



December 13, 2022

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| <b>The Manager,<br/>Listing Department,<br/>BSE Limited,<br/>Phiroze Jeejeebhoy Towers,<br/>Dalal Street,<br/>Mumbai 400 001.<br/>BSE Scrip Code: 532636</b> | <b>The Manager,<br/>Listing Department,<br/>The National Stock Exchange of India Ltd.,<br/>Exchange Plaza, 5<sup>th</sup> Floor, Plot C/1, G Block,<br/>Bandra - Kurla Complex, Bandra (E),<br/>Mumbai 400 051.<br/>NSE Symbol: IIFL</b> |
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**Sub: Reporting of violation(s) related to Code of Conduct under SEBI (Prohibition of Insider Trading) Regulations, 2015**

Dear Sir/Madam,

With reference to the Company's Prohibition of Insider Trading Code read with Schedule B and Regulation 9 of the SEBI (Prohibition of Insider Trading) Regulations, 2015, as amended, we are enclosing herewith the report on violation of Company's Code of Conduct under SEBI (Prohibition of Insider Trading) Regulations, 2015 by a Designated Person, in the format prescribed by SEBI Circular SEBI/HO/15D/ISD /CIR/P/2020/135 dated July 23, 2020.

Kindly take above on record and oblige.

Thanking You,

Yours faithfully,

**For IIFL Finance Limited**

**Sneha Patwardhan  
Company Secretary and Compliance Officer**

**IIFL Finance Limited**

**CIN No.: L67100MH1995PLC093797**

Corporate Office – 802, 8<sup>th</sup> Floor, Hub Town Solaris, N.S. Phadke Marg, Vijay Nagar, Andheri East, Mumbai 400069

Tel: (91-22) 6788 1000 .Fax: (91-22) 6788 1010

Regd. Office – IIFL House, Sun Infotech Park, Road No. 16V, Plot No. B-23, Thane Industrial Area, Wagle Estate, Thane – 400604

Tel: (91-22) 41035000. Fax: (91-22) 25806654 E-mail: csteam@iifl.com Website: www.iifl.com

**Annexure-A**  
**Report by IIFL FINANCE LIMITED for violations**  
**related to Code of Conduct under SEBI (Prohibition of Insider Trading) Regulations, 2015.**

| Sr. No  | Particulars   | Details   |
|---|---|---|
| 1.  | Name of the Listed Company / <del>Intermediary/</del> Fiduciary   | IIFL Finance Limited  |
| 2.  | Please tick appropriate checkbox Reporting in capacity of:<br><input checked="" type="checkbox"/> Listed Company<br><input type="checkbox"/> Intermediary<br><input type="checkbox"/> Fiduciary | Listed Company  |
| 3.  | <b>A. Details of Designated Person (DP)</b>   |   |
|   | i. Name of the DP   | Mr. Susanta Nag   |
|   | ii. PAN of the DP   | ADTPN1505F  |
|   | iii. Designation of DP  | Assistant Vice President of IIFL Finance Limited.   |
|   | iv. Functional Role of DP   | Technology  |
|   | v. Whether DP is Promoter or belongs to Promoter Group  | No  |
|   | <b>B. If Reporting is for immediate relative of DP</b>  |   |
|   | i. Name of the immediate relative of DP   | N.A.  |
|   | ii. PAN of the immediate relative of DP   | N.A.  |
|   | <b>C. Details of transaction(s)</b>   |   |
|   | i. Name of the scrip  | NSE: IIFL<br>BSE: 532636  |
|   | ii. No of shares traded and value (Rs.) (Date - wise)   | <b>December 05, 2022</b> – Sold 402 equity shares for Rs. 1,97,784/-  |
|   | <b>D. In case value of trade(s) is more than Rs.10 lacs in a calendar quarter</b>   |   |
|   | i. Date of intimation of trade(s) by concerned DP/director/promoter/promoter group to Company under regulation 7 of SEBI (PIT) Regulations, 2015  | N.A.  |
| ii. Date of intimation of trade(s) by Company to stock exchanges under regulation 7 of SEBI (PIT) Regulations, 2015 | N.A.  |   |
| 4.  | Details of violations observed under Code of Conduct  | Trading in securities of the Company without taking pre-clearance for such trade from the Compliance Officer of the Company.  |
| 5.  | Action taken by Listed Company/Intermediary/ Fiduciary.   | The concerned DP has been instructed to:<br>(i) remit 0.5% of the sale consideration, i.e., Rs.989/- due to violation of the Code of Conduct.<br><br>(ii) Warning letter issued to the DP and cautioned the DP to not to repeat any violation in future under the Code; |

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|                                      |   |  |
|--------------------------------------|---|--|
|                                      |   | (iii) Instructed the DP to re-attend educative session on the Code of Conduct on SEBI (PIT) Regulation.                    |
| 6.                                   | Reasons recorded in writing for taking action stated above                          | The concerned DP informed that the impugned trades were inadvertent, unintentional and without any <i>malafide</i> intent. |
| 7.                                   | Details of the previous instances of violations, if any, since last financial year. | None   |
| 8.                                   | If any amount collected for Code of Conduct violation(s)                            |  |
|                                      | i. Mode of transfer to SEBI - IPEF (Online/Demand Draft)                            | Online payment of Rs. 989 /- (Paid on December 12, 2022)   |
|                                      | ii. Details of transfer/payment   |  |
|                                      | <b>In case of online payment:</b>   |  |
|                                      | <b>Particulars</b>  | <b>Details</b>   |
|                                      | Name of the Transferor  | Mr. Susanta Nag  |
|                                      | Bank Name, Branch and Account Number  | HDFC Bank – Malad West, Mumbai, Bank Account No.: 04111050185062   |
|                                      | UTR/Transaction reference Number  | N346222243895588   |
|                                      | Transaction Date  | December 12, 2022  |
|                                      | Transaction Amount (in Rs.)   | Rs. 989/-  |
| <b>In Case of Demand Draft (DD):</b> |   |  |
| <b>Particulars</b>                   | <b>Details</b>  |  |
| Bank and Branch                      | Not Applicable  |  |
| DD Number                            |   |  |
| DD Date                              |   |  |
| DD Amount (in Rs.)                   |   |  |
| 9.                                   | Any other relevant information  | -  |

**For IIFL Finance Limited**

**Sneha Patwardhan**  
**Company Secretary and Compliance Officer**  
**Place: Mumbai**  
**Date: December 13, 2022**  
**PAN: ASFPP5468E**  
**Email ID: sneha.patwardhan@iifl.com**

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