Upsurge Investment & Finance Ltd.

Date: 08/07/2024

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

Ref: Upsurge Investment & Finance Ltd (531390)

Subject: Structured Digital Database (SDD) compliance certificate for the quarter ended June 30, 2024

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 ended June 30, 2024.

Kindly take the same on record.

Thanking you.

Yours faithfully,

For Upsurge Investment & Finance Ltd

Jitendra Kumar Gupta

UPSURGE INVESTMENT & FINANCE LTD. MUMBAI

Jitendra Gupta
Company Secretary & Compliance Officer
Membership No- A68061
Date: 08.07.2024
Place: Mumbai

Upsurge Investment & Finance Ltd.

COMPLIANCE CERTIFICATE FOR THE QUARTER ENDED JUNE, 2024

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

I, Jitendra Gupta, 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 1 number of event during the quarter ended and has captured 1 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

Jitendra Kumar Gupta

UPSURGE INVESTMENT & FINANCE LTD. MUMBAI

Jitendra Gupta
Company Secretary & Compliance Officer
Membership No- A68061
Date: 08.07.2024
Place: Mumbai