

January 17, 2025

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	The Manager, Listing Department, The National Stock Exchange of India Ltd., Exchange Plaza, 5 Floor, Plot C/1, G Block, Bandra - Kurla Complex, Bandra (E), Mumbai 400 051 Tel No.: 2659 8235 Fax No.: 26598237/ 26598238 NSE Symbol: IIFLCAPS
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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 January 17, 2025 under Section 12 (3) of Securities and Exchange Board of India Act, 1992 read with Regulation 27 of SEBI (Intermediaries) Regulation, 2008.

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 has disposed of the proceedings without issuing any direction.
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 January 17, 2025
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

IIFL Capital Services Limited (Formerly known as IIFL Securities Limited)

Corporate Identity Number: L99999MH1996PLC132983

Corporate Office: Office No. 1, Ground Floor, Hubtown Solaris, N. S. Phadke Marg, Andheri (E), Near East West Flyover, Mumbai - 400069

Regd. Office: IIFL House, Sun Infotech Park, Road No. 16V, Plot No. B-23, MIDC, Thane Industrial Area, Wagle Estate, Thane - 400 604

Tel: (91-22) 3929 4000/ 4103 5000 • Fax: (91-22) 2580 6654 • E-mail: secretarial@iifl.com • Website: www.iiflcapital.com

		<p>taken the necessary steps to further strengthen its processes.</p> <p>For the same set of allegations, adjudication proceedings were also initiated by SEBI which were concluded with passing of Adjudication Order dated August 21, 2024 whereby, the Adjudicating Officer imposed a penalty of ₹11,00,000 upon the Company, which has been paid by it.</p> <p>Further, the Designated Authority (DA) has also observed that the non-compliance by the Company did not constitute grave violations, nor are there any findings that the Company repeated the violations. Further, the DA has also acknowledged that the Company has taken corrective actions.</p> <p>Considering the totality of the circumstances, WTM agreed with the recommendation made by the DA that no action is warranted in this case and the matter is not required to be proceeded further.</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

Kindly take the above on your record.

Yours faithfully,

**For IIFL Capital Services Limited
(Formerly IIFL Securities Limited)**

**Meghal Shah
Company Secretary**

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