ACTION TAKEN REPORT (ATR)

Name of Research Analyst	Estee Advisors Private Limited
SEBI Registration No.:	INH000019503
BSE Enlistment No.:	6486
Entity Type:	Corporate Body
Financial Year:	2025-2026

Sr. No	Regulation	Particulars	Compliance Status	Reason for non-compliance	Auditor Comments Accepted (Yes/No)	Action taken on adverse findings
1	Regulation 26 And SEBI Master Circular HO/38/12/11(1)2026-MIRSDPOD/ I/4360/2026 Clause no. 1.6	Appointment of Compliance officer A Research Analysts shall appoint a compliance officer who shall be responsible for monitoring the compliance by the RA. Whereas an independent professional appointed as compliance officer holds relevant NISM certifications as prescribed in the regulation.	Non-complied	Mrs Preeti Joshi Mundeja, an independent professional, was appointed as a compliance officer wef 05 March 2026 in place of Mr. Anirudh Kataruka As on date of appointment and till the end of FY 2025-26, she did not hold the relevant NISM certification prescribed under the Regulation and Master Circular referred to in this point She subsequently cleared the NISM Series	Yes	Mrs Preeti Joshi Mundeja was appointed as the in-house Compliance Officer of the Company with effect from March 05, 2026, in place of Mr Anirudh Kataruka, under Regulation 26(1)(ii) of the SEBI (Research Analysts) Regulations, 2014. It is acknowledged that Mrs Preeti Joshi Mundeja did not hold the NISM Series XV Research Analyst Certification as on March 31, 2026. She subsequently passed the NISM Series XV Research Analyst Certification Examination on July 11,

				XV Research Analyst Certification examination on 11 July 2026 valid till 10 July 2029		2026, and the certification is valid until July 10, 2029. The Company has taken note of the auditor's observation and has reviewed the applicable regulatory provisions relating to the appointment of a Compliance Officer. The Company shall continue to ensure that the appointment and functioning of the Compliance Officer remain in accordance with the applicable SEBI Regulations, circulars and guidelines.

For Estee Advisors Private Limited

Anirudh Kataruka, Director
DIN: 07949701

Signature of Director: Anirudh Kataruka
Date and Place: 28.10.2026 Kolkata