



Let's talk Forex

Si Capital & Financial Services Limited

Where Forex standards are set, not Just met

CIN : L67190TN1994PLC029151

20-10-2022

To
The Manager
Listing Department
BSE Limited

Scrip Code: 530907

Sir/ Madam,

Sub: SDD Compliance Certificate for the Quarter year ended September 30, 2022

Pursuant to Regulation 3(5) and 3(6) of Securities and Exchange Board of India (Prohibition of Insider Trading) Regulations, 2015, we hereby submit the SDD Compliance certificate for the Quarter year ended September 30, 2022 certified by the compliance officer and obtained from Mrs. Liya Antony, Company Secretary in Practice.

Kindly take the same on record.

Thank you.
For S.I. Capital & Financial Services Limited

Akhil T M
Company Secretary

Encl: As above



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CIN : L67190TN1994PLC029151

COMPLIANCE CERTIFICATE FOR THE QUARTER ENDED SEPTEMBER 30, 2022

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

I, Akhil T M , Compliance Officer of the company, have examined the following compliance requirement of S.I.Capital & Financial services Limited (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	
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 was 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 along with 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	
10.	Whether time stamping is maintained?	Yes	
11.	Whether the database is non-tamperable?	Yes	
12.	Any other measures to ensure non-tamperability of the Database?	Only one Authorised Personnel is permitted to access the system.	

The number of days for which non-compliance was observed: NIL

Further I also confirm that the Company was required to capture 9 number of events during the quarter year ended and has captured 9 number of the said required events.

For S.I.Capital & Financial Services Limited

Akhil T M
Compliance Officer of the company
Date:20/10/2022
Place: Chennai

Note: The attached certificate should cover events which have been disclosed by the listed entity to the stock exchange so that the secretarial auditor will not be exposed to UPSI.

Regd. Office "Montieth Court", 64, Montieth Road, Egmore, Chennai - 600 008.

Tel : 044-28415438, 28415439, 42145840

E-mail : info@sicapital.co.in

Website : www.sicapital.co.in



LIYA AND ASSOCIATES

COMPANY SECRETARY IN PRACTICE

Phone: 96564 40562 | 91420 96033 | Email: liyaandassociates@gmail.com

COMPLIANCE CERTIFICATE FOR THE QUARTER ENDED SEPTEMBER 30, 2022

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

I, Liya Antony, Company Secretary in Practice, have examined the following compliance requirement of **S.I.CAPITAL & FINANCIAL SERVICES LIMITED** (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	
2.	Whether control exists as to who can access the SDD for read/ write alongwith 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	
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8.	Whether the database has been maintained internally?	Yes	
9.	Whether audit trail is maintained?	Yes	
10.	Whether time stamping is maintained?	Yes	
11.	Whether the database is non-tamperable?	Yes	
12.	Any other measures to ensure non-tamperability of the Database?	Only one authorised personnel is permitted to access the system.	

The number of days for which non-compliance was observed: NIL

No.101, First Floor, Santhi K George Technology Arcade
K C Joseph Road, Panampilly Nagar, Ernakulam - 682036, Kerala
Ph: 0484 4022118, 9142096033, 9656440562




Further I also confirm that the Company was required to capture 9 number of events during the quarter ended and has captured 9 number of the said required events.

Date: 20.10.2022

Place: Ernakulam

UDIN: A039611D001307966

For LIYA AND ASSOCIATES

LIYA ANTONY 
Company Secretary In Practice
Membership No: 39611, CP No: 19314
No: 101, 1st Floor, K George Technology Arcade
K C Joseph Road, Panampilly Nagar
Ernakulam, Kerala - 682 036