Nil
6.	2024-25	Nil	Nil	Nil	Nil
7.	2025-26 (As on 31 st May 2025)	Nil	Nil	Nil	Nil
	Grand Total	Nil	Nil	Nil	Nil

Data for the month ending – April 2025

Sr. No.	Received from	Pending at the end of last month	Received	Resolved	Total Pending	Pending complaints > 3months	Average Resolution time (in days)
1.	Directly from Investors	Nil	Nil	Nil	Nil	NA	NA
2.	SEBI (SCORES)	Nil	Nil	Nil	Nil	NA	NA
3.	Other Sources (if any)	Nil	Nil	Nil	Nil	NA	NA
	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 2025	Nil	Nil	Nil	Nil
2.	May 2025	-	-	-	-
3.	June 2025	-	-	-	-
4.	July 2025	-	-	-	-
5.	August 2025	-	-	-	-
6.	September 2025	-	-	-	-
7.	October 2025	-	-	-	-
8.	November 2025	-	-	-	-
9.	December 2025	-	-	-	-
10.	January 2026	-	-	-	-
11.	February 2026	-	-	-	-
12.	March 2026	-	-	-	-
	Grand Total	Nil	Nil	Nil	Nil

Trend of annual disposal of complaints

Sr. No.	Year	Carried forward from previous year	Received	Resolved	Pending
1.	2019-20	Nil	Nil	Nil	Nil
2.	2020-21	Nil	Nil	Nil	Nil
3.	2021-22	Nil	Nil	Nil	Nil
4.	2022-23	Nil	Nil	Nil	Nil
5.	2023-24	Nil	Nil	Nil	Nil
6.	2024-25	Nil	Nil	Nil	Nil
7.	2025-26 (As on 30 th April 2025)	Nil	Nil	Nil	Nil
	Grand Total	Nil	Nil	Nil	Nil

Data for the month ending – March 2025

Sr. No.	Received from	Pending at the end of last month	Received	Resolved	Total Pending	Pending complaints > 3months	Average Resolution time (in days)
1.	Directly from Investors	Nil	Nil	Nil	Nil	NA	NA
2.	SEBI (SCORES)	Nil	Nil	Nil	Nil	NA	NA
3.	Other Sources (if any)	Nil	Nil	Nil	Nil	NA	NA
	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 2024	Nil	Nil	Nil	Nil
2.	May 2024	Nil	Nil	Nil	Nil
3.	June 2024	Nil	Nil	Nil	Nil
4.	July 2024	Nil	Nil	Nil	Nil
5.	August 2024	Nil	Nil	Nil	Nil
6.	September 2024	Nil	Nil	Nil	Nil
7.	October 2024	Nil	Nil	Nil	Nil
8.	November 2024	Nil	Nil	Nil	Nil
9.	December 2024	Nil	Nil	Nil	Nil
10.	January 2025	Nil	Nil	Nil	Nil
11.	February 2025	Nil	Nil	Nil	Nil
12.	March 2025	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	Resolved	Pending
1.	2018-19	Nil	Nil	Nil	Nil
2.	2019-20	Nil	Nil	Nil	Nil
3.	2020-21	Nil	Nil	Nil	Nil
4.	2021-22	Nil	Nil	Nil	Nil
5.	2022-23	Nil	Nil	Nil	Nil
6.	2023-24	Nil	Nil	Nil	Nil
7.	2024-25(as on 31 st March)	Nil	Nil	Nil	Nil (as on 31 st March)
	Grand Total	Nil	Nil	Nil	Nil

Data for the month ending – February 2025

Sr. No.	Received from	Pending at the end of last month	Received	Resolved	Total Pending	Pending complaints > 3months	Average Resolution time (in days)
1.	Directly from Investors	Nil	Nil	Nil	Nil	NA	NA
2.	SEBI (SCORES)	Nil	Nil	Nil	Nil	NA	NA
3.	Other Sources (if any)	Nil	Nil	Nil	Nil	NA	NA
	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 2024	Nil	Nil	Nil	Nil
2.	May 2024	Nil	Nil	Nil	Nil
3.	June 2024	Nil	Nil	Nil	Nil
4.	July 2024	Nil	Nil	Nil	Nil
5.	August 2024	Nil	Nil	Nil	Nil
6.	September 2024	Nil	Nil	Nil	Nil
7.	October 2024	Nil	Nil	Nil	Nil
8.	November 2024	Nil	Nil	Nil	Nil
9.	December 2024	Nil	Nil	Nil	Nil
10.	January 2025	Nil	Nil	Nil	Nil
11.	February 2025	Nil	Nil	Nil	Nil
12.	March 2025	-	-	-	-
	Grand Total	Nil	Nil	Nil	Nil

Trend of annual disposal of complaints

Sr. No.	Year	Carried forward from previous year	Received	Resolved	Pending
1.	2018-19	Nil	Nil	Nil	Nil
2.	2019-20	Nil	Nil	Nil	Nil
3.	2020-21	Nil	Nil	Nil	Nil
4.	2021-22	Nil	Nil	Nil	Nil
5.	2022-23	Nil	Nil	Nil	Nil
6.	2023-24	Nil	Nil	Nil	Nil
7.	2024-25(as on 28 th February)	Nil	Nil	Nil	Nil (as on 28 th February)
	Grand Total	Nil	Nil	Nil	Nil

Data for the month ending – January 2025

Sr. No.	Received from	Pending at the end of last month	Received	Resolved	Total Pending	Pending complaints > 3months	Average Resolution time (in days)
1.	Directly from Investors	Nil	Nil	Nil	Nil	NA	NA
2.	SEBI (SCORES)	Nil	Nil	Nil	Nil	NA	NA
3.	Other Sources (if any)	Nil	Nil	Nil	Nil	NA	NA
	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 2024	Nil	Nil	Nil	Nil
2.	May 2024	Nil	Nil	Nil	Nil
3.	June 2024	Nil	Nil	Nil	Nil
4.	July 2024	Nil	Nil	Nil	Nil
5.	August 2024	Nil	Nil	Nil	Nil
6.	September 2024	Nil	Nil	Nil	Nil
7.	October 2024	Nil	Nil	Nil	Nil
8.	November 2024	Nil	Nil	Nil	Nil
9.	December 2024	Nil	Nil	Nil	Nil
10.	January 2025	Nil	Nil	Nil	Nil
11.	February 2025	-	-	-	-
12.	March 2025	-	-	-	-
	Grand Total	Nil	Nil	Nil	Nil

