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# Upsurge Investment & Finance Ltd.

Date: 06/10/2023

To,  
**BSE Ltd.,**  
**Listing Department,**  
P.J. Towers, 1<sup>st</sup> Floor,  
Dalal Street, Fort,  
Mumbai - 400 001

**Ref: Upsurge Investment & Finance Ltd (531390)**

**Subject: Structured Digital Database (SDD) compliance certificate for the quarter and half year ended September 30, 2023**

Dear Sir,

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 and half ended September 30, 2023.

Kindly take the same on record.

Thanking you.

Yours faithfully,

**For Upsurge Investment & Finance Ltd**

**Diksha Joshi**  
**Company Secretary & Compliance Officer**



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# Upsurge Investment & Finance Ltd.

## **COMPLIANCE CERTIFICATE FOR THE QUARTER ENDED SEPTEMBER, 2023**

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

I, Diksha Joshi, Compliance Officer 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 (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 2 number of events during the quarter ended and has captured 2 number of the said required event.

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

### **For Upsurge Investment & Finance Limited**

DIKSHA Digitally signed  
by DIKSHA JOSHI  
Date: 2023.10.06  
11:25:11 +05'30'  
JOSHI

**Diksha Joshi**  
**Company Secretary & Compliance Officer**  
**Membership No- A66150**  
**Date: 06.10.2023**  
**Place: Mumbai**