

## Mizuho Securities India Private Limited

**Investors Complaints Data – Equity Capital Market collectively comprising of following:**

1. IPO and FPO including OFS
2. Rights Issue
3. Qualified Institutions Placement (QIP)
4. Preferential Issue
5. SME IPO and FPO including OFS
6. Buyback of Securities
7. Delisting of Equity Shares
8. Substantial Acquisitions of Shares and Takeovers

### Data for the month November 2024

SN	Received from	Pending as at the end of last month	Received during the particular month	Resolved during the particular month*	Total pending during the particular month #	Pending complaints > 1 month	Average Resolution time ^\ (in days)
1	Directly from Investors	0	0	Not Applicable	0	Not Applicable	Not Applicable
2	SEBI (SCORES)	0	0	Not Applicable	0	Not Applicable	Not Applicable
3	Stock Exchanges (if relevant)	0	0	Not Applicable	0	Not Applicable	Not Applicable
4	Other Sources (if any)	0	0	Not Applicable	0	Not Applicable	Not Applicable
5	<b>Grand Total</b>	0	0	Not Applicable	0	Not Applicable	Not Applicable

### Trend of monthly disposal of complaints (For 5 months on rolling basis)

SN	Month	Carried forward from previous month	Received during the particular month	Resolved during the particular month*	Pending as at the end of the particular month #
1	July 2024	0	0	Not Applicable	0
2	August 2024	0	0	Not Applicable	0
3	September 2024	0	0	Not Applicable	0
4	October 2024	0	0	Not Applicable	0
5	November 2024	0	0	Not Applicable	0
	<b>Grand Total</b>	0	0	Not Applicable	0

^ 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.

\* Inclusive of complaints of previous months resolved in the current month.

# Inclusive of complaints pending as on the last day of the month.

**Trend of annual (Calendar year) disposal of complaints (For 5 years on rolling basis)**

<b>SN</b>	<b>Year</b>	<b>Carried forward from previous year</b>	<b>Received during the particular year</b>	<b>Resolved during the particular year</b>	<b>Pending as at the end of the particular year</b>
1	2021	0	0	Not Applicable	0
2	2022	0	0	Not Applicable	0
3	2023	0	0	Not Applicable	0
4	2024	To be updated in due course			
5	2025	To be updated in due course			
	<b>Grand Total</b>	0	0	Not Applicable	0