Trend of annual disposal of complaints

Sr. No.	Year	Carried forward from previous year	Received	Resolved	Pending
1.	2018-19	Nil	Nil	Nil	Nil
2.	2019-20	Nil	Nil	Nil	Nil
3.	2020-21	Nil	Nil	Nil	Nil
4.	2021-22	Nil	Nil	Nil	Nil
5.	2022-23	Nil	Nil	Nil	Nil
6.	2023-24	Nil	Nil	Nil	Nil
7.	2024-25(as on 31 st January)	Nil	Nil	Nil	Nil (as on 31 st January)
	Grand Total	Nil	Nil	Nil	Nil

Data for the month ending – December 2024

Sr. No.	Received from	Pending at the end of last month	Received	Resolved	Total Pending	Pending complaints > 3months	Average Resolution time (in days)
1.	Directly from Investors	Nil	Nil	Nil	Nil	NA	NA
2.	SEBI (SCORES)	Nil	Nil	Nil	Nil	NA	NA
3.	Other Sources (if any)	Nil	Nil	Nil	Nil	NA	NA
	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 2024	Nil	Nil	Nil	Nil
2.	May 2024	Nil	Nil	Nil	Nil
3.	June 2024	Nil	Nil	Nil	Nil
4.	July 2024	Nil	Nil	Nil	Nil
5.	August 2024	Nil	Nil	Nil	Nil
6.	September 2024	Nil	Nil	Nil	Nil
7.	October 2024	Nil	Nil	Nil	Nil
8.	November 2024	Nil	Nil	Nil	Nil
9.	December 2024	Nil	Nil	Nil	Nil
10.	January 2025	-	-	-	-
11.	February 2025	-	-	-	-
12.	March 2025	-	-	-	-
	Grand Total	Nil	Nil	Nil	Nil

Trend of annual disposal of complaints

Sr. No.	Year	Carried forward from previous year	Received	Resolved	Pending
1.	2018-19	Nil	Nil	Nil	Nil
2.	2019-20	Nil	Nil	Nil	Nil
3.	2020-21	Nil	Nil	Nil	Nil
4.	2021-22	Nil	Nil	Nil	Nil
5.	2022-23	Nil	Nil	Nil	Nil
6.	2023-24	Nil	Nil	Nil	Nil
7.	2024-25(as on 31 st December)	Nil	Nil	Nil	Nil (as on 31 st December)
	Grand Total	Nil	Nil	Nil	Nil

Data for the month ending – November 2024

Sr. No.	Received from	Pending at the end of last month	Received	Resolved	Total Pending	Pending complaints > 3months	Average Resolution time (in days)
1.	Directly from Investors	Nil	Nil	Nil	Nil	NA	NA
2.	SEBI (SCORES)	Nil	Nil	Nil	Nil	NA	NA
3.	Other Sources (if any)	Nil	Nil	Nil	Nil	NA	NA
	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 2024	Nil	Nil	Nil	Nil
2.	May 2024	Nil	Nil	Nil	Nil
3.	June 2024	Nil	Nil	Nil	Nil
4.	July 2024	Nil	Nil	Nil	Nil
5.	August 2024	Nil	Nil	Nil	Nil
6.	September 2024	Nil	Nil	Nil	Nil
7.	October 2024	Nil	Nil	Nil	Nil
8.	November 2024	Nil	Nil	Nil	Nil
9.	December 2024	-	-	-	-
10.	January 2025	-	-	-	-
11.	February 2025	-	-	-	-
12.	March 2025	-	-	-	-
	Grand Total	Nil	Nil	Nil	Nil

Trend of annual disposal of complaints

Sr. No.	Year	Carried forward from previous year	Received	Resolved	Pending
1.	2018-19	Nil	Nil	Nil	Nil
2.	2019-20	Nil	Nil	Nil	Nil
3.	2020-21	Nil	Nil	Nil	Nil
4.	2021-22	Nil	Nil	Nil	Nil
5.	2022-23	Nil	Nil	Nil	Nil
6.	2023-24	Nil	Nil	Nil	Nil
7.	2024-25(as on 30 th November)	Nil	Nil	Nil	Nil (as on 30 th November)
	Grand Total	Nil	Nil	Nil	Nil

Data for the month ending – October 2024

Sr. No.	Received from	Pending at the end of last month	Received	Resolved	Total Pending	Pending complaints > 3months	Average Resolution time (in days)
1.	Directly from Investors	Nil	Nil	Nil	Nil	NA	NA
2.	SEBI (SCORES)	Nil	Nil	Nil	Nil	NA	NA
3.	Other Sources (if any)	Nil	Nil	Nil	Nil	NA	NA
	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 2024	Nil	Nil	Nil	Nil
2.	May 2024	Nil	Nil	Nil	Nil
3.	June 2024	Nil	Nil	Nil	Nil
4.	July 2024	Nil	Nil	Nil	Nil
5.	August 2024	Nil	Nil	Nil	Nil
6.	September 2024	Nil	Nil	Nil	Nil
7.	October 2024	Nil	Nil	Nil	Nil
8.	November 2024	-	-	-	-
9.	December 2024	-	-	-	-
10.	January 2025	-	-	-	-
11.	February 2025	-	-	-	-
12.	March 2025	-	-	-	-
	Grand Total	Nil	Nil	Nil	Nil

Trend of annual disposal of complaints

Sr. No.	Year	Carried forward from previous year	Received	Resolved	Pending
1.	2018-19	Nil	Nil	Nil	Nil
2.	2019-20	Nil	Nil	Nil	Nil
3.	2020-21	Nil	Nil	Nil	Nil
4.	2021-22	Nil	Nil	Nil	Nil
5.	2022-23	Nil	Nil	Nil	Nil
6.	2023-24	Nil	Nil	Nil	Nil
7.	2024-25(as on 31 st October)	Nil	Nil	Nil	Nil (as on 31 st October)
	Grand Total	Nil	Nil	Nil	Nil

