



# ASIAN TEA & EXPORTS LTD.

CIN No. L24219WB1987PLC041876

Sikkim Commerce House, 4/1, Middleton Street, Kolkata - 700 071

Tel: +91 33 2287 9732 / 7334, 4006 3601

Email: [info@asianteaexports.com](mailto:info@asianteaexports.com), Website: [www.asianteaexports.com](http://www.asianteaexports.com)

**20th April 2023**

To,

**Bombay Stock Exchange Limited  
Phiroze Jeejebhoy Towers  
Dalal Street, 25<sup>th</sup> Floor  
Mumbai- 400001  
Script Code: 519532**

**Calcutta Stock Exchange Association  
Limited  
7, Lyons Range  
Kolkata – 700001  
Script Code: 011053**

Dear Sirs,

**Sub: Certificate under Regulation 40(9) of SEBI (Listing Obligations and Disclosure Requirements) Regulations, 2015.**

We enclose herewith a certificate for the year ended 31st March, 2023, duly signed by Ms Prachi Todi, Practicing Company Secretary, pursuant to the provisions of Regulation 40(9) of the Securities and Exchange Board of India (Listing Obligations and Disclosure Requirements) Regulations, 2015.

This is for your kind information and records.

Thanking You,

Yours faithfully,

For Asian Tea & Exports Ltd

Annu Jain  
**(Company Secretary)**

# *Prachi Todi*

Company Secretaries  
46, East Topsia Road Arupota  
Kolkata-700105

Mobile No: 9830072442

Email: csprachi92@gmail.com; info.prachi92@gmail.com

---

**CERTIFICATE UNDER REGULATION 40(9) OF THE SECURITIES AND EXCHANGE BOARD OF INDIA (LISTING OBLIGATIONS AND DISCLOSURE REQUIREMENTS) REGULATIONS, 2015**

**FOR THE YEAR ENDED 31<sup>ST</sup> MARCH, 2023**

The Securities and Exchange Board of India (“SEBI”) vide its gazette notification dated 8<sup>th</sup> June, 2018 and vide its press release dated 3<sup>rd</sup> December, 2018 amended Regulation 40 of the Securities and Exchange Board of India (Listing Obligations and Disclosure Requirements) Regulations, 2015 and has mandated that the transfer of securities would be carried out in demat form only with effect from 01<sup>st</sup> April, 2019. Further SEBI vide its press release dated 27<sup>th</sup> March, 2019 clarified that the transfer deeds lodged prior to the aforesaid deadline and returned due to deficiency in the documents may be re-lodged for transfer even after 1<sup>st</sup> April, 2019. Further, SEBI vide its circular dated September 07, 2020 had fixed March 31, 2021 as the cut-off date for re-lodgment of such transfer deeds and the shares that are re-lodged for transfers shall be issued only in demat mode. Also, SEBI had specified operational guidelines for transfer and dematerialization of re-lodged physical shares vide its circular dated December 02, 2020.

Thereafter, SEBI vide its gazette notification dated January 24, 2022 read with SEBI Circular No. *SEBI/HO/MIRSD/MIRSD\_RTAMB/P/CIR/2022/8* dated January 25, 2022 had mandated that the companies shall effect issuance of certificates or receipts or advices, as applicable in dematerialized form only, while processing the service requests relating to Issue of duplicate securities certificate, Claim from Unclaimed Suspense Account, Renewal/Exchange of securities certificate, Endorsement, Sub-division/Splitting of securities certificate, Consolidation of securities certificates/folios, Transmission and Transposition.

Accordingly, I have examined all Share Transfer Deeds, Memorandum of Transfers, Registers, Files and other documents relating to **M/s Asian Tea and Exports Limited**, having its Registered Office at Sikkim Commerce House, 4/1 Middleton Street, Kolkata-700071, maintained by **M/s S.K. Infosolutions Private Limited** of D/42, Katju Nagar Colony, PO & PS- Jadavpur, Kolkata - 700032, pertaining to transfer of equity shares of the Company from the period **1<sup>st</sup> April, 2022 to 31<sup>st</sup> March, 2023** for the purpose of issuing a Certificate as per Regulation 40(9) of the Securities and Exchange Board of India (Listing Obligations And Disclosure Requirements) Regulations, 2015, and based on the information provided by the Company/ RTA, I hereby certify that:

- a) That there were no instances of physical transfer. However, 4 (Four) cases of transmission of securities consisting of 1100 share were received during the period from **1<sup>st</sup> April, 2022 to 31<sup>st</sup> March, 2023**, which were processed within the stipulated time period;
- b) That there were no requests relating to sub-division (split), consolidation, exchange or endorsement of calls/ allotment monies with respect to equity shares. However, 5 (Five) cases

# *Prachi Todi*

Company Secretaries  
46, East Topsia Road Arupota  
Kolkata-700105

Mobile No: 9830072442

Email: csprachi92@gmail.com; info.prachi92@gmail.com

---

of issue of duplicate shares certificates for 1300 shares were received during the period from 1<sup>st</sup> April, 2022 to 31<sup>st</sup> March, 2023 which were issued within the stipulated time period.

For PRACHI TODI  
PRACTICING COMPANY SECRETARY



Date: 19/04/2023  
Place: Kolkata

ACS No. 53022  
C.P. No. 22964  
Peer Review Certificate No.: 1445/2021  
UDIN: A053022E000145334