

25th October 2019

To,

National Stock Exchange of India Limited
Listing Dept.
Exchange Plaza, Bandra Kurla Complex
Bandra(East), Mumbai-400051

BSE Limited
Listing Dept.
P.J.Tower, Dalal Street
Fort, Mumbai-400001

Dear Sir,

Sub: Submission of Certificate under Regulation 40 of the Securities and Exchange Board of India (Listing Obligations and Disclosure Requirements) Regulations, 2015.

Pursuant to the Regulation 40 of the Securities and Exchange Board of India (Listing Obligations and Disclosure Requirements) Regulations, 2015, we are sending herewith a copy of the Certificate issued by Mr. Mohammad Pillikandlu, Practicing Company Secretary dated 24th October 2019 for the half year ended on 30th September 2019.

Kindly acknowledge the receipt of the same and take the same on record.

Thanking you,

Yours faithfully,
For **Emkay Global Financial Services Limited**



B. M. Raul
Company Secretary & Compliance Officer

Encl : As above



**CERTIFICATE UNDER REGULATION 40(9) OF SECURITIES AND EXCHANGE BOARD
OF INDIA (LISTING OBLIGATIONS AND DISCLOSURE REQUIREMENTS)
REGULATIONS, 2015 FOR THE HALF YEAR ENDED 30th SEPTEMBER, 2019**

The Securities and Exchange Board of India vide gazette notification dated 8th June, 2018 and vide its press release dated 3rd 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 dematerialized form only w.e.f. 1st 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 1st April, 2019.


Accordingly, we have examined Share Transfer Deeds, Memorandum of Transfers, Registers, files and other documents relating to **EMKAY GLOBAL FINANCIAL SERVICES LIMITED** (the Company) maintained by Link Intime India Private Limited, Registrar and Share Transfer Agents pertaining to transfer deeds which were lodged prior to 1st April, 2019 and re-lodged thereafter, for transfer of equity shares of the company for the period from 1st April, 2019 to 30th September, 2019 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 and based on the information provided by the Company, We hereby certify that:

A) As per the records made available to us there were no requests relating to transfers, sub-division (split), consolidation, renewal, exchange or endorsement of calls/allotment monies received during the period from 1st April, 2019 to 30th September, 2019.

B) Any other information, if applicable: ---



Place: Mumbai
Date: October 24, 2019

Signature: 
Name of Company Secretary: **Mohammad Pillikandlu**
ACS: 39232 CP: 14603
UDIN: A039232A000158769

For Parikh Parekh & Associates