Data for the month ending – September 2024

Sr. No.	Received from	Pending at the end of last month	Received	Resolved	Total Pending	Pending complaints > 3months	Average Resolution time (in days)
1.	Directly from Investors	Nil	Nil	Nil	Nil	NA	NA
2.	SEBI (SCORES)	Nil	Nil	Nil	Nil	NA	NA
3.	Other Sources (if any)	Nil	Nil	Nil	Nil	NA	NA
	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 2024	Nil	Nil	Nil	Nil
2.	May 2024	Nil	Nil	Nil	Nil
3.	June 2024	Nil	Nil	Nil	Nil
4.	July 2024	Nil	Nil	Nil	Nil
5.	August 2024	Nil	Nil	Nil	Nil
6.	September 2024	Nil	Nil	Nil	Nil
7.	October 2024	-	-	-	-
8.	November 2024	-	-	-	-
9.	December 2024	-	-	-	-
10.	January 2025	-	-	-	-
11.	February 2025	-	-	-	-
12.	March 2025	-	-	-	-
	Grand Total	Nil	Nil	Nil	Nil

Trend of annual disposal of complaints

Sr. No.	Year	Carried forward from previous year	Received	Resolved	Pending
1.	2018-19	Nil	Nil	Nil	Nil
2.	2019-20	Nil	Nil	Nil	Nil
3.	2020-21	Nil	Nil	Nil	Nil
4.	2021-22	Nil	Nil	Nil	Nil
5.	2022-23	Nil	Nil	Nil	Nil
6.	2023-24	Nil	Nil	Nil	Nil
7.	2024-25(as on 30 th September)	Nil	Nil	Nil	Nil (as on 30 th September)
	Grand Total	Nil	Nil	Nil	Nil

Data for the month ending – August 2024

Sr. No.	Received from	Pending at the end of last month	Received	Resolved	Total Pending	Pending complaints > 3months	Average Resolution time (in days)
1.	Directly from Investors	Nil	Nil	Nil	Nil	NA	NA
2.	SEBI (SCORES)	Nil	Nil	Nil	Nil	NA	NA
3.	Other Sources (if any)	Nil	Nil	Nil	Nil	NA	NA
	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 2024	Nil	Nil	Nil	Nil
2.	May 2024	Nil	Nil	Nil	Nil
3.	June 2024	Nil	Nil	Nil	Nil
4.	July 2024	Nil	Nil	Nil	Nil
5.	August 2024	Nil	Nil	Nil	Nil
6.	September 2024	-	-	-	-
7.	October 2024	-	-	-	-
8.	November 2024	-	-	-	-
9.	December 2024	-	-	-	-
10.	January 2025	-	-	-	-
11.	February 2025	-	-	-	-
12.	March 2025	-	-	-	-
	Grand Total	Nil	Nil	Nil	Nil

Trend of annual disposal of complaints

Sr. No.	Year	Carried forward from previous year	Received	Resolved	Pending
1.	2018-19	Nil	Nil	Nil	Nil
2.	2019-20	Nil	Nil	Nil	Nil
3.	2020-21	Nil	Nil	Nil	Nil
4.	2021-22	Nil	Nil	Nil	Nil
5.	2022-23	Nil	Nil	Nil	Nil
6.	2023-24	Nil	Nil	Nil	Nil
7.	2024-25(as on 31 st August)	Nil	Nil	Nil	Nil (as on 31 st August)
	Grand Total	Nil	Nil	Nil	Nil

Data for the month ending – July 2024

Sr. No.	Received from	Pending at the end of last month	Received	Resolved	Total Pending	Pending complaints > 3months	Average Resolution time (in days)
1.	Directly from Investors	Nil	Nil	Nil	Nil	NA	NA
2.	SEBI (SCORES)	Nil	Nil	Nil	Nil	NA	NA
3.	Other Sources (if any)	Nil	Nil	Nil	Nil	NA	NA
	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 2024	Nil	Nil	Nil	Nil
2.	May 2024	Nil	Nil	Nil	Nil
3.	June 2024	Nil	Nil	Nil	Nil
4.	July 2024	Nil	Nil	Nil	Nil
5.	August 2024	-	-	-	-
6.	September 2024	-	-	-	-
7.	October 2024	-	-	-	-
8.	November 2024	-	-	-	-
9.	December 2024	-	-	-	-
10.	January 2025	-	-	-	-
11.	February 2025	-	-	-	-
12.	March 2025	-	-	-	-
	Grand Total	Nil	Nil	Nil	Nil

Trend of annual disposal of complaints

Sr. No.	Year	Carried forward from previous year	Received	Resolved	Pending
1.	2018-19	Nil	Nil	Nil	Nil
2.	2019-20	Nil	Nil	Nil	Nil
3.	2020-21	Nil	Nil	Nil	Nil
4.	2021-22	Nil	Nil	Nil	Nil
5.	2022-23	Nil	Nil	Nil	Nil
6.	2023-24	Nil	Nil	Nil	Nil
7.	2024-25(as on 31 st July)	Nil	Nil	Nil	Nil (as on 31 st July)
	Grand Total	Nil	Nil	Nil	Nil

Data for the month ending – June 2024

Sr. No.	Received from	Pending at the end of last month	Received	Resolved	Total Pending	Pending complaints > 3months	Average Resolution time (in days)
1.	Directly from Investors	Nil	Nil	Nil	Nil	NA	NA
2.	SEBI (SCORES)	Nil	Nil	Nil	Nil	NA	NA
3.	Other Sources (if any)	Nil	Nil	Nil	Nil	NA	NA
	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 2024	Nil	Nil	Nil	Nil
2.	May 2024	Nil	Nil	Nil	Nil
3.	June 2024	Nil	Nil	Nil	Nil
4.	July 2024	-	-	-	-
5.	August 2024	-	-	-	-
6.	September 2024	-	-	-	-
7.	October 2024	-	-	-	-
8.	November 2024	-	-	-	-
9.	December 2024	-	-	-	-
10.	January 2025	-	-	-	-
11.	February 2025	-	-	-	-
12.	March 2025	-	-	-	-
	Grand Total	Nil	Nil	Nil	Nil

