

COMPLIANCE CERTIFICATE FOR THE QUARTER ENDED SEPTEMBER 30, 2022

(Pursuant to Securities and Exchange Board of India (Prohibition of Insider Trading) Regulations, 2015)

I, **Akash Pandey**, Compliance Officer of the Company, have examined the following compliance requirement of **Finquest Financial Solutions Private Limited** (the Company) and certify that the Company has maintained a Structured Digital Database (SDD) pursuant to provisions of Regulation 3(5) and 3(6) of **Securities and Exchange Board of India (Prohibition of Insider Trading) Regulations, 2015** (PIT Regulations):

Sr. No	Compliance Requirement	Yes/No	Observation/ Remark
1.	Whether the Company has a Structured Digital Database in place?	Yes	The Company has maintained the SDD in excel in PDF format and the Company is in the evaluating monitoring compliances through an appropriate software which shall be deployed at the earliest.
2.	Whether control exists as to who can access the SDD for read / write along with the names and PAN of such person?	Yes	-
3.	Whether all the UPSI have been captured in the Database. If not details of events that have not been captured and the reason for the same?	Yes	-
4.	Whether the recipient were upfront informed that the information which they will be receiving shortly is UPSI and the entry has been captured in the Database prior to forwarding the UPSI data. If not details of events that have not been captured and the reason for the same?	Yes	-
5.	Whether nature of UPSI have been captured alongwith date and time?	Yes	-
6.	Whether name of persons who have shared the information has been captured along with PAN or any other identifier?	Yes	-
7.	Whether name of persons with whom information is shared has been captured along with PAN or any other identifier?	Yes	-
8.	Whether the database has been maintained internally?	Yes	-
9.	Whether audit trail is maintained?	Yes	Compliance monitoring system will be more robust post deployment of the software.
10.	Whether time stamping is maintained?	Yes	Compliance monitoring system will be more robust post deployment of the software.
11.	Whether the database is non-tamperable?	Yes	-

12.	Any other measures to ensure non-tamperability of the Database?	No	Compliance monitoring system will be more robust post deployment of the software which is expected to ensure more non-tamperability of the Database.
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The number of days for which non-compliance was observed: *Nil*

Further I also confirm that the Company was required to capture **One** number of event during the quarter ended September 30,2022 and has captured **One** number of the said required event.

FOR FINQUEST FINANCIAL SOLUTIONS PRIVATE LIMITED

Akash

Akash Pandey
Company Secretary & Compliance Officer



Date: 18th November, 2022
Place: Mumbai