

August 22, 2024

<b>The Manager, Listing Department, BSE Limited, Phiroze Jeejeebhoy Tower, Dalal Street, Mumbai 400 001. Tel no.: 22721233 Fax No.: 22723719/ 22723121/ 22722037 BSE Scrip Code: 542773</b>	<b>The Manager, Listing Department, The National Stock Exchange of India Ltd., Exchange Plaza, 5<sup>th</sup> Floor, Plot C/1, G Block, Bandra - Kurla Complex, Bandra (E), Mumbai 400 051. Tel No.: 2659 8235 Fax No.: 26598237/ 26598238 NSE Symbol: IIFLSEC</b>
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Dear Sir/ Madam

**Sub: Intimation under Regulation 30 of Securities and Exchange Board of India (Listing Obligations and Disclosure Requirements) Regulations, 2015**

Pursuant to Regulation 30 read with Para A of Part A of Schedule III of Securities and Exchange Board of India (Listing Obligations and Disclosure Requirements) Regulations, 2015 (“SEBI Listing Regulation”) we wish to inform that SEBI has issued an Order dated August 21, 2024 under Section 15-I of Securities and Exchange Board of India Act, 1992 read with Rule 5 of SEBI (Procedure for Holding Inquiry and Imposing Penalties) Rules, 1995; and under Section 23-I of Securities Contracts (Regulation) Act, 1956 read with Rule 5 of Securities Contracts (Regulation) (Procedure for Holding Inquiry and Imposing Penalties) Rules, 2005.

In this regard, please find below disclosure of information pursuant to Regulation 30 of the SEBI Listing Regulations.

Sr. No.	Particulars	Remarks/updates
1	Name of the authority	Securities and Exchange Board of India (SEBI)
2	Nature and details of the action(s) taken, initiated or order(s) passed;	SEBI Adjudication Officer has levied a penalty of Rs.11,00,000/-.
3	Date of receipt of direction or order, including any ad-interim or interim orders, or any other communication from the authority;	SEBI Order dated August 21, 2024
4	Details of the violation(s)/contravention(s) committed or alleged to be committed;	SEBI had conducted inspection for the period beginning from April 01, 2021 to July 31, 2022 and raised certain observations. Based on the findings of SEBI, the Company submitted its response that the said observations were mere technical and procedural in nature and the Company has already taken the necessary steps to further strengthen its processes.

IIFL Securities Limited

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		<p>Based on our response and personal hearing, the Hon'ble Adjudicating Officer passed an Order dated August 21, 2024 thereby levying penalty of Rs.11,00,000/-.</p> <p>The Company will decide on the future course of action after consulting its lawyers.</p>
5	Impact on financial, operation or other activities of the listed entity, quantifiable in monetary terms to the extent possible.	There is no monetary impact except for penalty amount of Rs.11,00,000/-

Kindly take the above on your record.

**For IIFL Securities Limited**

**Meghal Shah**  
**Company Secretary**

**IIFL Securities Limited**

Corporate Identity Number: **L99999MH1996PLC132983**

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