Trend of annual disposal of complaints

Sr. No.	Year	Carried forward from previous year	Received	Resolved	Pending
1.	2018-19	Nil	Nil	Nil	Nil
2.	2019-20	Nil	Nil	Nil	Nil
3.	2020-21	Nil	Nil	Nil	Nil
4.	2021-22	Nil	Nil	Nil	Nil
5.	2022-23	Nil	Nil	Nil	Nil
6.	2023-24	Nil	Nil	Nil	Nil
7.	2024-25(as on 30 th June)	Nil	Nil	Nil	Nil (as on 30 th June)
	Grand Total	Nil	Nil	Nil	Nil

Data for the month ending – May 2024

Sr. No.	Received from	Pending at the end of last month	Received	Resolved	Total Pending	Pending complaints > 3months	Average Resolution time (in days)
1.	Directly from Investors	Nil	Nil	Nil	Nil	NA	NA
2.	SEBI (SCORES)	Nil	Nil	Nil	Nil	NA	NA
3.	Other Sources (if any)	Nil	Nil	Nil	Nil	NA	NA
	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 2024	Nil	Nil	Nil	Nil
2.	May 2024	Nil	Nil	Nil	Nil
3.	June 2024	-	-	-	-
4.	July 2024	-	-	-	-
5.	August 2024	-	-	-	-
6.	September 2024	-	-	-	-
7.	October 2024	-	-	-	-
8.	November 2024	-	-	-	-
9.	December 2024	-	-	-	-
10.	January 2025	-	-	-	-
11.	February 2025	-	-	-	-
12.	March 2025	-	-	-	-
	Grand Total	Nil	Nil	Nil	Nil

Trend of annual disposal of complaints

Sr. No.	Year	Carried forward from previous year	Received	Resolved	Pending
1.	2018-19	Nil	Nil	Nil	Nil
2.	2019-20	Nil	Nil	Nil	Nil
3.	2020-21	Nil	Nil	Nil	Nil
4.	2021-22	Nil	Nil	Nil	Nil
5.	2022-23	Nil	Nil	Nil	Nil
6.	2023-24	Nil	Nil	Nil	Nil
7.	2024-25(as on 31 st May)	Nil	Nil	Nil	Nil (as on 31 st May)
	Grand Total	Nil	Nil	Nil	Nil

Data for the month ending – April 2024

Sr. No.	Received from	Pending at the end of last month	Received	Resolved	Total Pending	Pending complaints > 3months	Average Resolution time (in days)
1.	Directly from Investors	Nil	Nil	Nil	Nil	NA	NA
2.	SEBI (SCORES)	Nil	Nil	Nil	Nil	NA	NA
3.	Other Sources (if any)	Nil	Nil	Nil	Nil	NA	NA
	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 2024	Nil	Nil	Nil	Nil
2.	May 2024	-	-	-	-
3.	June 2024	-	-	-	-
4.	July 2024	-	-	-	-
5.	August 2024	-	-	-	-
6.	September 2024	-	-	-	-
7.	October 2024	-	-	-	-
8.	November 2024	-	-	-	-
9.	December 2024	-	-	-	-
10.	January 2025	-	-	-	-
11.	February 2025	-	-	-	-
12.	March 2025	-	-	-	-
	Grand Total	Nil	Nil	Nil	Nil

Trend of annual disposal of complaints

Sr. No.	Year	Carried forward from previous year	Received	Resolved	Pending
1.	2018-19	Nil	Nil	Nil	Nil
2.	2019-20	Nil	Nil	Nil	Nil
3.	2020-21	Nil	Nil	Nil	Nil
4.	2021-22	Nil	Nil	Nil	Nil
5.	2022-23	Nil	Nil	Nil	Nil
6.	2023-24	Nil	Nil	Nil	Nil
7.	2024-25(as on 30 th April)	Nil	Nil	Nil	Nil (as on 30 th April)
	Grand Total	Nil	Nil	Nil	Nil

Data for the month ending – March 2024

Sr. No.	Received from	Pending at the end of last month	Received	Resolved	Total Pending	Pending complaints > 3months	Average Resolution time (in days)
1.	Directly from Investors	Nil	Nil	Nil	Nil	NA	NA
2.	SEBI (SCORES)	Nil	Nil	Nil	Nil	NA	NA
3.	Other Sources (if any)	Nil	Nil	Nil	Nil	NA	NA
	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 2023	Nil	Nil	Nil	Nil
2.	May 2023	Nil	Nil	Nil	Nil
3.	June 2023	Nil	Nil	Nil	Nil
4.	July 2023	Nil	Nil	Nil	Nil
5.	August 2023	Nil	Nil	Nil	Nil
6.	September 2023	Nil	Nil	Nil	Nil
7.	October 2023	Nil	Nil	Nil	Nil
8.	November 2023	Nil	Nil	Nil	Nil
9.	December 2023	Nil	Nil	Nil	Nil
10.	January 2024	Nil	Nil	Nil	Nil
11.	February 2024	Nil	Nil	Nil	Nil
12.	March 2024	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	Resolved	Pending
1.	2018-19	Nil	Nil	Nil	Nil
2.	2019-20	Nil	Nil	Nil	Nil
3.	2020-21	Nil	Nil	Nil	Nil
4.	2021-22	Nil	Nil	Nil	Nil
5.	2022-23	Nil	Nil	Nil	Nil
6.	2023-24 (as on 31 st March)	Nil	Nil	Nil	Nil (as on 31 st March)
	Grand Total	Nil	Nil	Nil	Nil

