



ASHIKA CAPITAL LIMITED

INVESTORS COMPLAINTS DATA IN COMPLIANCE WITH SEBI CIRCULAR SEBI/HO/CFD/DCR2/P/CIR/2021/0661 DATED NOVEMBER 23, 2021

A. CATEGORY-WISE INVESTORS COMPLAINTS DATA:

1. Initial Public Offers (IPOs) and Further Public Offers (FPOs) including Offer for Sale (OFS): Main Board

Data for the month ending Sep 30, 2023:

S. No.	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	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
	GRAND TOTAL	Nil	Nil	Nil	Nil	Nil	Not Applicable

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

S. No.	Month	Carried forward from previous month	Received during the month	Resolved during the month *	Pending at the end of month #
1	May, 2023	Nil	Nil	Nil	Nil
2	Jun, 2023	Nil	Nil	Nil	Nil
3	Jul, 2023	Nil	Nil	Nil	Nil
4	Aug, 2023	Nil	Nil	Nil	Nil
5	Sep, 2023	Nil	Nil	Nil	Nil
	GRAND TOTAL	-	-	-	-

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

S. No.	Year	Carried forward from previous year	Received during the year	Resolved during the year	Pending at the end of the year
1	2021	Nil	Nil	Nil	Nil
2	2022	Nil	Nil	Nil	Nil
3	2023	@	@	@	@
4	2024	@	@	@	@
5	2025	@	@	@	@
	GRAND TOTAL	-	-	-	-

^ 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.

@ The relevant period has not been completed.



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2. Initial Public Offers (IPOs) and Further Public Offers (FPOs) including Offer for Sale (OFS) by Small and Medium Enterprises (SMEs):

Data for the month ending Sep 30, 2023:

S. No.	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	Nil	Nil	Nil	Nil	Nil	Not Applicable
2	SEBI (SCORES)	Nil	Nil	Nil	Nil	Nil	Not Applicable
Data for the month ending Sep 30, 2023:	Stock Exchanges (if relevant)	Nil	Nil	Nil	Nil	Nil	Not Applicable
4	Other Sources (if any)	Nil	Nil	Nil	Nil	Nil	Not Applicable
	GRAND TOTAL	Nil	Nil	Nil	Nil	Nil	Not Applicable

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

S. No.	Month	Carried forward from previous month	Received during the month	Resolved during the month *	Pending at the end of month #
1	May, 2023	Nil	Nil	Nil	Nil
2	Jun, 2023	Nil	Nil	Nil	Nil
3	Jul, 2023	Nil	Nil	Nil	Nil
4	Aug, 2023	Nil	Nil	Nil	Nil
5	Sep, 2023	Nil	Nil	Nil	Nil
	GRAND TOTAL	-	-	-	-

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

S. No.	Year	Carried forward from previous year	Received during the year	Resolved during the year	Pending at the end of the year
1	2021	Nil	Nil	Nil	Nil
2	2022	Nil	Nil	Nil	Nil
3	2023	@	@	@	@
4	2024	@	@	@	@
5	2025	@	@	@	@
	GRAND TOTAL	-	-	-	-

^ 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.

@ The relevant period has not been completed.



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3. Rights Issues:

Data for the month ending Sep 30, 2023:

S. No.	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	Nil	Nil	Nil	Nil	Nil	Not Applicable
2	SEBI (SCORES)	Nil	Nil	Nil	Nil	Nil	Not Applicable
Data for the month ending Sep 30, 2023:	Stock Exchanges (if relevant)	Nil	Nil	Nil	Nil	Nil	Not Applicable
4	Other Sources (if any)	Nil	Nil	Nil	Nil	Nil	Not Applicable
	GRAND TOTAL	Nil	Nil	Nil	Nil	Nil	Not Applicable

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

S. No.	Month	Carried forward from previous month	Received during the month	Resolved during the month *	Pending at the end of month #
1	May, 2023	Nil	Nil	Nil	Nil
2	Jun, 2023	Nil	Nil	Nil	Nil
3	Jul, 2023	Nil	Nil	Nil	Nil
4	Aug, 2023	Nil	Nil	Nil	Nil
5	Sep, 2023	Nil	Nil	Nil	Nil
	GRAND TOTAL	-	-	-	-

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

S. No.	Year	Carried forward from previous year	Received during the year	Resolved during the year	Pending at the end of the year
1	2021	Nil	Nil	Nil	Nil
2	2022	Nil	Nil	Nil	Nil
3	2023	@	@	@	@
4	2024	@	@	@	@
5	2025	@	@	@	@
	GRAND TOTAL	-	-	-	-

^ 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.

@ The relevant period has not been completed.



