



# **SOBHAGYA**

CAPITAL OPTIONS PVT. LTD.

(Formerly Known as Sobhagya Capital Options Ltd.)

A SEBI Registered Merchant Banking Company

Data for the Month ended November 30, 2023

## **I. Initial Public Offer/Follow on Public Offer including Offer for Sale: Main Board/ SME**

S.N.	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 <sup>^</sup> (in days)
1.	Directly from Investors	Nil	Nil	Nil	Nil	Nil	Nil
2.	SEBI (SCORES)	Nil	Nil	Nil	Nil	Nil	Nil
3.	Stock Exchanges (if relevant)	Nil	Nil	Nil	Nil	Nil	Nil
4.	Other Sources (if any)	Nil	Nil	Nil	Nil	Nil	Nil
	<b>Grand Total</b>	Nil	Nil	Nil	Nil	Nil	Nil

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

S.N.	Month	Carried forward from previous month	Received during the particular month	Resolved during the particular month*	Pending at the end of the particular month #
1.	March, 2024	Nil	Nil	Nil	Nil
2.	April, 2024	Nil	Nil	Nil	Nil
3.	May, 2024	Nil	Nil	Nil	Nil
4.	June, 2024	Nil	Nil	Nil	Nil
5.	July, 2024	Nil	Nil	Nil	Nil
	<b>Grand Total</b>	Nil	Nil	Nil	Nil

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

S.N.	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	Nil	Nil	Nil	Nil
2.	2022	Nil	Nil	Nil	Nil
3.	2023	Nil	Nil	Nil	Nil
4.	2024	Nil	Nil	Nil	Nil
5.	2025	Not Applicable	Not Applicable	Not Applicable	Not Applicable
	<b>Grand Total</b>	Nil	Nil	Nil	Nil

<sup>^</sup> 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.



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## II. Rights Issue:

S.N.	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 <sup>^</sup> (in days)
1.	Directly from Investors	Nil	Nil	Nil	Nil	Nil	Not Applicable
2.	SEBI (SCORES)	Nil	Nil	Nil	Nil	Nil	Not Applicable
3.	Stock Exchanges (if relevant)	Nil	Nil	Nil	Nil	Nil	Not Applicable
4.	Other Sources (if any)	Nil	Nil	Nil	Nil	Nil	Not Applicable
	<b>Grand Total</b>	Nil	Nil	Nil	Nil	Nil	Not Applicable

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

S.N.	Month	Carried forward from previous month	Received during the particular month	Resolved during the particular month *	Pending at the end of the particular month #
1.	March, 2024	Nil	Nil	Nil	Nil
2.	April, 2024	Nil	Nil	Nil	Nil
3.	May, 2024	Nil	Nil	Nil	Nil
4.	June, 2024	Nil	Nil	Nil	Nil
5.	July, 2024	Nil	Nil	Nil	Nil
	<b>Grand Total</b>	Nil	Nil	Nil	Nil

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

S.N.	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	Nil	Nil	Nil	Nil
2.	2022	Nil	Nil	Nil	Nil
3.	2023	Nil	Nil	Nil	Nil
4.	2024	Nil	Nil	Nil	Nil
5.	2025	NA	NA	NA	NA
	<b>Grand Total</b>	Nil	Nil	Nil	Nil

<sup>^</sup> 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.



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### III. Qualified Institutional Placement (QIPs)

S.N.	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 <sup>^</sup> (in days)
1.	Directly from Investors	Nil	Nil	Nil	Nil	Nil	Not Applicable
2.	SEBI (SCORES)	Nil	Nil	Nil	Nil	Nil	Not Applicable
3.	Stock Exchanges (if relevant)	Nil	Nil	Nil	Nil	Nil	Not Applicable
4.	Other Sources (if any)	Nil	Nil	Nil	Nil	Nil	Not Applicable
	<b>Grand Total</b>	Nil	Nil	Nil	Nil	Nil	Not Applicable

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

S.N.	Month	Carried forward from previous month	Received during the particular month	Resolved during the particular month *	Pending at the end of the particular month #
1.	March, 2024	Nil	Nil	Nil	Nil
2.	April, 2024	Nil	Nil	Nil	Nil
3.	May, 2024	Nil	Nil	Nil	Nil
4.	June, 2024	Nil	Nil	Nil	Nil
5.	July, 2024	Nil	Nil	Nil	Nil
	<b>Grand Total</b>	Nil	Nil	Nil	Nil

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

S.N.	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	Nil	Nil	Nil	Nil
2.	2022	Nil	Nil	Nil	Nil
3.	2023	Nil	Nil	Nil	Nil
4.	2024	Nil	Nil	Nil	Nil
5.	2025	NA	NA	NA	NA
	<b>Grand Total</b>	Nil	Nil	Nil	Nil

<sup>^</sup> 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.



