

January 17, 2025

To, The Manager, Listing Department, BSE Limited, Phiroze Jeejeebhoy Tower, Dalal Street, Mumbai – 400 001. BSE Scrip Code: 540776	To, The Manager, Listing Department, The National Stock Exchange of India Ltd., Exchange Plaza, 5th Floor, Plot C/1, G Block, Bandra - Kurla Complex, Bandra (E), Mumbai – 400 051. NSE Symbol: 5PAISA
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Dear Sir / Madam,

Sub: Intimation of Appointment of Mr. Mahesh Gujran as a Chief Surveillance Officer (CSO) and Principal Officer.
Ref: Disclosure under Regulation 30 of the Securities and Exchange Board of India (Listing Obligations and Disclosures Requirements) Regulations, 2015 (“Listing Regulations”)

We wish to inform you that in accordance with Regulation 30 of the SEBI (Listing Obligations and Disclosure Requirements) Regulations, 2015 and based on the recommendation of Nomination & Remuneration Committee (NRC), the Board of Directors at its meeting held today i.e. Friday, January 17, 2025, has considered and approved the appointment of Mr. Mahesh Gujran as a Chief Surveillance Officer (CSO) and Principal Officer of the Company.

In view of the above, please find below the required disclosure of information pursuant to Regulation 30 of SEBI (Listing Obligations and Disclosure Requirements) Regulations, 2015, read with SEBI Circular No. SEBI/HO/CFD/PoD2/CIR/P/0155 dated November 11, 2024 as outlined in “Annexure A”.

We kindly request you to take the same on record.

Thanking You,

Yours faithfully,

For 5paisa Capital Limited

Namita Godbole
Company Secretary & Chief Compliance Officer
ICSI Membership No.: A21056
Email: csteam@5paisa.com

5paisa Capital Limited

Annexure A

Details as per the requirement of Regulation 30 of SEBI (Listing Obligations and Disclosure Requirements) Regulations, 2015 read with SEBI Circular No. SEBI/HO/CFD/PoD2/CIR/P/0155 dated November 11, 2024.

Sr. No.	Particulars	Details of Change
1.	Reason for change (viz. appointment / resignation / removal / death or otherwise)	Appointment of Mr. Mahesh Gujaran as a Chief Surveillance Officer (CSO) and Principal Officer of the Company.
2.	Date of Appointment / Cessation (as applicable)	January 17, 2025
3.	Term of Appointment	NA
4.	Brief Profile (in case of appointment)	<p>Mr. Mahesh Gujaran holds a Bachelor's degree in Commerce and a Master's degree in Business Administration having specialization in Finance Management. Additionally, he holds NISM certification which covers Transaction Monitoring and Suspicious Transaction Reporting, KYC and Client Due Diligence, SORM, Equity Derivatives, Commodity Derivatives and Compliance Officer.</p> <p>Mr. Gujaran has been associated with 5paise for around 7 months and brings over 20 years of experience in Surveillance, AML, Insider trading and Compliance. He is expert in monitoring transactions (especially AML and Market Abuse transactions), KYC and further has minute understanding of local and global compliances including that of Insider trading wherein employee transactions are monitored along with other key areas of compliance.</p> <p>During his association with Sharekhan by BNP Paribas, he had carried out restructuring of the compliance department considering the local and global standards wherein he headed Professional Ethics (PE) domain in Compliance Department. Further, he had also successfully implemented various policies like Personal Account Dealing, Code of Conduct, Gifts and Invitation Policy, Outside Business Interest, Whistleblowing Policy and Conflict of Interest on the basis of Group and local policies and procedures.</p>
5.	Disclosure of relationships between Directors (in case of appointment of Director)	NA
6.	Information as required pursuant to BSE Circular with ref. no. LIST/COMP/14/2018-19 and the National Stock Exchange of India Ltd with ref. no NSE/CML/2018/24 dated June 20, 2018	NA

5paise Capital Limited