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

Data for the month ending – February 2024

Sr. No.	Received from	Pending at the end of last month	Received	Resolved	Total Pending	Pending complaints > 3months	Average Resolution time (in days)
1.	Directly from Investors	Nil	Nil	Nil	Nil	NA	NA
2.	SEBI (SCORES)	Nil	Nil	Nil	Nil	NA	NA
3.	Other Sources (if any)	Nil	Nil	Nil	Nil	NA	NA
	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 2023	Nil	Nil	Nil	Nil
2.	May 2023	Nil	Nil	Nil	Nil
3.	June 2023	Nil	Nil	Nil	Nil
4.	July 2023	Nil	Nil	Nil	Nil
5.	August 2023	Nil	Nil	Nil	Nil
6.	September 2023	Nil	Nil	Nil	Nil
7.	October 2023	Nil	Nil	Nil	Nil
8.	November 2023	Nil	Nil	Nil	Nil
9.	December 2023	Nil	Nil	Nil	Nil
10.	January 2024	Nil	Nil	Nil	Nil
11.	February 2024	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	Resolved	Pending
1.	2018-19	Nil	Nil	Nil	Nil
2.	2019-20	Nil	Nil	Nil	Nil
3.	2020-21	Nil	Nil	Nil	Nil
4.	2021-22	Nil	Nil	Nil	Nil
5.	2022-23	Nil	Nil	Nil	Nil
6.	2023-24 (as on 29 th Feb)	Nil	Nil	Nil	Nil (as on 29 th Feb)
	Grand Total	Nil	Nil	Nil	Nil

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

Data for the month ending – January 2024

Sr. No.	Received from	Pending at the end of last month	Received	Resolved	Total Pending	Pending complaints > 3months	Average Resolution time (in days)
1.	Directly from Investors	Nil	Nil	Nil	Nil	NA	NA
2.	SEBI (SCORES)	Nil	Nil	Nil	Nil	NA	NA
3.	Other Sources (if any)	Nil	Nil	Nil	Nil	NA	NA
	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 2023	Nil	Nil	Nil	Nil
2.	May 2023	Nil	Nil	Nil	Nil
3.	June 2023	Nil	Nil	Nil	Nil
4.	July 2023	Nil	Nil	Nil	Nil
5.	August 2023	Nil	Nil	Nil	Nil
6.	September 2023	Nil	Nil	Nil	Nil
7.	October 2023	Nil	Nil	Nil	Nil
8.	November 2023	Nil	Nil	Nil	Nil
9.	December 2023	Nil	Nil	Nil	Nil
10.	January 2024	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	Resolved	Pending
1.	2018-19	Nil	Nil	Nil	Nil
2.	2019-20	Nil	Nil	Nil	Nil
3.	2020-21	Nil	Nil	Nil	Nil
4.	2021-22	Nil	Nil	Nil	Nil
5.	2022-23	Nil	Nil	Nil	Nil
6.	2023-24 (as on 31 st Jan)	Nil	Nil	Nil	Nil (as on 31 st Jan)
	Grand Total	Nil	Nil	Nil	Nil

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

Data for the month ending – December 2023

Sr. No.	Received from	Pending at the end of last month	Received	Resolved	Total Pending	Pending complaints > 3months	Average Resolution time (in days)
1.	Directly from Investors	Nil	Nil	Nil	Nil	N.A	N.A
2.	SEBI (SCORES)	Nil	Nil	Nil	Nil	N.A	N.A
3.	Other Sources (if any)	Nil	Nil	Nil	Nil	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 2023	Nil	Nil	Nil	Nil
2.	May 2023	Nil	Nil	Nil	Nil
3.	June 2023	Nil	Nil	Nil	Nil
4.	July 2023	Nil	Nil	Nil	Nil
5.	August 2023	Nil	Nil	Nil	Nil
6.	September 2023	Nil	Nil	Nil	Nil
7.	October 2023	Nil	Nil	Nil	Nil
8.	November 2023	Nil	Nil	Nil	Nil
9.	December 2023	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	Resolved	Pending
1.	2018-19	Nil	Nil	Nil	Nil
2.	2019-20	Nil	Nil	Nil	Nil
3.	2020-21	Nil	Nil	Nil	Nil
4.	2021-22	Nil	Nil	Nil	Nil
5.	2022-23	Nil	Nil	Nil	Nil
6.	2023-24 (as on 31 st Dec 2023)	Nil	Nil	Nil	Nil (as on 31 st Dec 2023)
	Grand Total	Nil	Nil	Nil	Nil

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

Data for the month ending – November 2023

Sr. No.	Received from	Pending at the end of last month	Received	Resolved	Total Pending	Pending complaints > 3months	Average Resolution time (in days)
1.	Directly from Investors	Nil	Nil	Nil	Nil	N.A	N.A
2.	SEBI (SCORES)	Nil	Nil	Nil	Nil	N.A	N.A
3.	Other Sources (if any)	Nil	Nil	Nil	Nil	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 2023	Nil	Nil	Nil	Nil
2.	May 2023	Nil	Nil	Nil	Nil
3.	June 2023	Nil	Nil	Nil	Nil
4.	July 2023	Nil	Nil	Nil	Nil
5.	August 2023	Nil	Nil	Nil	Nil
6.	September 2023	Nil	Nil	Nil	Nil
7.	October 2023	Nil	Nil	Nil	Nil
8.	November 2023	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	Resolved	Pending
1.	2018-19	Nil	Nil	Nil	Nil
2.	2019-20	Nil	Nil	Nil	Nil
3.	2020-21	Nil	Nil	Nil	Nil
4.	2021-22	Nil	Nil	Nil	Nil
5.	2022-23	Nil	Nil	Nil	Nil
6.	2023-24 (as on 30 th Nov 2023)	Nil	Nil	Nil	Nil (as on 30 th Nov 2023)
	Grand Total	Nil	Nil	Nil	Nil

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

Data for the month ending – October 2023

Sr. No.	Received from	Pending at the end of last month	Received	Resolved	Total Pending	Pending complaints > 3months	Average Resolution time (in days)
1.	Directly from Investors	Nil	Nil	Nil	Nil	N.A	N.A
2.	SEBI (SCORES)	Nil	Nil	Nil	Nil	N.A	N.A
3.	Other Sources (if any)	Nil	Nil	Nil	Nil	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.	October 2023	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	Resolved	Pending
1.	2018-19	Nil	Nil	Nil	Nil
2.	2019-20	Nil	Nil	Nil	Nil
3.	2020-21	Nil	Nil	Nil	Nil
4.	2021-22	Nil	Nil	Nil	Nil
5.	2022-23	Nil	Nil	Nil	Nil
	Grand Total	Nil	Nil	Nil	Nil

