

# SONIA RANI & ASSOCIATES

COMPANY SECRETARIES

To  
Board of Directors  
**SWAGTAM TRADING AND SERVICES LIMITED**  
CIN: **L51909DL1984PLC289131**  
R - 489, GF - A, New Rajinder Nagar,  
New Delhi - 110060

CERTIFICATE UNDER REGULATION 40(9) OF SECURITIES AND EXCHANGE BOARD OF INDIA (LISTING OBLIGATIONS AND DISCLOSURE REQUIREMENTS) REGULATIONS, 2015 FOR THE HALF YEAR ENDED 30<sup>TH</sup> SEPTEMBER, 2020.

SEBI vide gazette notification dated 8th June, 2018 and vide its press release dated 3rd December, 2018, amended Regulation 40 of the SEBI(LODR) Regulations, 2015 and has mandated that the transfer of securities would be carried out in dematerialized form only w.e.f. 01st April, 2019. Further, SEBI vide its press release dated 27th March, 2019 clarified that the transfer deeds lodged prior to deadline and returned due to deficiency in the document may be re-lodged for transfer even after the deadline of 01st April, 2019.

Accordingly, we have examined all Share Transfer Deeds, Memorandum of Transfers, Registers, files and other documents relating to **SWAGTAM TRADING AND SERVICES LIMITED** maintained by 'Alankit Assignments Limited', Registrar and Share Transfer Agents (RTA), pertaining to transfer of equity shares of the company for the period from **1<sup>st</sup> April, 2020 to 30<sup>th</sup> September, 2020** for the purpose of issuing a Certificate as per Regulation 40(9) of the SEBI (LODR) Regulations 2015, by RTA and Company, hereby certify that the Company has delivered during the half year ended on 30.09.2020

- A) Share Certificate(s) relating to the Share Transfer Form(s) received during the period from **01<sup>st</sup> April, 2020 to 30<sup>th</sup> September, 2020** as entered in the Memorandum of Transfers have been issued within stipulated time period from the respective date of lodgment of each Form excepting those rejected on technical grounds.
- B) Share Certificates in respect of requests relating to Transmission of securities, deletion of name, renewal and consolidation received during the period from 1st April, 2020 to 30th September, 2020, within thirty days (time stipulated in the law), from the respective date of lodgment and as informed to us there were no requests relating to transposition of securities, sub-division (split), exchange, duplicate or endorsement of calls/ allotment monies received during the said period.

For **SONIA RANI & ASSOCIATES**  
Company Secretaries

*Sonia Rani*

**SONIA RANI**  
(Proprietor)  
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Mobile : 9971543044  
UDIN : A036984B000967397



Place: New Delhi  
Date: 16.10.2020

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