

**VIKALP SECURITIES LIMITED**  
**REG. OFF. 25/38, KARACHI KHANA, KANPUR, UTTAR PRADESH-208001**  
**CIN: L65993UP1986PLC007727**  
**E-MAIL: VIKALPSECURITIESLIMITED@GMAIL.COM**  
**CONTACT NO. 0512-2372665 WEBSITE:-www.vikalpsecurities.com**

To,  
Manager – CRD,  
BSE Limited,  
Phiroze Jeejeebhoy Towers,  
Dalal Street,  
Mumbai – 400001

DATE:- 22/05/2020

**Sub:-Compliance certificate under Regulation 40(9) of SEBI (Listing Obligations and Disclosure Requirements) Regulations, 2015 for the half year ended on 31<sup>st</sup> March, 2020**

Dear Sir,

This is with regard to VIKALP SECURITIES LIMITED (ISIN INE186E01011 and SECURITY CODE - 531334). With reference to the above mentioned subject, pursuant to the Regulation 40(9) of the SEBI (Listing Obligations and Disclosure Requirements) Regulations, 2015, we are attaching the Certificate for the half year ended on 31st March, 2020.

Due to the prevailing situation of Covid-19, the above intimation is being filed under Sd/-  
Kindly take the above on record.

**Enclosure:** Compliance certificate of the Company for the half year ended on 31<sup>st</sup> March, 2020 as per Regulation 40(9) of the SEBI (Listing Obligations and Disclosure Requirements) Regulations, 2015

Thanking You  
For Vikalp Securities Limited

Sd/-  
(Shubhani Gupta)  
Company Secretary & Compliance Officer

**CERTIFICATE UNDER REGULATION 40(9) OF THE SECURITIES AND EXCHANGE BOARD OF INDIA (LISTING OBLIGATIONS AND DISCLOSURE REQUIREMENTS) REGULATION, 2015 FOR THE HALF YEAR ENDED MARCH 31, 2020.**

The Securities and Exchange Board of India (“SEBI”) vide gazette notification dated June 08, 2018 and vide its press release dated December 03, 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 dematerialized form only w.e.f. April 01, 2019. Further, SEBI vide its press release dated March 27, 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 April 01, 2019.

Accordingly, on the basis of examination of the relevant documents relating to shares of **VIKALP SECURITIES LIMITED** (“the Company”), having its registered office at 25/38, Karachi Khana, Kanpur-208001 and paid up share capital of Rs. 3,05,19,000/- (Rupees Three Crore Five Lakhs Nineteen Thousand only) divided into 30,51,900 (Thirty Lakhs Fifty One Thousand Nine Hundred only) equity shares of Rs. 10/- each, maintained and provided electronically by SKYLINE FINANCIAL SERVICES PRIVATE LIMITED, Registrar and Share Transfer Agents (RTA), pertaining to the period from October 01, 2019 to March 31, 2020 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, We hereby certify that:

- A. As informed to us there were no requests relating to transmission, transposition of securities, duplicate share certificates, sub-division (split), exchange or endorsement of calls/allotment monies received during the said period.
- B. During the period under review, no request for Re-mat was received by the Company.
- C. The Company has not issued any debentures hence the reporting of the same is not applicable.



**ADESH TANDON & ASSOCIATES  
COMPANY SECRETARIES**

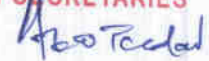
**“KAN Chambers”**  
Office No. 811, 8<sup>th</sup> Floor,  
14/113, Civil Lines,  
Kanpur-208001  
Tel: 0512-2332397  
Email: adesh.tandon11@gmail.com

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- D. Any other information, if applicable: Physical verification of the documents could not be done due to the lockdown on account of COVID-19 situation.

**For ADESH TANDON AND ASSOCIATES  
Company Secretaries**

**For ADESH TANDON & ASSOCIATES  
COMPANY SECRETARIES**



**PROPRIETOR**

**C. P. No. 1121**

**Adesh Tandon**

Proprietor

FCS No.2253

C. P. No.1121

**UDIN: F002253B000252096**

**Date:** May 18, 2020

**Place:** Kanpur