



**COMPLIANCE CERTIFICATE FOR THE QUARTER ENDED JUNE 30, 2022**

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

I, Tushit G. Mangukiya, Compliance officer of the company, have examined the following compliance requirement of Marwadi Shares and Finance 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	None
2.	Whether control exists as to who can access the SDD for read/ write alongwith the names and PAN of such person?	Yes	None
3.	Whether all the UPSI have been captured in the Database. If not details of events that have not been captured and the reason for the same?	Yes	None
4.	Whether the recipient 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	None
5.	Whether nature of UPSI have been captured alongwith date and time?	Yes	None
6.	Whether name of persons who have shared the information has been captured along with PAN or any other identifier?	Yes	None
7.	Whether name of persons with whom information is shared has been captured along with PAN or any other identifier?	Yes	None
8.	Whether the database has been maintained internally?	Yes	None
9.	Whether audit trail is maintained?	Yes	None
10.	Whether time stamping is maintained?	Yes	None
11.	Whether the database is non-tamperable?	Yes	None
12.	Any other measures to ensure non-tamperability of the Database?	No	For the time being not required

The number of days for which non-compliance was observed: None

**Marwadi Shares and Finance Limited**

**Corporate Office:**

Marwadi Financial Plaza,  
Nana Mava Main Road, Off 150<sup>th</sup> Ring  
Road, Rajkot-360 001, Gujarat

**Phone:** +91-281-7174 000 / 6192 000  
**Email:** inquiry@marwadionline.in  
**Website:** www.marwadionline.com

**Registered Office:**

Office No. 1, MCX Office, 17<sup>th</sup> Floor, Unit No. 1 &  
2, GIFT ONE Tower, S. C. Road, Zone- 5, GIFT  
CITY,  
Gandhinagar-382355, Gujarat.





Further I also confirm that the Company was required to capture 1 (One) number of events during the quarter/~~half year~~ ended and has captured 1 (One) number of the said required events.

Note: Marwadi Shares and Finance Limited, Company being a debt listed entity had approved event of Approval of Standalone Financial Results for the quarter and year ended on March 31, 2022, which would not be considered an event that would materially affect price of its Debenture (as Debenture carries fixed rate of Interest and No equity shares of the Company are listed) which may please be noted.

**For, Marwadi Shares and Finance Limited**

*T G Mangukiyani*

**(Tushit G. Mangukiyani)**  
**Company Secretary & Compliance Officer**  
**FCS:5286**



Date: August 08, 2022

Place: Rajkot

**Marwadi Shares and Finance Limited**

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