



Date: April 29, 2023

To

Manager Listing Department <b>BSE Limited</b> Phiroze Jeejeebhoy Towers, Dalal Street, Mumbai- 400001 Scrip Code : 533344	Manager Listing Department <b>National Stock Exchange of India Limited</b> Exchange Plaza, C-1, Block G, Bandra- Kurla Complex, Bandra (East), Mumbai- 400051 Scrip Symbol : PFS
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**Sir/ Madam,**

**Subject: Compliances certificate as per Regulation 40(9) of Securities and Exchange Board of India (Listing Obligations and Disclosure Requirements), Regulations 2015**

We enclose herewith the compliance certificate as per regulation 40(9) of Securities and Exchange Board of India (Listing Obligations and Disclosure Requirements), Regulations 2015 for the year ended 31<sup>st</sup> March, 2023 for your information and record.

The same is available at the website of the Company at [www.ptcfinancial.com](http://www.ptcfinancial.com).

We request you to take the document on record.

Thanking You,

**For PTC India Financial Services Limited**

Shweta Agrawal  
Company Secretary

Enclosed: as above

**PTC India Financial Services Ltd. (CIN: L65999DL2006PLC153373)**

(A subsidiary of PTC India Limited)

**Registered Office:** 7th Floor, Telephone Exchange Building, 8 Bhikaji Cama Place, New Delhi - 110 066, India

Board: +91 11 26737300 / 26737400 Fax: 26737373 / 26737374, Website: [www.ptcfinancial.com](http://www.ptcfinancial.com), E-mail: [info@ptcfinancial.com](mailto:info@ptcfinancial.com)

CS. SAVITA JYOTI, B.Com., F.C.S.

**CERTIFICATE UNDER REGULATION 40(9) OF THE SECURITIES AND EXCHANGE BOARD  
OF INDIA (LISTING OBLIGATIONS AND DISCLOSURE REQUIREMENTS) REGULATIONS,  
2015 FOR THE FINANCIAL YEAR ENDED MARCH 31, 2023**

The Securities and Exchange Board of India (SEBI) vide gazette notification dated 8<sup>th</sup> June, 2018 and vide its press release dated 3<sup>rd</sup> December, 2018, amended Regulation 40 of the SEBI (Listing Obligations and Disclosure Requirements) Regulations, 2015 and has mandated that the transfer of securities would be carried out only in dematerialized form w.e.f. 01<sup>st</sup> April, 2019. SEBI vide its press release dated 27<sup>th</sup> 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 01<sup>st</sup> April, 2019. Further, SEBI vide its circular dated 07<sup>th</sup> September, 2020 has fixed 31<sup>st</sup> March, 2021 as the cut-off date for re-lodgment 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 02<sup>nd</sup> December, 2020.

SEBI vide gazette notification dated 24<sup>th</sup> January, 2022 read with SEBI circular no. SEBI/HO/MIRSD/MIRSD\_RTAMB/P/CIR/2022/8 dated 25<sup>th</sup> January, 2022 has mandated that 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 the relevant documents relating to equity shares of **PTC INDIA FINANCIAL SERVICES LIMITED** ('the Company') maintained and provided electronically by **KFin Technologies Limited**, Registrar and Share Transfer Agents (RTA), pertaining to the financial year ended March 31, 2023 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, I hereby certify that:

- A) there were no request received for share certificates for transfer of shares during the period from April 1, 2022 to March 31, 2023 to be entered in the Memorandum of Transfers within the stipulated time from the respective lodgment;
- B) as per the records made available, there were no requests received relating to sub-division (split), renewal, exchange, or endorsement of calls/allotment monies during the aforesaid period except one case of consolidation during the aforesaid period.

**Date: 28/04/2023**  
**Place: Hyderabad**

**SAVITA JYOTI, FCS 3738**  
**Practicing Company Secretary**  
**Certificate of Practice No. 1796**

**SAVITA JYOTI ASSOCIATES**

*Savita Jyoti*

**CS. SAVITA JYOTI**  
**Membership No.: 3738**  
**CP No.:1796**  
**UDIN: F003738E000168485**