

## Investor Complaint Data – Waterfield Financial and Investment Advisors Private Limited (Portfolio Managers)

Data for the month ending: October 31, 2025

| Sr.<br>No | Received<br>from                  | Pending<br>at the<br>end of<br>last<br>month | Received | Resolved* | Total<br>Pending# | Pending<br>Complaints<br>> 3months | Average<br>Resolution<br>time^<br>(in days) |
|-----------|-----------------------------------|--|----------|-----------|-------------------|------------------------------------|---|
| 1         | Directly<br>from the<br>Investors | 0  | 0        | 0         | 0                 | 0                                  | NA  |
| 2         | SEBI<br>(SCORES)                  | 0  | 0        | 0         | 0                 | 0                                  | NA  |
| 3         | Other<br>Sources<br>(if any)      | 0  | 0        | 0         | 0                 | 0                                  | NA  |
|           | Grand<br>Total                    | 0  | 0        | 0         | 0                 | 0                                  | NA  |

<sup>^</sup>Average Resolution time is the sum total of time taken to resolve each complaint in days, in the current month divided by total number of complaints resolved in the current month.

## **Trend of Monthly Disposal of Complaints**

| Sr.<br>No | Month              | Carried forward from previous month | Received | Resolved* | Pending# |
|-----------|--------------------|-------------------------------------|----------|-----------|----------|
| 1.        | October 2025       | 0                                   | 0        | 0         | 0        |
|           | <b>Grand Total</b> | 0                                   | 0        | 0         | 0        |

<sup>\*</sup>Inclusive of complaints of previous month resolved in the current month. #Inclusive of complaints pending as on the last day of the month.

## Trend of Annual disposal of complaints

| Sr.<br>No | Year    | Carried Forward from previous year | Received | Resolved* | Pending# |
|-----------|---------|------------------------------------|----------|-----------|----------|
| 1         | 2024-25 | 0                                  | 0        | 0         | 0        |
| 2         | 2025-26 | 0                                  | 0        | 0         | 0        |

<sup>\*</sup>Inclusive of complaints of previous years resolved in the current year. #Inclusive of complaints pending as on the last day of the year.

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