

Ref: MSSL/004/2020-2021

May 7, 2020

The Deputy General Manager – Listing,
The Stock Exchange, Mumbai,
Phiroze Jeejeebhoy Towers, Dalal Street,
Mumbai-400 001.

Dear Sir,

Re: **Certificate under Clause 40(9) of SEBI (Listing Obligations & Disclosure Requirements) Regulations 2015**

As required under Clause 40(9) of SEBI (Listing Obligations & Disclosure Requirements) Regulations 2015, we hereby enclose the Certificate obtained by us from a Practicing Company Secretary for the half year ended March 31, 2020.

Kindly acknowledge receipt.

Thanking you,

Yours faithfully,
For MODERN SHARES AND STOCKBROKERS LIMITED

Sd/-

Vibha Axit Gandhi
Compliance Officer

Ref No. AJ/MSSL/Reg. 40(9)/20-21/001

To,
The Board of Directors,
Modern Shares & Stockbrokers Limited,
(CIN: L45200MH1939PLC002958)
Wankhede Stadium, North Stand,
Staircase No. 13, D' Road,
Churchgate, Mumbai 400020.

Dear Sirs,

Sub: Certificate Under Regulation 40(9) Of SEBI (Listing Obligations & Disclosure Requirements) Regulation, 2015 For The Half Year Ended 31st March 2020

I have examined all the Share Transfer Deeds, Memorandum of Transfers, Registers, files and other documents relating to **Modern Shares & Stockbrokers Limited**, a Company registered under Companies Act, 1913 having its registered office at Wankhede Stadium, North Stand, Staircase No. 13, D' Road, Churchgate, Mumbai 400020 maintained by its Registrar and Share Transfer Agent **Link Intime India Private Limited**, a Company registered under Companies Act, 1956 having its registered office at C-101, 247, Park, L.B.S Marg, Vikhroli (West) Mumbai 400083 pertaining to transfer of equity shares of the company for the period from **01st October 2019 to 31st March, 2020** for the purpose of issuing a Certificate as per Regulation 40(9) Of SEBI (Listing Obligations & Disclosure Requirements) Regulation, 2015 entered into by Modern Shares & Stockbrokers Limited with BSE Limited and based on the information provided by the Company and share transfer Agent by **email** *, I hereby certify that the Company has delivered during half year ended on 31st March 2020.

A) Share Certificate(s) relating to the transfers, sub-division/consolidation/duplicate/deletion of name/objection of Equity Shares received during the **period from 01st October 2019 to 31st March, 2020** as entered in the Memorandum of Transfers have been issued within Twenty-one days of the date of lodgment for transfer from respective date of lodgment of each deed, excepting those rejected on technical grounds and there were no request for renewal, exchange or endorsement of calls/allotment monies during this period.

Conted.....2

Anil G Jani
B.COM, LLB, FCS

Anil Jani & Company
COMPANY SECRETARIES

(2)

**Due to ongoing COVID-19 Pandemic and Lockdown announced by the Government of India and the Government of Maharashtra which has a restriction of movement of people, I have not visited the Company and/or RTA Office personally and have relied on the emails received from the Company and its RTA for issuing this certificate*

**FOR ANIL JANI & COMPANY
COMPANY SECRETARIES**

**Place: MUMBAI
Date: May 7, 2020**

**PROPRIETOR
(C.P.NO.: 9154)
UDIN No. F002506B000212595**