



# Compounding Wealth Advisors LLP

## Action Taken Report (ATR)

Name of Investment Adviser:	Compounding Wealth Advisors LLP
SEBI Registration No.:	INA000011219
BSE Enlistment No.:	1770
Entity Type:	IA
Financial Year:	2024-2025

Sr. No	Regulation	Particulars	Compliance Status	Reason for non-compliance	Auditor Comments Accepted (Yes/No)	Action taken on adverse findings
1	SEBI Master circular Ref. No. SEBI/HO/MIRSD/MIRSD-PoD-1/P/CIR/2024/50 Clause - IV(6) and (SEBI/HO/MIRSD2/DOR/CIR/P/2020/221 dated November 03, 2020)	Advisory for Financial Sector Organizations regarding Software as a Service (SaaS) based solutions Compliance of the SEBI circular for Advisory for financial Sector Organizations regarding Software as a Service (SaaS) based solutions for half-yearly ended 31st March and 30th September.	Not-Complied	Undertaking on Compliances for SAAS based solution not submitted on half yearly basis to Exchange	Yes	We have Complied with requirement as o date also Submitted September 2025 SAAS Based Submission
2	SEBI Master circular Ref. No. SEBI/HO/MIRSD/MIRSD-PoD-1/P/CIR/2024/50 dated May 21, 2024 - VI(21.2)	Other reporting requirements Whether Undertaking on compliance of the advisory for Financial Sector Organizations regarding Software as a Service (SaaS) based solutions to be submitted half yearly.	Not-Complied	Undertaking on Compliances for SAAS based solution not submitted on half yearly basis to Exchange	Yes	We have Complied with requirement as o date also Submitted September 2025 SAAS Based Submission
3	SEBI Master circular Ref. No. SEBI/HO/MIRSD-PoD-2/P/CIR/2023/89/ dated June 15, 2023 - VII	Reporting Requirements: IA has followed and complied to all reporting requirement as per VII of Master Circular	Not-Complied	Undertaking on Compliances for SAAS based solution not submitted on half yearly basis to Exchange	Yes	We have Complied with requirement as o date also Submitted September 2025 SAAS Based Submission
4	SEBI Master circular Ref. No. SEBI/HO/MIRSD-PoD-2/P/CIR/2023/89/ dated June 15, 2023 - VIII	ANNEXURES Has IA followed all the annexures as prescribed in point VIII of Master circular	Not-Complied	Undertaking on Compliances for SAAS based solution not submitted on half yearly basis to Exchange	Yes	We have Complied with requirement as o date also Submitted September 2025 SAAS Based Submission

Compounding Wealth Advisors LLP

Partner