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

Data for the month ending – September 2023

Sr. No.	Received from	Pending at the end of last month	Received	Resolved	Total Pending	Pending complaints > 3months	Average Resolution time (in days)
1.	Directly from Investors	Nil	Nil	Nil	Nil	N.A	N.A
2.	SEBI (SCORES)	Nil	Nil	Nil	Nil	N.A	N.A
3.	Other Sources (if any)	Nil	Nil	Nil	Nil	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.	September 2023	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	Resolved	Pending
1.	2018-19	Nil	Nil	Nil	Nil
2.	2019-20	Nil	Nil	Nil	Nil
3.	2020-21	Nil	Nil	Nil	Nil
4.	2021-22	Nil	Nil	Nil	Nil
5.	2022-23	Nil	Nil	Nil	Nil
	Grand Total	Nil	Nil	Nil	Nil

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

Data for the month ending – August 2023

Sr. No.	Received from	Pending at the end of last month	Received	Resolved	Total Pending	Pending complaints > 3months	Average Resolution time (in days)
1.	Directly from Investors	Nil	Nil	Nil	Nil	N.A	N.A
2.	SEBI (SCORES)	Nil	Nil	Nil	Nil	N.A	N.A
3.	Other Sources (if any)	Nil	Nil	Nil	Nil	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.	August 2023	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	Resolved	Pending
1.	2018-19	Nil	Nil	Nil	Nil
2.	2019-20	Nil	Nil	Nil	Nil
3.	2020-21	Nil	Nil	Nil	Nil
4.	2021-22	Nil	Nil	Nil	Nil
5.	2022-23	Nil	Nil	Nil	Nil
	Grand Total	Nil	Nil	Nil	Nil

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

Data for the month ending – July 2023

Sr. No.	Received from	Pending at the end of last month	Received	Resolved	Total Pending	Pending complaints > 3months	Average Resolution time (in days)
1.	Directly from Investors	Nil	Nil	Nil	Nil	N.A	N.A
2.	SEBI (SCORES)	Nil	Nil	Nil	Nil	N.A	N.A
3.	Other Sources (if any)	Nil	Nil	Nil	Nil	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.	July 2023	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	Resolved	Pending
1.	2018-19	Nil	Nil	Nil	Nil
2.	2019-20	Nil	Nil	Nil	Nil
3.	2020-21	Nil	Nil	Nil	Nil
4.	2021-22	Nil	Nil	Nil	Nil
5.	2022-23	Nil	Nil	Nil	Nil
	Grand Total	Nil	Nil	Nil	Nil

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

Data for the month ending – June 2023

Sr. No.	Received from	Pending at the end of last month	Received	Resolved	Total Pending	Pending complaints > 3months	Average Resolution time (in days)
1.	Directly from Investors	Nil	Nil	Nil	Nil	N.A	N.A
2.	SEBI (SCORES)	Nil	Nil	Nil	Nil	N.A	N.A
3.	Other Sources (if any)	Nil	Nil	Nil	Nil	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.	June 2023	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	Resolved	Pending
1.	2018-19	Nil	Nil	Nil	Nil
2.	2019-20	Nil	Nil	Nil	Nil
3.	2020-21	Nil	Nil	Nil	Nil
4.	2021-22	Nil	Nil	Nil	Nil
5.	2022-23	Nil	Nil	Nil	Nil
	Grand Total	Nil	Nil	Nil	Nil

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

Data for the month ending – May 2023

Sr. No.	Received from	Pending at the end of last month	Received	Resolved	Total Pending	Pending complaints > 3months	Average Resolution time (in days)
1.	Directly from Investors	Nil	Nil	Nil	Nil	N.A	N.A
2.	SEBI (SCORES)	Nil	Nil	Nil	Nil	N.A	N.A
3.	Other Sources (if any)	Nil	Nil	Nil	Nil	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 2023	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	Resolved	Pending
1.	2018-19	Nil	Nil	Nil	Nil
2.	2019-20	Nil	Nil	Nil	Nil
3.	2020-21	Nil	Nil	Nil	Nil
4.	2021-22	Nil	Nil	Nil	Nil
5.	2022-23	Nil	Nil	Nil	Nil
	Grand Total	Nil	Nil	Nil	Nil

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

Data for the month ending – April 2023

Sr. No.	Received from	Pending at the end of last month	Received	Resolved	Total Pending	Pending complaints > 3months	Average Resolution time (in days)
1.	Directly from Investors	Nil	Nil	Nil	Nil	N.A	N.A
2.	SEBI (SCORES)	Nil	Nil	Nil	Nil	N.A	N.A
3.	Other Sources (if any)	Nil	Nil	Nil	Nil	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 2023	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	Resolved	Pending
1.	2018-19	Nil	Nil	Nil	Nil
2.	2019-20	Nil	Nil	Nil	Nil
3.	2020-21	Nil	Nil	Nil	Nil
4.	2021-22	Nil	Nil	Nil	Nil
5.	2022-23	Nil	Nil	Nil	Nil
	Grand Total	Nil	Nil	Nil	Nil

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

Data for the month ending – March 2023

Sr. No.	Received from	Pending at the end of last month	Received	Resolved	Total Pending	Pending complaints > 3months	Average Resolution time (in days)
1.	Directly from Investors	Nil	Nil	Nil	Nil	N.A	N.A
2.	SEBI (SCORES)	Nil	Nil	Nil	Nil	N.A	N.A
3.	Other Sources (if any)	Nil	Nil	Nil	Nil	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 2023	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	Resolved	Pending
1.	2018-19	Nil	Nil	Nil	Nil
2.	2019-20	Nil	Nil	Nil	Nil
3.	2020-21	Nil	Nil	Nil	Nil
4.	2021-22	Nil	Nil	Nil	Nil
5.	2022-23	Nil	Nil	Nil	Nil
	Grand Total	Nil	Nil	Nil	Nil

