

# SWARNA SECURITIES LIMITED

(CIN: L52520AP1990PLC011031)

Ph: 0866-2575928

20/10/2024

To

**The Corporate Relationship Department,  
BSE Limited, 1<sup>st</sup> Floor, New Trading Ring,  
Rotunda Building, P.J. Towers,  
Dalal Street, Fort, Mumbai — 400 001**

Dear Sir / Madam,

**Sub:** SDD Compliance Certificate for the Quarter ended September 30, 2024.

Ref.: Scrip code: 531003; Stock Symbol: Swarna

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Pursuant to provisions of Regulation 3(5), 3(6) and other applicable provisions of Securities and Exchange Board of India (Prohibition of Insider Trading) Regulations, 2015, please find enclosed the Structured Digital Database (SDD) Compliance Certificate for the Quarter ended September 30, 2024.

Please take the same on record.

Thanking You,

Yours Faithfully,

**For Swarna Securities Limited**

**Moola Anil Kumar  
Company Secretary & Compliance Officer  
Membership No: A27989**

Encl: As above

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## COMPLIANCE CERTIFICATE FOR THE QUARTER ENDED 30<sup>TH</sup> SEPTEMBER, 2024 (Pursuant to Securities and Exchange Board of India (Prohibition of Insider Trading) Regulations, 2015)

I, **Moola Anil Kumar**, Company Secretary of **Swarna Securities Limited** (CIN: **L52520AP1990PLC011031**) am aware of the compliance requirement of 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) 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 an audit trail is maintained
6. the database is non-tamperable and has the capability to maintain the records for 8 years.

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

I would like to report that the following noncompliance(s) was observed in the previous quarter and the remedial action(s) taken along with timelines in this regard: NIL

For **Swarna Securities Limited**

**Moola Anil Kumar**  
**Company Secretary & Compliance Officer**  
**Membership No: A27989**

Place: Vijayawada  
Date: 20.10.2024