

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

Data for the month ending: September 30, 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                                 |
|        | <b>Grand Total</b>          | 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.     | September 2026     | 0                                   | 0        | 0         | 0        |
| 2.     | August 2026        | 0                                   | 0        | 0         | 0        |
| 3.     | July 2026          | 0                                   | 0        | 0         | 0        |
| 4.     | June 2026          | 0                                   | 0        | 0         | 0        |
| 5.     | May 2026           | 0                                   | 0        | 0         | 0        |
| 6.     | April 2026         | 0                                   | 0        | 0         | 0        |
|        | <b>Grand Total</b> | 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.

