

ACTION TAKEN REPORT

TO WHOMSOEVER IT MAY CONCERN

Regulation	Particulars	Compliance Status	Reason for non-compliance/ non-applicability	Action taken on adverse findings (duly approved by the individual IA/ management of the non-individual IA)
Regulation 7	<u>Qualification and certification requirement.</u> An individual investment adviser or a principal officer of a non-individual investment adviser registered as an investment adviser under these regulations and persons associated with investment advice shall have minimum qualification and certification requirements as mentioned in Regulation 7(1) and 7(2)	<input checked="" type="checkbox"/> Complied <input type="checkbox"/> Not- Complied <input type="checkbox"/> Not Applicable	Observation is noted and it is to state that the lapse in the NISM certificate was inadvertent. However, since it was essential to address the issue promptly, we took corrective actions to ensure ongoing compliance with regulatory requirements. The principal officer appeared and secured the certification as soon as we identified the lapse.	Management of the non-individual IA
SEBI/HO/IMD/DF1/C IR/P/2 020/182 (Dated September 23, 2020) Clause 2(ix)	<u>Display of details on website and in other communication channels.</u> IAs shall prominently display the information as specified under this clause, on its website, mobile app, printed or electronic materials, know your client forms, client agreements and other correspondences with the clients	<input checked="" type="checkbox"/> Complied <input type="checkbox"/> Not- Complied <input type="checkbox"/> Not Applicable	Observation is noted. Accordingly, requisite details are included in all the communications to clients.	Management of the non-individual IA

Thanks and Regards,
William O Neil India Private Limited
SEBI Registration No. **INA200005125**
BASL membership No. **BASL1365**
Name: S R Varun Sai Ram
Designation: Compliance Officer
Email: varun.sr@williamoneilindia.com
Contact Number: +91 9886376648

"Investment in securities market are subject to market risks. Read all the related documents carefully before investing. Registration granted by SEBI, membership of BASL (in case of IAs) and certification from NISM in no way guarantee performance of the intermediary or provide any assurance of returns to investors"