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## IV. Preferential Issue

S.N.	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 <sup>^</sup> (in days)
1.	Directly from Investors	Nil	Nil	Nil	Nil	Nil	Not Applicable
2.	SEBI (SCORES)	Nil	Nil	Nil	Nil	Nil	Not Applicable
3.	Stock Exchanges (if relevant)	Nil	Nil	Nil	Nil	Nil	Not Applicable
4.	Other Sources (if any)	Nil	Nil	Nil	Nil	Nil	Not Applicable
	<b>Grand Total</b>	Nil	Nil	Nil	Nil	Nil	Not Applicable

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

S.N.	Month	Carried forward from previous month	Received during the particular month	Resolved during the particular month *	Pending at the end of the particular month #
1.	March, 2024	Nil	Nil	Nil	Nil
2.	April, 2024	Nil	Nil	Nil	Nil
3.	May, 2024	Nil	Nil	Nil	Nil
4.	June, 2024	Nil	Nil	Nil	Nil
5.	July, 2024	Nil	Nil	Nil	Nil
	<b>Grand Total</b>	Nil	Nil	Nil	Nil

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

S.N.	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	Nil	Nil	Nil	Nil
2.	2022	Nil	Nil	Nil	Nil
3.	2023	Nil	Nil	Nil	Nil
4.	2024	Nil	Nil	Nil	Nil
5.	2025	NA	NA	NA	NA
	<b>Grand Total</b>	Nil	Nil	Nil	Nil

<sup>^</sup> 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.



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## V. Buyback of Securities

S.N.	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 <sup>^</sup> (in days)
1.	Directly from Investors	Nil	Nil	Nil	Nil	Nil	Not Applicable
2.	SEBI (SCORES)	Nil	Nil	Nil	Nil	Nil	Not Applicable
3.	Stock Exchanges (if relevant)	Nil	Nil	Nil	Nil	Nil	Not Applicable
4.	Other Sources (if any)	Nil	Nil	Nil	Nil	Nil	Not Applicable
	<b>Grand Total</b>	Nil	Nil	Nil	Nil	Nil	Not Applicable

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

S.N.	Month	Carried forward from previous month	Received during the particular month	Resolved during the particular month *	Pending at the end of the particular month #
1.	March, 2024	Nil	Nil	Nil	Nil
2.	April, 2024	Nil	Nil	Nil	Nil
3.	May, 2024	Nil	Nil	Nil	Nil
4.	June, 2024	Nil	Nil	Nil	Nil
5.	July, 2024	Nil	Nil	Nil	Nil
	<b>Grand Total</b>	Nil	Nil	Nil	Nil

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

S.N.	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	Nil	Nil	Nil	Nil
2.	2022	Nil	Nil	Nil	Nil
3.	2023	Nil	Nil	Nil	Nil
4.	2024	Nil	Nil	Nil	Nil
5.	2025	NA	NA	NA	NA
	<b>Grand Total</b>	Nil	Nil	Nil	Nil

<sup>^</sup> 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.

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## VI. Delisting of Securities

S.N.	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 <sup>^</sup> (in days)
1.	Directly from Investors	Nil	Nil	Nil	Nil	Nil	Not Applicable
2.	SEBI (SCORES)	Nil	Nil	Nil	Nil	Nil	Not Applicable
3.	Stock Exchanges (if relevant)	Nil	Nil	Nil	Nil	Nil	Not Applicable
4.	Other Sources (if any)	Nil	Nil	Nil	Nil	Nil	Not Applicable
	<b>Grand Total</b>	Nil	Nil	Nil	Nil	Nil	Not Applicable

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

S.N.	Month	Carried forward from previous month	Received during the particular month	Resolved during the particular month *	Pending at the end of the particular month #
1.	March, 2024	Nil	Nil	Nil	Nil
2.	April, 2024	Nil	Nil	Nil	Nil
3.	May, 2024	Nil	Nil	Nil	Nil
4.	June, 2024	Nil	Nil	Nil	Nil
5.	July, 2024	Nil	Nil	Nil	Nil
	<b>Grand Total</b>	Nil	Nil	Nil	Nil

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

S.N.	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	Nil	Nil	Nil	Nil
2.	2022	Nil	Nil	Nil	Nil
3.	2023	Nil	Nil	Nil	Nil
4.	2024	Nil	Nil	Nil	Nil
5.	2025	NA	NA	NA	NA
	<b>Grand Total</b>	Nil	Nil	Nil	Nil

<sup>^</sup> 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.



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## VII. Substantial Acquisition of Shares & Takeovers

S.N.	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 <sup>^</sup> (in days)
1.	Directly from Investors	Nil	Nil	Nil	Nil	Nil	Not Applicable
2.	SEBI (SCORES)	Nil	Nil	Nil	Nil	Nil	Not Applicable
3.	Stock Exchanges (if relevant)	Nil	Nil	Nil	Nil	Nil	Not Applicable
4.	Other Sources (if any)	Nil	Nil	Nil	Nil	Nil	Not Applicable
	<b>Grand Total</b>	Nil	Nil	Nil	Nil	Nil	Not Applicable

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

S.N.	Month	Carried forward from previous month	Received during the particular month	Resolved during the particular month *	Pending at the end of the particular month #
1.	March, 2024	Nil	Nil	Nil	Nil
2.	April, 2024	Nil	Nil	Nil	Nil
3.	May, 2024	Nil	Nil	Nil	Nil
4.	June, 2024	Nil	Nil	Nil	Nil
5.	July, 2024	Nil	Nil	Nil	Nil
	<b>Grand Total</b>	Nil	Nil	Nil	Nil

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

S.N.	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	Nil	Nil	Nil	Nil
2.	2022	Nil	Nil	Nil	Nil
3.	2023	Nil	Nil	Nil	Nil
4.	2024	Nil	Nil	Nil	Nil
5.	2025	NA	NA	NA	NA
	<b>Grand Total</b>	Nil	Nil	Nil	Nil

<sup>^</sup> 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.