ACTION TAKEN REPORT (ATR)

Name of Research Analyst	Estee Advisors Private Limited
SEBI Registration No.:	INA000016463
BSE Enlistment No.:	1698
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 20 and SEBI Master Circular HO/38/12/11(2)2026-MIRSDPOD/ I/4300/2026 clause 1(x)	Appointment of Compliance officer An investment adviser shall appoint a compliance officer who shall be responsible for monitoring the compliance by the investment adviser. Whereas an independent professional appointed as compliance officer holds relevant NISM certifications as prescribed in the regulation.	Non-complied	Mr Anirudh Kataruka, who held the requisite NISM certification NISM series X-A and X-B, was relieved as Compliance Officer during the year Ms Preeti Joshi Mundeja was appointed as Compliance Officer wef 05th March 2026 As of date of this report, Ms Mundeja has not cleared the NISM certification prescribed for a person appointed as a Compliance Officer under the Regulation 20 and the applicable Master	Yes	Mrs Preeti Joshi Mundeja was appointed as the Companys inhouse Compliance Officer with effect from March 5, 2026, in place of Mr Anirudh Kataruka, pursuant to Regulation 20 of the SEBI Investment Advisers Regulations, 2013 It is acknowledged that Mrs Mundeja did not hold the requisite NISM certification Accordingly, Mr Anirudh Kataruka, who holds the relevant NISM certifications as prescribed under the applicable regulations and the relevant Master

				Circular clause Accordingly as on 31 March 2026 and as on the date of this report, this requirement is not complied with		Circular, has been reappointed as the Companys in-house Compliance Officer with effect from October 23, 2026

For Estee Advisors Private Limited

Anirudh Kataruka, Director
DIN: 07949701

Signature of Director: Anirudh Kataruka
Date and Place: 26.10.2026 Kolkata