Investor Complaint Data – Waterfield Financial and Investment Advisors Private Limited (Investment Advisers)

Data for the month ending: October 31, 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 the Investors**	0	0	0	0	0	NA
2	**SEBI (SCORES)**	0	0	0	0	0	NA
3	**Other Sources (if any)**	0	0	0	0	0	NA
	Grand Total	0	0	0	0	0	NA

^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. No	Month	Carried forward from previous month	Received	Resolved*	Pending#
1.	October 2026	0	0	0	0
2.	September 2026	0	0	0	0
3.	August 2026	0	0	0	0
4.	July 2026	0	0	0	0
5.	June 2026	0	0	0	0
6.	May 2026	0	0	0	0
7.	April 2026	0	0	0	0
	Grand Total	0	0	0	0

***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. No	Year	Carried Forward from previous year Received	Received	Resolved*	Pending#
1	**2024-25**	0	0	0	0
2	**2025-26**	0	0	0	0
3	**2026-27**	0	0	0	0

***Inclusive of complaints of previous years resolved in the current year.**
#Inclusive of complaints pending as on the last day of the year.

Waterfield Financial and
Investment Advisors Private Limited
Corporate Office: 7, Avighna House,
82, Dr. Annie Besant Road,
Worli Naka, Siddharth Nagar, Worli,
Mumbai, Maharashtra 400018
Registered Office: 142, 14th Floor, Maker Chambers VI, Nariman Point, Mumbai - 400021

+91 22 6621 0700
info@waterfieldadvisors.com
www.waterfieldadvisors.com
Compliance & Grievance Officer: Ms. Darshana Bhutak
compliance@waterfieldadvisors.com
investor.grievance@waterfieldadvisors.com
Disclaimer:
www.waterfieldadvisors.com/email-disclaimer

CIN: U74900MH2012PTC234921
SEBI Reg. No. INA000001811 (Valid until cancelled/ suspended by SEBI)
PMS Reg. No. INP000007818
Non-Individual Investment Advisor
Principal Officer: Mr. Subodh Kaistha
Portfolio Managers: Principal Officer:
Mr. Arun Prakash Sampat Kumar
Email: principal.officer@waterfieldadvisors.com
Refer to our website for the SEBI Office Address