

October 14, 2026

The Manager, Listing Department, BSE Limited, Phiroze Jeejeebhoy Tower, Dalal Street, Mumbai 400 001 Tel No.: 22721233 Fax No.: 22723719/22723121/22722037 BSE Scrip Code: 542773	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 Tel No.: 2659 8235 Fax No.: 26598237/ 26598238 NSE Symbol: IIFLCAPS
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Dear Sir/ Madam

Sub: Intimation under Regulation 30 of Securities and Exchange Board of India (Listing Obligations and Disclosure Requirements) Regulations, 2015

Pursuant to Regulation 30 read with Para A of Part A of Schedule III of the SEBI (Listing Obligations and Disclosure Requirements) Regulations, 2015 ("SEBI Listing Regulations"), we wish to inform that the Company has received an Adjudication Order from the Securities and Exchange Board of India ("SEBI") imposing a monetary penalty of ₹2,00,000/- under Section 15HB of the SEBI Act, 1992 in connection with certain observations arising from the inspection of the Company's Online Bond Platform Provider (OBPP) activities.

In this regard, the requisite disclosure in terms of Regulation 30 of the SEBI Listing Regulations is provided below:

Sr. No.	Particular	Remark/Update
1	Name of the authority;	Securities and Exchange Board of India ("SEBI")
2	Nature and details of the action(s) taken or order(s) passed;	SEBI, vide Adjudication Order dated October 13, 2026, has imposed a monetary penalty of ₹2,00,000/- (Rupees Two Lakhs Only) on the Company under Section 15HB of the SEBI Act, 1992
3	Date of receipt of direction or order, including any ad-interim or interim orders, or any other communication from the authority;	Adjudication Order dated October 13, 2026, received by the Company on October 13, 2026
4	Details of the violation(s)/contravention(s) committed or alleged to be committed;	Pursuant to an inspection of the Company's OBPP operations for the period from July 26, 2024 to March 31, 2025, SEBI observed (i) failure to ensure routing of certain orders relating to listed debt securities through the

		RFQ platform of a recognised stock exchange, and (ii) failure to execute agreements with certain third-party sellers in accordance with the applicable SEBI regulatory framework governing OBPPs. Based on the findings, SEBI imposed a penalty of ₹2,00,000/- under Section 15HB of the SEBI Act, 1992. In this regard it may be noted that we have discontinued using existing platform and the new version of the platform in compliance with the SEBI guidelines is under implementation. Further, the agreements with the third-party sellers were also executed.
5	Impact on financial, operation or other activities of the listed entity, quantifiable in monetary terms to the extent possible.	Apart from the aforesaid monetary penalty, there is no material impact on the financial, operational or other activities of the Company.

Kindly take the above on your record.

Yours faithfully,

**For IIFL Capital Services Limited
(Formerly IIFL Securities Limited)**

Meghal
Abhishek Shah

Digitally signed by
Meghal Abhishek Shah
Date: 2026.10.14
17:07:04 +05'30'

**Meghal Shah
Company Secretary**