

April 26, 2019

BSE Limited  
Bad Delivery Cell,  
Phiroze Jeejeebhoy Towers,  
Dalal Street, Fort,  
**Mumbai – 400 001**

Security Code: **523405**

National Stock Exchange of India Limited  
Exchange Plaza  
Plot No.C-1, G Block  
Bandra-Kurla Complex  
Bandra (East)  
**Mumbai – 400 051**

Symbol: **JMFINANCIL**

Dear Sirs,

**Re: Certificate pursuant to Regulation 40(9) of SEBI (Listing Obligations and Disclosures Requirements) Regulations, 2015**

Pursuant to Regulation 40(9) of SEBI (Listing Obligations and Disclosures Requirements) Regulations, 2015, we are forwarding herewith a copy of the certificate received by us from M/s Naren Shroff & Associates, Practicing Company Secretary, Mumbai. The said certificate is for the half year ended on March 31, 2019.

Kindly acknowledge receipt.

Yours faithfully,  
for JM Financial Limited



**P K Choksi**  
Group Head – Compliance, Legal  
& Company Secretary

Encl: a/a

# Naren Shroff & Associates

COMPANY SECRETARIES

CS Naren S. Shroff  
B.Com., L.L.B., F.C.S., ACIS (London)

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Email : narensbroffcs@gmail.com

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6, Meghdoot, 2nd Floor, Road No. 31, Opp. Kikabhai Hospital, Near Shanmukhanand Hall,  
Slon (East), Mumbai – 400 022.

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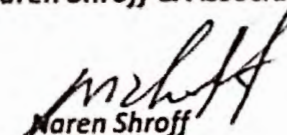
## TO WHOMSOEVER IT MAY CONCERN

We have examined the relevant Books, Registers and records of **JM FINANCIAL LIMITED** (hereinafter referred to as 'the Company') having its registered office at 7<sup>th</sup> Floor, Cnergy, Appasaheb, Marathe Marg, Prabhadevi, Mumbai - 400 025, maintained by its Registrar and Transfer Agent (hereinafter referred to as 'RTA'), Karvy Fintech Private Limited, produced before us for the purpose of issuing certificate under Regulation 40(9) of the Securities and Exchange Board of India (Listing Obligations and Disclosure Requirements) Regulations, 2015, and based on our such examination as well as information, explanation and confirmation furnished to us which to the best of our knowledge and belief were necessary for the purpose of our certificate, we hereby certify that in our opinion and according to the best of our information and belief the Company has, in relation to half year ended **31<sup>st</sup> March, 2019**, issued all the certificates within thirty days of the date of lodgement for transfer or otherwise, except in the case as mentioned in '**Annexure A**', as reported to us by the Company's RTA.

Place: Mumbai

For Naren Shroff & Associates

Dated: 26<sup>th</sup> April, 2019

  
Naren Shroff  
Proprietor  
FCS-2414 CP-1563



Encl: Annexure A

Annexure to Certificate dated 26<sup>th</sup> April, 2019

Annexure A

JM FINANCIAL LIMITED

In the following case the certificates of listed securities have not been issued to the shareholders within thirty days of the date of lodgement for transfer.

INWARD		NAME(S) OF TRANSFEREE(S)	NO. OF SHARES	TRANSFER DATE	POSTING DATE	DELAY / REMARK
NO.	DATE					
500094	16/01/2019	ASHOK SHASHIKANT BHATT	2500	14/02/2019	18/02/2019	<ul style="list-style-type: none"><li>• Delay of 3 days</li><li>• Delay in transfer after 15 days of sellers' notice and delay in posting</li></ul>

*M Shroff*  
*28/1/2019*

