

Espresso Financial Services Private Limited

Format for Investor Complaints Data to be displayed by Stockbrokers on their respective websites

Data for every month ending – 30/11/2024.

S N	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	00	01	01	00	01	00	NA
2	SEBI (SCORES)	03	00	03	03	00	00	12
3	Stock Exchanges	00	03	03	02	01	00	07
4	Other Sources, ODR (if any)	00	01	01	00	01	00	00
5	Grand Total	03	05	08	05	03	00	10

^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 monthly disposal of complaints

Sr. No	Month	Carried forward from previous month	Received	Resolved*	Pending**
1	2	3	4	5	6
1	May, 2024	01	31	31	01
2	June, 2024	01	11	11	01
3	July, 2024	01	59	59	01
4	Aug, 2024	01	38	38	01
5	Sept, 2024	01	17	10	08
6	Oct, 2024	08	12	17	03
7	Nov, 2024	03	05	05	03
	Grand Total	16	173	171	18

*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.

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	2020-21	00	07	06	01
2	2021-22	01	131	131	01
3	2022-23	01	322	314	09
4	2023-24	09	539	546	02
5	2024-25	02	196	195	-
	Grand Total	13	1195	1192	16