

## Investor Complaints – Khambatta Securities Limited as a Merchant Banker

| Data for every month ending:<br>August - 2025 |                               |                                     |                           |               |            |                                   |                                |                                   |
|-----------------------------------------------|-------------------------------|-------------------------------------|---------------------------|---------------|------------|-----------------------------------|--------------------------------|-----------------------------------|
| SN                                            | Received from                 | Carried forward from previous month | Received during the month | Total Pending | Resolved*  | Pending at the end of the month** |                                | Average Resolution time^(in days) |
|                                               |                               |                                     |                           |               |            | Pending for less than 3 months    | Pending for more than 3 months |                                   |
| 1                                             | Directly from Investors       | Nil                                 | 1                         | Nil           | 1          | Nil                               | Nil                            | 1                                 |
| 2                                             | SEBI (SCORES)                 | Nil                                 | Nil                       | Nil           | Nil        | Nil                               | Nil                            | Nil                               |
| 3                                             | Stock Exchanges (if relevant) | Nil                                 | Nil                       | Nil           | Nil        | Nil                               | Nil                            | Nil                               |
| 4                                             | Other Sources (if any)        | Nil                                 | Nil                       | Nil           | Nil        | Nil                               | Nil                            | Nil                               |
|                                               | <b>Grand Total</b>            | <b>Nil</b>                          | <b>Nil</b>                | <b>Nil</b>    | <b>Nil</b> | <b>Nil</b>                        | <b>Nil</b>                     | <b>Nil</b>                        |

^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 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                                 | 2        | 2         | Nil     |
| 4                                       | July 2025   | Nil                                 | Nil      | Nil       | Nil     |
| 5                                       | August 2025 | Nil                                 | 1        | 1         | Nil     |

| Trend of annual disposal of complaints |                        |                                    |                                     |                                     |                                           |
|----------------------------------------|------------------------|------------------------------------|-------------------------------------|-------------------------------------|-------------------------------------------|
| Sr. No                                 | Year                   | Carried forward from previous year | Received during the particular year | Resolved during the particular year | Pending at the end of the particular year |
| 1                                      | 2021-2022              | Nil                                | Nil                                 | Nil                                 | Nil                                       |
| 2                                      | 2022-2023              | Nil                                | 1                                   | 1                                   | Nil                                       |
| 3                                      | 2023-2024              | Nil                                | Nil                                 | Nil                                 | Nil                                       |
| 4                                      | 2024-2025              | Nil                                | 8                                   | 8                                   | Nil                                       |
| 5                                      | 2025-2026 (in process) | Nil                                | 3                                   | 3                                   | Nil                                       |
|                                        | <b>Grand Total</b>     | <b>Nil</b>                         | <b>12</b>                           | <b>12</b>                           | <b>Nil</b>                                |