



Fincore Advisory Services Pvt Ltd

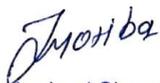
CIN: U74999MH2020PTC342651

Action Taken Report (ATR)

Name of Investment Adviser:	FINCORE ADVISORY SERVICES PVT LTD
SEBI Registration No.:	INA000015914
BSE Enlistment No.:	1035
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	Since Microsoft Outlook Gmail has not been reported in the SAAS submission	Yes	Microsoft Outlook and Gmail were not reported in our earlier SaaS submission as we had initially considered only advisory related applications We now understand that email services also fall under SaaS Both Outlook and Gmail noncritical, hosted outside India will be included in all future half yearly submissions
2	SEBI Master circular Ref. No. SEBI/HO/MIRSD/MIRSD-PoD-1/P/CIR/2024/50 dated May 21, 2024 - VI(17)	Guidelines on Anti-Money Laundering (AML) Standards and Combating the Financing of Terrorism (CFT) / Obligations of Securities Market Intermediaries under the Prevention of Money Laundering Act, 2002 and Rules framed there under. Compliance of aforementioned point VI (17) of master circular by registered investment advise:s	Not-Complied	Since the IA has not yet registered for Principal Officer and Designated Director in the FINnet 20 system	Yes	Fincore has been consistently following up with FIUIND for registration of Principal Officer and Designated Director in FINNET 2.0 Despite repeated attempts, the system issue persists and FIU has confirmed that the matter is under investigation Registration will be completed immediately upon resolution

For FINCORE ADVISORY SERVICES PVT. LTD.


Authorised Signatory



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SEBI RIA: INA000015914



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3	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	Since Microsoft Outlook Gmail has not been reported in the SAAS submission	Yes	Microsoft Outlook and Gmail were not reported in our earlier SaaS submission as we had initially considered only advisory related applications We now understand that email services also fall under SaaS Both Outlook and Gmail noncritical, hosted outside India will be included in all future half yearly submissions
4	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	Since Microsoft Outlook Gmail has not been reported in the SAAS submission	Yes	Microsoft Outlook and Gmail were not reported in our earlier SaaS submission as we had initially considered only advisory related applications We now understand that email services also fall under SaaS Both Outlook and Gmail noncritical, hosted outside India will be included in all future half yearly submissions

Signature of IA / Partner / Director:

Date and Place: 30-09-2025 (THANE)

For FINCORE ADVISORY SERVICES PVT. LTD.

Motiba
Authorised Signatory

