



COOL CAPS INDUSTRIES LIMITED

Regd. Office : 23, Sarat Bose Road, 1st Floor, Suite - 1C, Kolkata - 700 020, W.B., India
Ph. : 033 4070 3238, E-mail : accounts@coolcapsindustries.in / cs@coolcapsindustries.in
CIN : L27101WB2015PLC208523

April 17, 2026

To,
Manager- Listing Department,
National Stock Exchange of India Limited
Exchange Plaza, Plot No. C-1, Block-G, Bandra Kurla Complex,
Bandra (E), Mumbai 400051

SYMBOL: COOLCAPS
ISIN: INE0HS001028

Sub.: Compliance Certificate pursuant to Regulation 3(5) and 3(6) of SEBI (Prohibition of Insider Trading) Regulations, 2015, for the financial year ended March 31, 2026.

Dear Sir/Ma'am,

Pursuant to Regulation 3(5) and 3(6) of SEBI (Prohibition of Insider Trading) Regulations, 2015, read with NSE Circular Ref. No. NSE/CML/2024/31 dated October 18, 2024, we hereby state that the Company has its securities listed on SME Platform of National Stock Exchange of India Ltd and thereby the provisions of Regulation 24A of SEBI (Listing Obligations and Disclosure Requirements) Regulations, 2015, is not applicable to us.

Further, in compliance with the standard operating process for Structural Digital Database (SDD) in Circular Ref. No. NSE/CML/2024/31 dated October 18, 2024, we hereby confirm the compliance status of SDD by submitting the Compliance Certificate in the prescribed format certified by Practicing Company Secretary for the period from April 01, 2025 till March 31, 2026.

Kindly take the same in your records.

Yours' faithfully,

For Cool Caps Industries Limited

Rajeev Goenka
Chairman and Managing Director
DIN:00181693



COMPLIANCE CERTIFICATE FOR THE FINANCIAL YEAR ENDED 31ST MARCH, 2026

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

I, **Hansraj Jaria**, Practicing Company Secretary, appointed by **Cool Caps Industries Limited**, I would like to state that, 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 exist 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 would also like to confirm that the Company was required to capture 9 (Nine) number of events during the Financial Year ended 31st March, 2026 and has captured 9 (Nine) number of the said required events.

I would like to confirm that there were no non-compliance(s) observed in the previous quarter or financial year ended and remedial action(s) taken long with timelines in this regard: **NIL**

For **COOL CAPS INDUSTRIES LIMITED**



HANSRAJ JARIA
Practising Company Secretary
M. No. - F7703
C.O.P - 19394



UDIN: F007703H000100818

Date: 15.04.2026

Place: Kolkata