UPSURGE

Upsurge Investment & Finance Ltd.

04th April 2025

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

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 March 2025

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 March 2025.

Kindly take the same on record.

Thanking you.

Yours faithfully,

For Upsurge Investment & Finance Limited

Jitendra
Kumar
Gupta

Digitally signed by Jitendra Kumar Gupta
DN: c=IN, o=Personal, title=0847,
pseudonym=9pCYkUs8qQt4vbtufbtFUKSAil
OSbHzp,
2.5.4.20=a57ab2dc88ce34313fcd0a93bb51c
3c02481ff8c73343151fb4d3cc8ecc795ba,
postalCode=452020, st=Madhya Pradesh,
serialNumber=643336084e9732f0c2bb52e0
62a0a320ca2f45a1ecbe9c4622ba06a707425
ad3, cn=Jitendra Kumar Gupta
Date: 2025.04.04 12:34:15 +05'30'

Jitendra Kumar Gupta
Company Secretary and Compliance Officer
Membership No. – A68061
Date: 04th April, 2025
Place: Mumbai

UPSURGE

Upsurge Investment & Finance Ltd.

COMPLIANCE CERTIFICATE FOR THE QUARTER ENDED MARCH, 2025

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

I, Jitendra Kumar 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 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 1 number of events during the quarter ended and has captured 1 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

Jitendra
Kumar
Gupta

Digitally signed by Jitendra Kumar Gupta
DN: c=IN, o=Personal, title=0847,
pseudonym=9pCYkUs8qQt4vbtufbtFUKSAilOS
bHzp,
2.5.4.20=a57ab2dc88ce34313fcd0a93bb51c3c
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postalCode=452020, st=Madhya Pradesh,
serialNumber=643336084e9732f0c2bb52e062
a0a320ca2f45a1ecbe9c4622ba06a707425ad3,
cn=Jitendra Kumar Gupta
Date: 2025.04.04 12:35:06 +05'30'

Jitendra Kumar Gupta
Company Secretary & Compliance Officer
Membership No- A68061
Date: 04.04.2025
Place: Mumbai