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

Data for the month ending – February 2023

Sr. No.	Received from	Pending at the end of last month	Received	Resolved	Total Pending	Pending complaints > 3months	Average Resolution time (in days)
1.	Directly from Investors	Nil	Nil	Nil	Nil	N.A	N.A
2.	SEBI (SCORES)	Nil	Nil	Nil	Nil	N.A	N.A
3.	Other Sources (if any)	Nil	Nil	Nil	Nil	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 2023	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	Resolved	Pending
1.	2018-19	Nil	Nil	Nil	Nil
2.	2019-20	Nil	Nil	Nil	Nil
3.	2020-21	Nil	Nil	Nil	Nil
4.	2021-22	Nil	Nil	Nil	Nil
5.	2022-23	Nil	Nil	Nil	Nil
	Grand Total	Nil	Nil	Nil	Nil

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

Data for the month ending – January 2023

Sr. No.	Received from	Pending at the end of last month	Received	Resolved	Total Pending	Pending complaints > 3months	Average Resolution time (in days)
1.	Directly from Investors	Nil	Nil	Nil	Nil	N.A	N.A
2.	SEBI (SCORES)	Nil	Nil	Nil	Nil	N.A	N.A
3.	Other Sources (if any)	Nil	Nil	Nil	Nil	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 2023	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	Resolved	Pending
1.	2018-19	Nil	Nil	Nil	Nil
2.	2019-20	Nil	Nil	Nil	Nil
3.	2020-21	Nil	Nil	Nil	Nil
4.	2021-22	Nil	Nil	Nil	Nil
5.	2022-23	Nil	Nil	Nil	Nil
	Grand Total	Nil	Nil	Nil	Nil

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

Data for the month ending – December 2022

Sr. No.	Received from	Pending at the end of last month	Received	Resolved	Total Pending	Pending complaints > 3months	Average Resolution time (in days)
1.	Directly from Investors	Nil	Nil	Nil	Nil	N.A	N.A
2.	SEBI (SCORES)	Nil	Nil	Nil	Nil	N.A	N.A
3.	Other Sources (if any)	Nil	Nil	Nil	Nil	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 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	Resolved	Pending
1.	2018-19	Nil	Nil	Nil	Nil
2.	2019-20	Nil	Nil	Nil	Nil
3.	2020-21	Nil	Nil	Nil	Nil
4.	2021-22	Nil	Nil	Nil	Nil
5.	2022-23	Nil	Nil	Nil	Nil
	Grand Total	Nil	Nil	Nil	Nil

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

Data for the month ending - November 2022

Sr. No.	Received from	Pending at the end of last month	Received	Resolved	Total Pending	Pending complaints > 3months	Average Resolution time (in days)
1.	Directly from Investors	Nil	Nil	Nil	Nil	N.A	N.A
2.	SEBI (SCORES)	Nil	Nil	Nil	Nil	N.A	N.A
3.	Other Sources (if any)	Nil	Nil	Nil	Nil	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.	November 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	Resolved	Pending
1.	2018-19	Nil	Nil	Nil	Nil
2.	2019-20	Nil	Nil	Nil	Nil
3.	2020-21	Nil	Nil	Nil	Nil
4.	2021-22	Nil	Nil	Nil	Nil
5.	2022-23	Nil	Nil	Nil	Nil
	Grand Total	Nil	Nil	Nil	Nil

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

Data for the month ending - October 2022

Sr. No.	Received from	Pending at the end of last month	Received	Resolved	Total Pending	Pending complaints > 3months	Average Resolution time (in days)
1.	Directly from Investors	Nil	Nil	Nil	Nil	N.A	N.A
2.	SEBI (SCORES)	Nil	Nil	Nil	Nil	N.A	N.A
3.	Other Sources (if any)	Nil	Nil	Nil	Nil	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.	October 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	Resolved	Pending
1.	2018-19	Nil	Nil	Nil	Nil
2.	2019-20	Nil	Nil	Nil	Nil
3.	2020-21	Nil	Nil	Nil	Nil
4.	2021-22	Nil	Nil	Nil	Nil
5.	2022-23	Nil	Nil	Nil	Nil
	Grand Total	Nil	Nil	Nil	Nil

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

Data for the month ending - September 2022

Sr. No.	Received from	Pending at the end of last month	Received	Resolved	Total Pending	Pending complaints > 3months	Average Resolution time (in days)
1.	Directly from Investors	Nil	Nil	Nil	Nil	N.A	N.A
2.	SEBI (SCORES)	Nil	Nil	Nil	Nil	N.A	N.A
3.	Other Sources (if any)	Nil	Nil	Nil	Nil	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.	September 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	Resolved	Pending
1.	2018-19	Nil	Nil	Nil	Nil
2.	2019-20	Nil	Nil	Nil	Nil
3.	2020-21	Nil	Nil	Nil	Nil
4.	2021-22	Nil	Nil	Nil	Nil
5.	2022-23	Nil	Nil	Nil	Nil
	Grand Total	Nil	Nil	Nil	Nil

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

Data for the month ending - August 2022

Sr. No.	Received from	Pending at the end of last month	Received	Resolved	Total Pending	Pending complaints > 3months	Average Resolution time (in days)
1.	Directly from Investors	Nil	Nil	Nil	Nil	N.A	N.A
2.	SEBI (SCORES)	Nil	Nil	Nil	Nil	N.A	N.A
3.	Other Sources (if any)	Nil	Nil	Nil	Nil	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.	August 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	Resolved	Pending
1.	2018-19	Nil	Nil	Nil	Nil
2.	2019-20	Nil	Nil	Nil	Nil
3.	2020-21	Nil	Nil	Nil	Nil
4.	2021-22	Nil	Nil	Nil	Nil
5.	2022-23	Nil	Nil	Nil	Nil
	Grand Total	Nil	Nil	Nil	Nil

