

October 26, 2020

<b>The Manager, Listing Department, BSE Limited, Phiroze Jeejeebhoy Tower, Dalal Street, Mumbai 400 001. BSE Scrip Code: 542772</b>	<b>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. NSE Symbol: IIFLWAM</b>
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Dear Sir/Madam,

**Sub: - Submission of Certificate under Regulation 40(9) of SEBI (Listing Obligations and Disclosure Requirements) Regulations, 2015 for the half year ended September 30, 2020.**

Please find enclosed herewith Certificate under Regulation 40(9) of SEBI (Listing Obligations and Disclosure Requirements) Regulations, 2015 for the half year ended September 30, 2020.

Kindly take the same on record and acknowledge the receipt of the same.

Thanking You,

Yours faithfully,

**For IIFL Wealth Management Limited**

**Amit Bhandari**

**Compliance Officer**

*Email Id: [secretarial@iiflw.com](mailto:secretarial@iiflw.com)*

**IIFL WEALTH MANAGEMENT LIMITED**

Corporate & Registered Office:

IIFL Centre, Kamala City, Senapati Bapat Marg,  
Lower Parel, Mumbai - 400 013

TEL: (91-22) 4876 5600 | FAX: (91-22) 4875 5606

**J U POOJARI & ASSOCIATES**  
**COMPANY SECRETARIES**

Office:

111, 11<sup>th</sup> Floor, Sai – Dwar CHSL  
Sab TV Lane, OppLaxmi Indl.Estate  
Above Shabari Restaurant  
Andheri (W), Mumbai : 400 053  
Tel.: 2630 1232/ 2630 1233/ 2630 1240  
Email: jupoojari@rediffmail.com

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**CERTIFICATE UNDER REGULATION 40(9) OF SECURITIES AND EXCHANGE BOARD OF INDIA (LISTING OBLIGATIONS AND DISCLOSURE REQUIREMENTS) REGULATIONS, 2015 FOR THE HALF YEAR ENDED 30<sup>th</sup> SEPTEMBER, 2020**

I have examined Share Transfer Deeds, Memorandum of Transfers, Registers, files and other documents relating to IIFL Wealth Management Limited (the Company), CIN U74140MH2008PLC177884, maintained by M/s. Link Intime India Pvt. Ltd., Registrar and Share Transfer Agents pertaining to transfer of equity shares of the company for the period from 01<sup>st</sup> April, 2020 to 30<sup>th</sup> September,, 2020 for the purpose of issuing a Certificate as per Regulation 40(9) of Securities and Exchange Board of India (Listing Obligations and Disclosure Requirements) Regulations, 2015 to IIFL Wealth Management Limited and based on the information provided by the Company and the Registrar, I hereby certify that the company has not received any request relating to transfers, transmission, transposition, name deletion, sub-division (split), consolidation, replacement & issue of duplicate share certificate and exchange of certificate, endorsement for calls/ allotment money during the half year ended on 30<sup>th</sup> September, 2020.

**Jayaram U.POOJARI**  
**Company Secretary**  
**FCS: 8102 CP: 8187**  
**UDIN: F008102B001033885**

Place: Mumbai  
Date: 26.10.2020