

# FALGUNI SHAH

## Practicing Company Secretary

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### **COMPLIANCE CERTIFICATE FOR THE QUARTER ENDED JUNE 30, 2024 AND AS ON SEPTEMBER 21, 2024**

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

I, Falguni Shah, Practicing Company Secretary, appointed by M/s. **Rajath Finance Limited**, [CIN: L65910MH1984PLC419700], am aware of the compliance requirement of Structured Digital Database (SDD) pursuant to the provisions of Regulation 3(5) and 3(6) of the Securities and Exchange Board of India (Prohibition of Insider Trading) Regulations, 2015 (PIT Regulations) and I certify that:

1. The Company has a Structured Digital Database in place
2. Control exists as to who can access the SDD
3. All the UPSI disseminated in the previous quarter have been captured in the Database.
4. The system has captured nature of UPSI along with date and time.
5. The database has been maintained internally and software also provides facility of audit trail.
6. The database is non-tamperable and has capability to maintain records for 8 years.


I also confirm the following that

- the Company was required to capture 13 number of events during the quarter ended 30.06.2024 and has captured 13 number of the said required events.
- the Company was required to capture 6 number of events from 01.07.2024 till 21.09.2024 and has captured 6 number of the said required events.

I would like to report my observations as stated in Annexure 1 attached to this certificate. Further the Company has recently undergone change in management and control and also relocation of registered office from state of Gujarat to Maharashtra. In spite of various challenges faced the Company has taken all appropriate steps to comply with the provisions of the SDD Compliance.

*Note: This certificate is issued in pursuance of a request from the Company for the compliance of SDD requirements during the period 01.04.2024-21.09.2024.*

This certificate is being issued on the basis of UPSI Log and other supporting List/details generated from SDD Software installed by the Company and secretarial records provided by the Management of the company.

  
Falguni Shah  
Practicing Company Secretary  
FCS 12778 & COP 15202  
PEER REVIEW CERTIFICATE NO: 4713/2023  
UDIN: F012778F001388671



Place: Palghar  
Date: 30.09.2024

**Annexure 1**

Observations during the period 01.04.2024-21.09.2024 are as under;

<b>Sr No</b>	<b>Nature of UPSI (As per UPSI Log generated from SDD software installed by the Company)</b>	<b>Remarks/observations</b>
1	Increase in Authorised Share Capital	Delay in updating of effective dates
2	Board Resolution for increasing Authorised Share capital	Delay in updating of effective dates
3	Financial data for the Quarter and year ended 31.03.2024	Delay in updating of effective dates
4	Notice of Board Meeting to be held on 30.05.2024	Delay in adding of recipient, making of entries and updating of effective dates
5	Financial Data of FY - 2023-2024 shared for valuation of equity shares	Delay in making entry due technical error faced by Compliance team. UPSI was shared on 14.06.2024 for which the entry was locked on 21.06.2024
6	Draft Notice of EOGM and finalizing the notice	Delay in adding of recipients, making entries and also in updating the effective dates. UPSI was shared on 10.06.2024 for which the entry was locked on 24.06.2024
7	Resignation of statutory auditor	Delay in adding of recipients and making of entries
8	General meeting resolution for appointment of statutory auditor	Delay in updating of effective dates
9	Changes in Management Draft Resolution to be prepared for upcoming board Meeting	Recipients not added on the date of sharing UPSI. UPSI is being reported with delay.
10	Annual Report 2023-24 Draft Shared for review purpose	Delay in updating of effective dates
11	Draft notice of AGM for review	Internal issue of email ID's due to which the mail sent was delayed.