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

Data for the month ending - July 2022

Sr. No.	Received from	Pending at the end of last month	Received	Resolved	Total Pending	Pending complaints > 3months	Average Resolution time (in days)
1.	Directly from Investors	Nil	Nil	Nil	Nil	N.A	N.A
2.	SEBI (SCORES)	Nil	Nil	Nil	Nil	N.A	N.A
3.	Other Sources (if any)	Nil	Nil	Nil	Nil	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.	July 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	Resolved	Pending
1.	2018-19	Nil	Nil	Nil	Nil
2.	2019-20	Nil	Nil	Nil	Nil
3.	2020-21	Nil	Nil	Nil	Nil
4.	2021-22	Nil	Nil	Nil	Nil
5.	2022-23	Nil	Nil	Nil	Nil
	Grand Total	Nil	Nil	Nil	Nil

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

Data for the month ending - Jun 2022

Sr. No.	Received from	Pending at the end of last month	Received	Resolved	Total Pending	Pending complaints > 3months	Average Resolution time (in days)
1.	Directly from Investors	Nil	Nil	Nil	Nil	N.A	N.A
2.	SEBI (SCORES)	Nil	Nil	Nil	Nil	N.A	N.A
3.	Other Sources (if any)	Nil	Nil	Nil	Nil	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.	Jun 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	Resolved	Pending
1.	2018-19	Nil	Nil	Nil	Nil
2.	2019-20	Nil	Nil	Nil	Nil
3.	2020-21	Nil	Nil	Nil	Nil
4.	2021-22	Nil	Nil	Nil	Nil
5.	2022-23	Nil	Nil	Nil	Nil
	Grand Total	Nil	Nil	Nil	Nil

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

Data for the month ending - May 2022

Sr. No.	Received from	Pending at the end of last month	Received	Resolved	Total Pending	Pending complaints > 3months	Average Resolution time (in days)
1.	Directly from Investors	Nil	Nil	Nil	Nil	N.A	N.A
2.	SEBI (SCORES)	Nil	Nil	Nil	Nil	N.A	N.A
3.	Other Sources (if any)	Nil	Nil	Nil	Nil	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	Resolved	Pending
1.	2018-19	Nil	Nil	Nil	Nil
2.	2019-20	Nil	Nil	Nil	Nil
3.	2020-21	Nil	Nil	Nil	Nil
4.	2021-22	Nil	Nil	Nil	Nil
5.	2022-23	Nil	Nil	Nil	Nil
	Grand Total	Nil	Nil	Nil	Nil

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

Data for the month ending - April 2022

Sr. No.	Received from	Pending at the end of last month	Received	Resolved	Total Pending	Pending complaints > 3months	Average Resolution time (in days)
1.	Directly from Investors	Nil	Nil	Nil	Nil	N.A	N.A
2.	SEBI (SCORES)	Nil	Nil	Nil	Nil	N.A	N.A
3.	Other Sources (if any)	Nil	Nil	Nil	Nil	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	Resolved	Pending
1.	2018-19	Nil	Nil	Nil	Nil
2.	2019-20	Nil	Nil	Nil	Nil
3.	2020-21	Nil	Nil	Nil	Nil
4.	2021-22	Nil	Nil	Nil	Nil
5.	2022-23	Nil	Nil	Nil	Nil
	Grand Total	Nil	Nil	Nil	Nil

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

Data for the month ending - March 2022

Sr. No.	Received from	Pending at the end of last month	Received	Resolved	Total Pending	Pending complaints > 3months	Average Resolution time (in days)
1.	Directly from Investors	Nil	Nil	Nil	Nil	N.A	N.A
2.	SEBI (SCORES)	Nil	Nil	Nil	Nil	N.A	N.A
3.	Other Sources (if any)	Nil	Nil	Nil	Nil	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	Resolved	Pending
1.	2018-19	Nil	Nil	Nil	Nil
2.	2019-20	Nil	Nil	Nil	Nil
3.	2020-21	Nil	Nil	Nil	Nil
4.	2021-22	Nil	Nil	Nil	Nil
	Grand Total	Nil	Nil	Nil	Nil

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

Data for the month ending - February 2022

Sr. No.	Received from	Pending at the end of last month	Received	Resolved	Total Pending	Pending complaints > 3months	Average Resolution time (in days)
1.	Directly from Investors	Nil	Nil	Nil	Nil	N.A	N.A
2.	SEBI (SCORES)	Nil	Nil	Nil	Nil	N.A	N.A
3.	Other Sources (if any)	Nil	Nil	Nil	Nil	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	Resolved	Pending
1.	2018-19	Nil	Nil	Nil	Nil
2.	2019-20	Nil	Nil	Nil	Nil
3.	2020-21	Nil	Nil	Nil	Nil
	Grand Total	Nil	Nil	Nil	Nil

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

Data for the month ending - January 2022

Sr. No.	Received from	Pending at the end of last month	Received	Resolved	Total Pending	Pending complaints > 3months	Average Resolution time (in days)
1.	Directly from Investors	Nil	Nil	Nil	Nil	N.A	N.A
2.	SEBI (SCORES)	Nil	Nil	Nil	Nil	N.A	N.A
3.	Other Sources (if any)	Nil	Nil	Nil	Nil	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	Resolved	Pending
1.	2018-19	Nil	Nil	Nil	Nil
2.	2019-20	Nil	Nil	Nil	Nil
3.	2020-21	Nil	Nil	Nil	Nil
	Grand Total	Nil	Nil	Nil	Nil

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

Data for the month ending - December 2021

Sr. No.	Received from	Pending at the end of last month	Received	Resolved	Total Pending	Pending complaints > 3months	Average Resolution time (in days)
1.	Directly from Investors	Nil	Nil	Nil	Nil	N.A	N.A
2.	SEBI (SCORES)	Nil	Nil	Nil	Nil	N.A	N.A
3.	Other Sources (if any)	Nil	Nil	Nil	Nil	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	Resolved	Pending
1.	2018-19	Nil	Nil	Nil	Nil
2.	2019-20	Nil	Nil	Nil	Nil
3.	2020-21	Nil	Nil	Nil	Nil
	Grand Total	Nil	Nil	Nil	Nil