



Do Good.

**Investor Complaints Data to be displayed by Stock Brokers** on their respective websites

Data for every month ending (September 2026)

| Sr. No. | 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       | 2                       | 3                                   | 4                         | 5             | 6          | 7                                 |                                | 8                                  |
| 1       | Directly from Investors | 0                                   | 0                         | 0             | 0          | 0                                 | 0                              | NA                                 |
| 2       | SEBI (SCORES 2.0)       | 4                                   | 1                         | 1             | 4          | 0                                 | 0                              | 21                                 |
| 3       | Stock Exchanges         | 0                                   | 0                         | 0             | 0          | 0                                 | 0                              | NA                                 |
| 4       | Other Sources (if any)  | 0                                   | 0                         | 0             | 0          | 0                                 | 0                              | NA                                 |
|         | Grand Total             | 4                                   | 1                         | 1             | 4          | 0                                 | 0                              | 21                                 |

**Trend of monthly disposal of complaints**

| Sr. No. | Month           | Carried forward from previous month | Received | Resolved* | Pending** |
|---------|-----------------|-------------------------------------|----------|-----------|-----------|
| 1       | 2               | 3                                   | 4        | 5         | 6         |
| 1       | November – 2022 | Nil                                 | Nil      | Nil       | Nil       |
| 2       | December – 2022 | Nil                                 | Nil      | Nil       | Nil       |
| 3       | January – 2023  | Nil                                 | Nil      | Nil       | Nil       |
| 4       | February – 2023 | Nil                                 | Nil      | Nil       | Nil       |
| 5       | March – 2023    | Nil                                 | Nil      | Nil       | Nil       |
| 6       | April – 2023    | Nil                                 | Nil      | Nil       | Nil       |

**NEO WEALTH MANAGEMENT PRIVATE LIMITED**Phone: 022 6642 3600 | Email: [compliance@neo-wealth.in](mailto:compliance@neo-wealth.in) | Website: <https://neo-group.in/> |

SEBI Reg. No. IN-DP-725-2022 | CIN: U7424MH2021PTC367572

Address: 903 - B Wing, Marathon Futurex, NM Joshi Marg, Lower Parel, Mumbai, Maharashtra 400013



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|    |                  |     |     |     |     |
|----|------------------|-----|-----|-----|-----|
| 7  | May – 2023       | Nil | Nil | Nil | Nil |
| 8  | June – 2023      | Nil | Nil | Nil | Nil |
| 9  | July – 2023      | Nil | Nil | Nil | Nil |
| 10 | August – 2023    | Nil | Nil | Nil | Nil |
| 11 | September – 2023 | Nil | Nil | Nil | Nil |
| 12 | October – 2023   | Nil | Nil | Nil | Nil |
| 13 | November- 2023   | Nil | Nil | Nil | Nil |
| 14 | December – 2023  | Nil | Nil | Nil | Nil |
| 15 | January -2024    | Nil | Nil | Nil | Nil |
| 16 | February- 2024   | Nil | Nil | Nil | Nil |
| 17 | March – 2024     | Nil | Nil | Nil | Nil |
| 18 | April – 2024     | Nil | Nil | Nil | Nil |
| 19 | May – 2024       | Nil | Nil | Nil | Nil |
| 20 | June – 2024      | Nil | Nil | Nil | Nil |
| 21 | July – 2024      | Nil | Nil | Nil | Nil |
| 22 | August – 2024    | Nil | Nil | Nil | Nil |
| 23 | September – 2024 | Nil | Nil | Nil | Nil |
| 24 | October – 2024   | Nil | Nil | Nil | Nil |
| 25 | November – 2024  | Nil | Nil | Nil | Nil |
| 26 | December – 2024  | Nil | Nil | Nil | Nil |
| 27 | January – 2025   | Nil | Nil | Nil | Nil |
| 28 | February – 2025  | Nil | Nil | Nil | Nil |
| 29 | March – 2025     | Nil | Nil | Nil | Nil |
| 30 | April – 2025     | Nil | Nil | Nil | Nil |
| 31 | May – 2025       | Nil | Nil | Nil | Nil |
| 32 | June – 2025      | Nil | Nil | Nil | Nil |
| 33 | July – 2025      | Nil | Nil | Nil | Nil |
| 34 | August – 2025    | Nil | Nil | Nil | Nil |
| 35 | September – 2025 | Nil | Nil | Nil | Nil |
| 36 | October – 2025   | Nil | Nil | Nil | Nil |

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|    |                  |     |     |     |     |
|----|------------------|-----|-----|-----|-----|
| 37 | November – 2025  | Nil | 2   | 1   | 1   |
| 38 | December – 2025  | 1   | 4   | 4   | 1   |
| 39 | January – 2026   | 1   | 1   | 2   | Nil |
| 40 | February – 2026  | Nil | Nil | Nil | Nil |
| 41 | March – 2026     | Nil | Nil | Nil | Nil |
| 42 | April – 2026     | Nil | Nil | Nil | Nil |
| 43 | May – 2026       | Nil | Nil | Nil | Nil |
| 44 | June – 2026      | Nil | Nil | Nil | Nil |
| 45 | July – 2026      | Nil | Nil | Nil | Nil |
| 46 | August – 2026    | Nil | 4   | Nil | 4   |
| 47 | September – 2026 | 4   | 1   | 4   | 1   |
|    | Grand Total      | 6   | 12  | 11  | 7   |

\* Should include complaints of previous months resolved in the current month, if any.

\*\*Should include total complaints pending as on the last day of the month, if any.

^Average resolution time is the sum total of time taken to resolve each complaint in the current month divided by total number of complaints resolved in the current month.

### Trend of annual disposal of complaints

| SN | Year        | Carried forward from previous year | Received during the year | Resolved during the year | Pending at the end of the year |
|----|-------------|------------------------------------|--------------------------|--------------------------|--------------------------------|
| 1  | 2021-22     | 0                                  | 0                        | 0                        | 0                              |
| 2  | 2022-23     | 0                                  | 0                        | 0                        | 0                              |
| 3  | 2023-24     | 0                                  | 0                        | 0                        | 0                              |
| 4  | 2024-25     | 0                                  | 0                        | 0                        | 0                              |
| 5  | 2025-26     | 0                                  | 7                        | 7                        | 0                              |
|    | Grand Total | 0                                  | 7                        | 7                        | 0                              |

Note: Neo Wealth Management Private Limited commenced onboarding clients under it's broking division in December, 2022.

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