



Upsurge Investment & Finance Ltd.

5th January, 2024

To,
BSE Limited,
Corporate Relationship Department,
2nd Floor, New Trading Wing,
Rotunda Building, P.J. Towers,
Dalal Street,
Mumbai – 400001

Ref: Upsurge Investment & Finance Limited (BSE Scrip Code 531390; ISIN INE890B01014)

Dear Sir/Madam,

Subject: Structured Digital Database (SDD) Compliance Certificate for the quarter ended 31st December, 2023

Pursuant to Regulation 3(5) and 3(6) of Securities and Exchange Board of India (Prohibition of Insider Trading) Regulations, 2015 (PIT Regulations), please find enclosed herewith the SDD Compliance Certificate for the quarter ended 31st December, 2023.

Kindly take the same on record.

Thanking you.

Yours faithfully,

For Upsurge Investment & Finance Limited

Dayakrishna Goyal
Managing Director
DIN: 00398539



Upsurge Investment & Finance Ltd.

COMPLIANCE CERTIFICATE FOR THE QUARTER ENDED DECEMBER, 2023

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

I, Dayakrishna Goyal, Managing Director of Upsurge Investment & Finance Limited, am aware of the compliance requirement of 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 and I certify that:

1. the Company has a SDD 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 2 number of events during the quarter ended and has captured 2 number of the said required event.

I would like to report that no non compliance was observed in the previous quarter.

For Upsurge Investment & Finance Limited

Dayakrishna Goyal
Managing Director
DIN: 00398539

Date: 5th January, 2024

Place: Mumbai