


## Action Taken Report (ATR)

Name of Research Analyst:	HAITONG SECURITIES INDIA PRIVATE LIMITED
SEBI Registration No.:	INH000002590
BSE Enlistment No.:	5163
Entity Type:	RA
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/2024/49 (Dated May 21, 2024) Clause 5.3	Publishing Investor Charter and disclosure of Investor Complaints In order to enhance transparency in grievance redressal, Research Analyst (RA) shall disclose on their websites/mobile applications, all complaints including SCORES complaints received by them in the format mentioned in Annexure B on a monthly basis. The information shall be made available by 07th of the succeeding month. Research Analysts not having websites/mobile applications shall send status of Investor Complaints to the investors on their registered email on a monthly basis.	Not-Complied	Haitong Securities India Private Limited has confirmed that they have not received any complaints during the Audit period However no disclosure has been made on the website in the format mentioned in Annexure B	Yes	Haitong Securities India Private Limited deals only with Institutional Investors and do not cater to any Retail clients We have not received any complaints directly or through SCORES from any of the clients However, we have subsequently complied with this requirement
2	SEBI Master circular Ref. No. SEBI/HO/MIRSD/MIRSD-PoD-1/P/CIR/2024/49 (Dated May 21, 2024) Clause VI (1)	Reporting requirements Whether Complaint Data has been displayed by R As on their website/ mobile application by 07th of the succeeding month	Not-Complied	Haitong Securities India Private Limited has confirmed that they have not received any grievances for the Audit period However no disclosure has been made on the website in the format mentioned in Annexure B	Yes	Haitong Securities India Private Limited deals only with Institutional Investors and do not cater to any Retail clients We have not received any complaints directly or through SCORES from any of the clients However, we have subsequently complied with this requirement



3	SEBI Master circular Ref. No. SEBI/HO/MIRSD/MIRSD-PoD-1/P/C/R/2024/49 (Dated May 21, 2024) – Part VII. Annexures	<p>ANNEXURES Has R – A followed all the annexures as prescribed in para VII. of Master circular (as applicable):</p> <p>Annexure A: Investor Charter Annexure B: Complaints Data Annexure C: CERT-in Advisory for SaaS Annexure D: Declaration-cum-undertaking for seeking prior approval for change in control Annexure E: Principles for outsourcing Annexure F: Detailed Framework for RAASB</p>	Not-Complied	Annexure A, D and F Complied Annexure C, E Not Applicable and Annexure B Not Complied	Yes	Haitong Securities India Private Limited deals only with Institutional Investors and do not cater to any Retail clients. We have not received any complaints directly or through SCORES from any of the clients. However, we have subsequently complied with this requirement.
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Signature of RA / Partner / Director:

Date and Place: 30/10/2025, Mumbai

