

**COMPLIANCE CERTIFICATE FOR THE QUARTER ENDED DECEMBER 31, 2022**

*(Pursuant to Securities and Exchange Board of India (Prohibition of Insider Trading) Regulations, 2015)*

I, Amit Bhandari, Compliance Officer, have examined the following compliance requirement of IIFL Wealth Prime Limited (Company) and certify that the Company has maintained a Structured Digital Database (SDD) pursuant to provisions of Regulation 3(5) and 3(6) of **Securities and Exchange Board of India (Prohibition of Insider Trading) Regulations, 2015** (PIT Regulations) and I certify that

1. the Company has a Structured Digital Database in place;
2. control exists as to who can access the SDD;
3. all the UPSI disseminated in the previous quarter have been captured in the Database;
4. the system has captured nature of UPSI along with date and time;
5. the database has been maintained internally and an audit trail is maintained;
6. the database is non-tamperable and has the capability to maintain the records for 8 years.

I also confirm that the Company was required to capture 1 number of events (Financial Results) during the quarter ended December 31, 2022, and has captured the same.

I would like to report that the following noncompliance(s) was observed in the previous quarter and the remedial action(s) taken along with timelines in this regard: Not Applicable.

**For IIFL Wealth Prime Limited**

**Amit Bhandari**  
**Company Secretary & Compliance Officer**  
**ACS: 25871**  
**Email: [nbf-compliance@iiflw.com](mailto:nbf-compliance@iiflw.com)**

Date: January 16, 2023

Place: Mumbai

**IIFL WEALTH PRIME LIMITED**

**Corporate & Registered Office:** 6<sup>th</sup> Floor, IIFL Centre, Kamala City, Senapati Bapat Marg, Lower Parel (West), Mumbai 400 013

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