



December 19, 2022

<b>The Manager, Listing Department, BSE Limited, Phiroze Jeejeebhoy Towers, Dalal Street, Mumbai 400 001. BSE Scrip Code: 532636</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. 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: <input checked="" type="checkbox"/> Listed Company <input type="checkbox"/> Intermediary <input type="checkbox"/> Fiduciary	Listed Company
3.	<b>A. Details of Designated Person (DP)</b>	
	i. Name of the DP	Mr. Bobby Thomas M
	ii. PAN of the DP	AIZPB0687M
	iii. Designation of DP	National Business Manager
	iv. Functional Role of DP	Sales
	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 BSE: 532636
	ii. No of shares traded and value (Rs.) (Date - wise)	<b>December 09, 2022</b> – Sold 2,000 equity shares for Rs. 9,82,195.60 /-
	<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	December 09, 2022	
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: (i) remit 0.5% of the sale consideration, i.e., Rs.4,911/- due to violation of the Code of Conduct.  (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.4,911 /- (Paid on December 15, 2022)
	ii. Details of transfer/payment	
	<b>In case of online payment:</b>	
	<b>Particulars</b>	<b>Details</b>
	Name of the Transferor	Mr. Bobby Thomas M
	Bank Name, Branch and Account Number	HDFC Bank – Kormangala Main Branch, Bangalore. Bank Account No.: 00531930021476
	UTR/Transaction reference Number	N349222250028142
	Transaction Date	December 15, 2022
	Transaction Amount (in Rs.)	Rs. 4,911/-
<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 19, 2022**  
**PAN: ASFPP5468E**  
**Email ID: sneha.patwardhan@iifl.com**

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