



Bal Pharma Limited

COMPLIANCE CERTIFICATE FOR THE QUARTER ENDED September 30, 2022
(Pursuant to Securities and Exchange Board of India (Prohibition of Insider Trading) Regulations, 2015)

I, Preeti Singh, Compliance Officer of the company, have examined the following compliance requirement of Bal Pharma 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	The Company has robust pre-vailing system for tracking of sharing the Un-published Price Sensitive Information (UPSI).
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 were 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?	NA	

Note: The information of the audit should cover the period when such information was inserted in the SDD up to the date of disclosure.

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

Further I also confirm that the Company was required to capture 2 (Investor Presentation and Webinar on quality growth for the quarter ended 30.09.2022) number of events during the quarter ended 30.09.2022 and has captured 02 number of the said required events.

For Bal Pharma Limited

Preeti Singh

Preeti Singh
Company Secretary & Compliance Officer

Date : 27.10.2022

Place: Bangalore



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