



Date: 09.04.2021

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| The Head- Listing Compliance<br><b>BSE Limited,</b><br>PhirozeJeejeebhoy Towers,<br>Dalal Street,<br>FortMumbai- 400001<br><br><b>Security Code: 511611</b> | The Head- Listing Compliance<br><b>National Stock Exchange of<br/>India Ltd.</b><br>Exchange Plaza,<br>Plot no. C/1, G Block,<br>Bandra-Kurla Complex<br>Mumbai - 400 051<br><br><b>Stock Code: DCMFINSERV</b> | The Head- Listing<br>Compliance<br><b>The Calcutta Stock<br/>Exchange Ltd.</b><br>7, Lyons Range,<br>Murgighata, BBD Bagh,<br>Kolkata, West Bengal-<br>700001<br><br><b>Scrip Code: 014032</b> |
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**Subject: Compliance with Regulation 40(9) of SEBI (Listing Obligations and Disclosure Requirements) Regulations 2015**

Dear Sir/Ma'am,

Please find enclosed herewith Certificate by Practicing Company Secretary for the half year ended on **31<sup>st</sup> March, 2021** in compliance with the regulation 40(9) of SEBI (Listing Obligations and Disclosure Requirements) Regulations, 2015.

Kindly take the above information for your records.

Thanking you,

Yours Faithfully,

**For DCM Financial Services Limited**

**(Shantanu Deveshwar)**  
**Whole Time Director**  
**DIN: 08268523**

**Place: New Delhi**

Encl: as stated

**DCM FINANCIAL SERVICES LIMITED**

CIN 65921DL1991PLC043087

Regd. Office: D 7/3, Okhla Industrial Area-II, New Delhi-110020

Tel-011-26387750 email ID: info@dfsionline.in

Website: www.dfsionline.in



## OJHA & ASSOCIATES

Company Secretaries

473, Patel Nagar, P.O. Harjinder Nagar, Kanpur-208007

E-Mail: [cstanavojha@gmail.com](mailto:cstanavojha@gmail.com), Ph: +[91-9198069316](tel:919198069316)

**CERTIFICATE UNDER REGULATION 40(9) OF THE  
SEBI (LISTING OBLIGATIONS AND DISCLOSURE REQUIREMENTS)  
REGULATIONS, 2015 FOR THE HALF YEAR ENDED ON 31<sup>ST</sup> MARCH, 2021**

I have examined all activities in relation to both Physical and Electronic Transfer facility relating to **DCM Financial Services Limited** maintained by **MCS Share Transfer Agent Limited** pertaining to transfer of equity shares of the Company for the period from **1<sup>st</sup> October, 2020 to 31<sup>st</sup> March, 2021** for the purpose of issuing a Certificate as per Regulation 40(9) of the SEBI (Listing Obligations and Disclosure Requirements) Regulations, 2015 entered into by **DCM Financial Services Limited** with exchanges and based on the information provided by the company, I hereby certify that the Company has delivered during half year ended **31<sup>st</sup> March, 2021**.

The Company has delivered Share/Debenture Certificate(s) relating to the Transfer of Share/Debenture received during the period **1st October, 2020 to 31st March, 2021**, as entered in the Memorandum of Transfers have been issued within Thirty (30) days from the date of lodgment for transfer, sub-division, consolidation, renewal, exchange or endorsement of calls/allotment monies in terms of Regulation 40(9) of the SEBI (Listing Obligations and Disclosure Requirements) Regulations, 2015.

For Ojha & Associates,  
Company Secretaries

TANAY

OJHA

Digitally signed by TANAY OJHA  
DN: cn=TANAY OJHA,  
2.5.4.20=35707474928874804806220  
21582069695128642710406041703204  
, postalCode=208007, o=UTTAR PRADESH,  
serialNumber=8999999444444444444444  
782403627028625646a0882711b22330ff71  
0047, c=IN, email=tanay.ojha@ojha.com,  
date=2021.04.22 14:19:48 +05'30'

Date: 22.04.2021

Place: Kanpur

Tanay Ojha

Company Secretary

Memb. No.: A29658

C.O.P. No.: 10790

UDIN: A029658C000156268