ASHIKA CAPITAL LIMITED

4. Qualified Institutions Placements (QIPs):

Data for the month ending Sep 30, 2023:

S. No.	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	Nil	Nil	Nil	Nil	Nil	Not Applicable
2	SEBI (SCORES)	Nil	Nil	Nil	Nil	Nil	Not Applicable
Data for the month ending Sep 30, 2023:	Stock Exchanges (if relevant)	Nil	Nil	Nil	Nil	Nil	Not Applicable
4	Other Sources (if any)	Nil	Nil	Nil	Nil	Nil	Not Applicable
	GRAND TOTAL	Nil	Nil	Nil	Nil	Nil	Not Applicable

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

S. No.	Month	Carried forward from previous month	Received during the month	Resolved during the month *	Pending at the end of month #
1	May, 2023	Nil	Nil	Nil	Nil
2	Jun, 2023	Nil	Nil	Nil	Nil
3	Jul, 2023	Nil	Nil	Nil	Nil
4	Aug, 2023	Nil	Nil	Nil	Nil
5	Sep, 2023	Nil	Nil	Nil	Nil
	GRAND TOTAL	-	-	-	-

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

S. No.	Year	Carried forward from previous year	Received during the year	Resolved during the year	Pending at the end of the year
1	2021	Nil	Nil	Nil	Nil
2	2022	Nil	Nil	Nil	Nil
3	2023	@	@	@	@
4	2024	@	@	@	@
5	2025	@	@	@	@
	GRAND TOTAL	-	-	-	-

[^] 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.

@ The relevant period has not been completed.



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5. Preferential Issues:

Data for the month ending Sep 30, 2023:

S. No.	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	Nil	Nil	Nil	Nil	Nil	Not Applicable
2	SEBI (SCORES)	Nil	Nil	Nil	Nil	Nil	Not Applicable
Data for the month ending Sep 30, 2023:	Stock Exchanges (if relevant)	Nil	Nil	Nil	Nil	Nil	Not Applicable
4	Other Sources (if any)	Nil	Nil	Nil	Nil	Nil	Not Applicable
	GRAND TOTAL	Nil	Nil	Nil	Nil	Nil	Not Applicable

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

S. No.	Month	Carried forward from previous month	Received during the month	Resolved during the month *	Pending at the end of month #
1	May, 2023	Nil	Nil	Nil	Nil
2	Jun, 2023	Nil	Nil	Nil	Nil
3	Jul, 2023	Nil	Nil	Nil	Nil
4	Aug, 2023	Nil	Nil	Nil	Nil
5	Sep, 2023	Nil	Nil	Nil	Nil
	GRAND TOTAL	-	-	-	-

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

S. No.	Year	Carried forward from previous year	Received during the year	Resolved during the year	Pending at the end of the year
1	2021	Nil	Nil	Nil	Nil
2	2022	Nil	Nil	Nil	Nil
3	2023	@	@	@	@
4	2024	@	@	@	@
5	2025	@	@	@	@
	GRAND TOTAL	-	-	-	-

^ 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.

@ The relevant period has not been completed.



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6. Buyback of Securities:

Data for the month ending Sep 30, 2023:

S. No.	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	Nil	Nil	Nil	Nil	Nil	Not Applicable
2	SEBI (SCORES)	Nil	Nil	Nil	Nil	Nil	Not Applicable
Data for the month ending Sep 30, 2023:	Stock Exchanges (if relevant)	Nil	Nil	Nil	Nil	Nil	Not Applicable
4	Other Sources (if any)	Nil	Nil	Nil	Nil	Nil	Not Applicable
	GRAND TOTAL	Nil	Nil	Nil	Nil	Nil	Not Applicable

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

S. No.	Month	Carried forward from previous month	Received during the month	Resolved during the month *	Pending at the end of month #
1	May, 2023	Nil	Nil	Nil	Nil
2	Jun, 2023	Nil	Nil	Nil	Nil
3	Jul, 2023	Nil	Nil	Nil	Nil
4	Aug, 2023	Nil	Nil	Nil	Nil
5	Sep, 2023	Nil	Nil	Nil	Nil
	GRAND TOTAL	-	-	-	-

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

S. No.	Year	Carried forward from previous year	Received during the year	Resolved during the year	Pending at the end of the year
1	2021	Nil	Nil	Nil	Nil
2	2022	Nil	Nil	Nil	Nil
3	2023	@	@	@	@
4	2024	@	@	@	@
5	2025	@	@	@	@
	GRAND TOTAL	-	-	-	-

^ 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.

@ The relevant period has not been completed.



