

**VIKALP
SECURITIES LIMITED**

DATE:- 15/04/2024

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

Sub:-Compliance certificate under Regulation 40(9) of SEBI (Listing Obligations and Disclosure Requirements) Regulations, 2015 for the year ended on 31st March, 2024

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 year ended on 31st March, 2024.

Kindly take the above on record.

Enclosure: Compliance certificate of the Company for the year ended on 31st March, 2024 as per Regulation 40(9) of the SEBI (Listing Obligations and Disclosure Requirements) Regulations, 2015

Thanking You
For Vikalp Securities Limited

ARUN KEJRIWAL
DESIGNATION: Managing Director
DIN:00687890

Regd. Office : 25/38, Karachi Khana, Kanpur - 208 001 Uttar Pradesh
CIN : L65993UP1986PLC007727; Contact No. : 0512-2372665
E-mail Id : vikalpsecuritieslimited@gmail.com • Website : www.vikalpsecurities.com



ADESH TANDON & ASSOCIATES

COMPANY SECRETARIES

Adesh Tandon

FCS, LL.B., B.Com., AAIMA

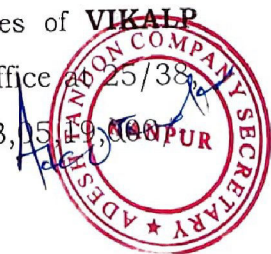
811, 8th Floor, KAN Chambers,
14/113, Civil Lines, Kanpur - 208 001 (U.P.)
Tel. : 0512 - 2332397 • Mobile : +91-9839100709
E-mail : adesh.tandon11@gmail.com

**CERTIFICATE UNDER REGULATION 40(9) OF THE SECURITIES AND EXCHANGE
BOARD OF INDIA (LISTING OBLIGATIONS AND DISCLOSURE REQUIREMENTS)
REGULATION, 2015 FOR THE YEAR ENDED MARCH 31, 2024.**

The Securities and Exchange Board of India ("SEBI") vide gazette notification dated June 08th, 2018 and vide its press release dated December 03rd, 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 01st, 2019. Further, SEBI vide its press release dated March 27th, 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 01st, 2019. Further, SEBI vide its circular dated 07th September, 2020 has fixed 31st March, 2021 as the cut-off date for re-lodgement of such transfer deeds and the shares that are re-lodged for transfers shall be issued only in demat mode. SEBI has specified operational guidelines for transfer and dematerialization of re-lodged physical shares vide its circular dated 02nd December, 2020.

SEBI vide gazette notification dated 24th January, 2022 read with SEBI circular no. SEBI/HO/MIRSD/MIRSD_RTAMB/P/CIR/2022/8 dated 25th January, 2022 has mandated that the companies shall effect issuance of certificates or receipts or advices, as applicable in dematerialized form only, while processing the service requests relating to Issue of duplicate securities certificate, Claim from Unclaimed Suspense Account, Renewal / Exchange of securities certificate, Endorsement, Sub-division / Splitting of securities certificate, Consolidation of securities certificates/folios, Transmission and Transposition.

Accordingly, on the basis of examination of all the relevant documents and to the best of our information and explanation given to us 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 ₹3,05,19,000



ADESH TANDON & ASSOCIATES
COMPANY SECRETARIES

Adesh Tandon
FCS, LL.B., B.Com., AAIMA

811, 8th Floor, KAN Chambers,
14/113, Civil Lines, Kanpur - 208 001 (U.P.)
Tel. : 0512 - 2332397 • Mobile : +91-9839100709
E-mail : adesh.tandon11@gmail.com

(Rupees Three Crore Five Lakhs Nineteen Thousand only) divided into 30,51,900 (Thirty Lakhs Fifty One Thousand Nine Hundred only) equity shares of ₹10/- (Rupees Ten only) each, maintained and provided electronically by SKYLINE FINANCIAL SERVICES PRIVATE LIMITED, Registrar and Transfer Agent (RTA) of the Company, pertaining to period ending on March 31st, 2024 for the purpose of issuing a Certificate under Regulation 40(9) of the Securities and Exchange Board of India (Listing Obligations and Disclosure Requirements) Regulations, 2015, We hereby certify that:

A. The Company has delivered during year ended on March 31st, 2024 share certificates/letter of Confirmation according to the SEBI'S operational guidelines in respect of request(s) of transposition of shares and for issue of duplicate shares certificates received during financial year ended on March 31st, 2024 within thirty days, from the respective date of lodgement.

However, there were no requests for transfer, transmission/name deletion/change of name, sub-division, split, consolidation, renewal, exchange of certificates and endorsement for payment of call / allotment money.

B. The Company has not issued any debentures, hence the reporting of the same is not applicable.

C. Any other information, if applicable: N.A.

For ADESH TANDON AND ASSOCIATES


Company Secretaries
For ADESH TANDON & ASSOCIATES
COMPANY SECRETARIES

Peer Reviewed Unit: 741/2020

UDIN : F002253F000115146

Date : April 13, 2024

Place : Kanpur


PROPRIETOR
C. P. No. 1121
Adesh Tandon
Proprietor
FCS No.2253
C. P. No.1121