



Thirdwave Financial Intermediaries Limited

Date: 17th April, 2024

To,
The Deputy General Manager,
Listing Compliance Monitoring Cell,
24th Floor, P.J. Towers,
Dalal Street,
Mumbai - 400 001.

Scrip Code: 531652

ISIN: INE528C01018

Sub: Compliance Certificate pursuant to Regulation 7(3) of SEBI (Listing Obligations and Disclosure Requirements) Regulations, 2015

Dear Sir/Madam,

Pursuant to Regulation 7(3) of SEBI (Listing Obligations and Disclosure Requirements) Regulations, 2015, please find enclosed herewith the Compliance Certificate for the financial year ended 31st March, 2024.

This is for your information and record.

Thanking you,

Yours Faithfully,

For, **Thirdwave Financial Intermediaries Limited.**

Rashmi Chandrakant Vartak
(DIN 10259700)
Whole-time Director

Enclosure: as above



Thirdwave Financial Intermediaries Limited

Compliance Certificate under Regulation 7(3) of Securities and Exchange Board of India (Listing Obligations and Disclosure Requirements) Regulations, 2015

This is to certify that all activities in relation to both physical and electronic share transfer facility of M/s. Thirdwave Financial Intermediaries Limited (CIN: L15100WB1989PLC046886) for the year ended March 31, 2024 have been maintained by the Registrar to Issue & Share Transfer Agent registered with the Securities and Exchange Board of India namely M/s. Niche Technologies Pvt. Ltd. (SEBI Registration No. INR000003290), 3A, Auckland Place, 7th Floor, Room No. 7A & 7B, Kolkata - 700 017.

Thanking you,

Yours Faithfully,

For
Thirdwave Financial Intermediaries Limited

Nisha Jain
Company Secretary & Compliance Officer

Date: 16th April, 2024
Place: Kolkata

For
Niche Technologies Private Limited

Ashok Sen
Authorised Signatory

Date: 16th April, 2024
Place: Kolkata