

COMPLIANCE CERTIFICATE FOR THE QUARTER ENDED JUNE 2022

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

I, Rohit Bhave, Compliance Officer, have examined the following compliance requirement of IIFL Wealth Management 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):

Sr. No	Compliance Requirement	Yes/No	Observation/ Remark
1.	Whether the Company has a Structured Digital Database in place?	Yes	
2.	Whether control exists as to who can access the SDD for read/ write alongwith the names and PAN of such person?	Yes	
3.	Whether all the UPSI had been captured in the Database. If not details of events that had not been captured and the reason for the same?	Yes	
4.	Whether the recipients were upfront informed that the information which they will be receiving shortly is UPSI and the entry has been captured in the Database prior to forwarding the UPSI data. If not details of events that have not been captured and the reason for the same?	Yes	
5.	Whether nature of UPSI have been captured alongwith date and time?	Yes	
6.	Whether name of persons who have shared the information has been captured along with PAN or any other identifier?	Yes	
7.	Whether name of persons with whom information is shared has been captured along with PAN or any other identifier?	Yes	
8.	Whether the database has been maintained internally?	Yes	
9.	Whether audit trail is maintained?	Yes	
10.	Whether time stamping is maintained?	Yes	
11.	Whether the database is non-tamperable?	Yes	
12.	Any other measures to ensure non-tamperability of the Database?	N.A.	

The number of days for which non-compliance was observed: Not Applicable

IIFL WEALTH PRIME LIMITED

(Formerly known as IIFL Wealth Finance Limited)

Corporate & Registered Office:

6th Floor, IIFL Centre, Kamala City, Senapati Bapat Marg,

Lower Parel (W), Mumbai – 400 013

Tel: (91-22) 4876 5600 | Fax: (91-22) 4646 5606

Email ID: nbfc-compliance@iiflw.com | www.iiflwealthprime.com

CIN: U65990MH1994PLC080646



Further I also confirm that the Company was required to capture 1 of event (Financial Results) during the quarter ended June 30, 2022, and has captured the same.

For IIFL Wealth Prime Limited

A handwritten signature in blue ink, appearing to read "Amit Bhandari", written over a light blue circular stamp.



Amit Bhandari
Company Secretary
ACS: 25871

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(IIFL Wealth Group)

AMFI-Registered Mutual Fund Distributor