

Almondz Global Securities Ltd.

Ref:agsl/corres/Bse/Nse/19-20/cl40(9)/0044

16 October, 2019

The General Manager
(Listing & Corporate Relations)
Bombay Stock Exchange Ltd.
Phiroze Jeejeebhoy Towers,
Dalal Street,
Mumbai - 400 001

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

Re: Compliance Certificate-Regulation 40 (9) of Securities and Exchange Board of India (Listing Obligations and Disclosure Requirements) Regulations, 2015 for the half year ended 30 September 2019


Sir/Ma'm

Pursuant to Regulation 40 (9) of the Securities and Exchange Board of India (Listing Obligations and Disclosure Requirements) Regulations, 2015, please find attached herewith the certificate issued by Mr. C.B. Mishra, Practicing Company Secretary for half year ended 30 September 2019.

You are requested to kindly take the same on your record

Thanking you,

Yours Faithfully,
For Almondz Global Securities Ltd.



Ajay Pratap
Company Secretary &
Vice President Corporate Affairs



Encl:a/a

Almondz Global Securities Ltd.

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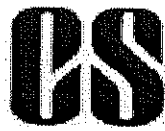
Yours Faithfully,
For Almondz Global Securities Ltd.



**Ajay Pratap
Company Secretary &
Vice President Corporate Affairs**



Encl:a/a



C.B. Mishra & Associates
Company Secretaries

Unique Code Number : I2006DE551100

**CERTIFICATE UNDER REGULATION 40(9) OF SECURITIES AND EXCHANGE BOARD
OF INDIA (LISTING OBLIGATIONS AND DISCLOSURE REQUIREMENTS)
REGULATIONS, 2015 FOR THE HALF YEAR ENDED 30th SEPTEMBER, 2019**

We have examined Share Transfer Deeds, Memorandum of Transfers, Registers, files and other documents relating to Almondz Global Securities Limited (the Company) as maintained by Beetal Financial & Computer Services Private Limited, the Registrar and Share Transfer Agents pertaining to transfer deeds which were lodged prior to 1st April, 2019 and re-lodged thereafter for transfer of fully paid Equity Shares of the Company for the period from 1st April, 2019 to 30th September, 2019 for the purpose of issuing a Certificate as per Regulation 40(9) of Securities and Exchange Board of India (Listing Obligations and Disclosure Requirements) Regulations, 2015 and based on the information provided by the Company, We hereby certify that:

- A)1.a. the Company has delivered during half year ended on 30th September, 2019 share certificates relating to the transfer deeds lodged prior to 1st April, 2019 and re-lodged thereafter, received during the period from 1st April, 2019 to 30th September, 2019 within thirty days as entered in the Memorandum of Transfers from the respective date of lodgment of each deed excepting those rejected on technical grounds.
- 1.b. the Company has delivered during half year ended on 30th September, 2019 share certificates in respect of requests relating to renewal, sub-division (split) and consolidation received during the period from 1st April, 2019 to 30th September, 2019 within thirty days, from the respective date of lodgment excepting those rejected on technical grounds. As per the records made available to us. There were no requests for exchange or endorsement of calls / allotment monies during the said period.
- B) Any other information, if applicable: NIL

For C.B. Mishra & Associates
Company Secretaries



(Signature)
(C.B. MISHRA)

Prop.

Place: New Delhi

Date : 16/10/2019

UDIN: F 004006A000089201