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7. Delisting of Equity Shares:

Data for the month ending Sep 30, 2023:

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1	Directly from Investors	Nil	Nil	Nil	Nil	Nil	Not Applicable
2	SEBI (SCORES)	Nil	Nil	Nil	Nil	Nil	Not Applicable
Data for the month ending Sep 30, 2023:	Stock Exchanges (if relevant)	Nil	Nil	Nil	Nil	Nil	Not Applicable
4	Other Sources (if any)	Nil	Nil	Nil	Nil	Nil	Not Applicable
	GRAND TOTAL	Nil	Nil	Nil	Nil	Nil	Not Applicable

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

S. No.	Month	Carried forward from previous month	Received during the month	Resolved during the month *	Pending at the end of month #
1	May, 2023	Nil	Nil	Nil	Nil
2	Jun, 2023	Nil	Nil	Nil	Nil
3	Jul, 2023	Nil	Nil	Nil	Nil
4	Aug, 2023	Nil	Nil	Nil	Nil
5	Sep, 2023	Nil	Nil	Nil	Nil
	GRAND TOTAL	-	-	-	-

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

S. No.	Year	Carried forward from previous year	Received during the year	Resolved during the year	Pending at the end of the year
1	2021	Nil	Nil	Nil	Nil
2	2022	Nil	Nil	Nil	Nil
3	2023	@	@	@	@
4	2024	@	@	@	@
5	2025	@	@	@	@
	GRAND TOTAL	-	-	-	-

^ 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.

@ The relevant period has not been completed.



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8. Substantial Acquisitions of Shares and Takeovers:

Data for the month ending Sep 30, 2023:

S. No.	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	Nil	Nil	Nil	Nil	Nil	Not Applicable
2	SEBI (SCORES)	Nil	Nil	Nil	Nil	Nil	Not Applicable
Data for the month ending Sep 30, 2023:	Stock Exchanges (if relevant)	Nil	Nil	Nil	Nil	Nil	Not Applicable
4	Other Sources (if any)	Nil	Nil	Nil	Nil	Nil	Not Applicable
	GRAND TOTAL	Nil	Nil	Nil	Nil	Nil	Not Applicable

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

S. No.	Month	Carried forward from previous month	Received during the month	Resolved during the month *	Pending at the end of month #
1	May, 2023	Nil	Nil	Nil	Nil
2	Jun, 2023	Nil	Nil	Nil	Nil
3	Jul, 2023	Nil	Nil	Nil	Nil
4	Aug, 2023	Nil	Nil	Nil	Nil
5	Sep, 2023	Nil	Nil	Nil	Nil
	GRAND TOTAL	-	-	-	-

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

S. No.	Year	Carried forward from previous year	Received during the year	Resolved during the year	Pending at the end of the year
1	2021	Nil	Nil	Nil	Nil
2	2022	Nil	Nil	Nil	Nil
3	2023	@	@	@	@
4	2024	@	@	@	@
5	2025	@	@	@	@
	GRAND TOTAL	-	-	-	-

[^] 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.

@ The relevant period has not been completed.



B. COLLECTIVE INVESTORS COMPLAINTS DATA:

(1) INITIAL PUBLIC OFFERS (IPOS) AND FURTHER PUBLIC OFFERS (FPOS) INCLUDING OFFER FOR SALE (OFS): MAIN BOARD, (2) INITIAL PUBLIC OFFERS (IPOS) AND FURTHER PUBLIC OFFERS (FPOS) INCLUDING OFFER FOR SALE (OFS) BY SMALL AND MEDIUM ENTERPRISES (SMES), (3) RIGHTS ISSUES, (4) QUALIFIED INSTITUTIONAL PLACEMENT (QIPS), (5) PREFERENTIAL ISSUES, (6) BUYBACK OF SECURITIES, (7) DELISTING OF EQUITY SHARES and (8) SUBSTANTIAL ACQUISITIONS OF SHARES AND TAKEOVERS

Data for the month ending Sep 30, 2023:

S. No.	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	Nil	Nil	Nil	Nil	Nil	Not Applicable
2	SEBI (SCORES)	Nil	Nil	Nil	Nil	Nil	Not Applicable
Data for the month ending Sep 30, 2023:	Stock Exchanges (if relevant)	Nil	Nil	Nil	Nil	Nil	Not Applicable
4	Other Sources (if any)	Nil	Nil	Nil	Nil	Nil	Not Applicable
	GRAND TOTAL	Nil	Nil	Nil	Nil	Nil	Not Applicable

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

S. No.	Month	Carried forward from previous month	Received during the month	Resolved during the month *	Pending at the end of month #
1	May, 2023	Nil	Nil	Nil	Nil
2	Jun, 2023	Nil	Nil	Nil	Nil
3	Jul, 2023	Nil	Nil	Nil	Nil
4	Aug, 2023	Nil	Nil	Nil	Nil
5	Sep, 2023	Nil	Nil	Nil	Nil
	GRAND TOTAL	-	-	-	-

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

S. No.	Year	Carried forward from previous year	Received during the year	Resolved during the year	Pending at the end of the year
1	2021	Nil	Nil	Nil	Nil
2	2022	Nil	Nil	Nil	Nil
3	2023	@	@	@	@
4	2024	@	@	@	@
5	2025	@	@	@	@
	GRAND TOTAL	-	-	-	-

^ 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.

@ The relevant period has not been completed.