

**Motilal Oswal Financial Services Limited**  
CIN: L67190MH2005PLC153397  
Regd. Off.: Motilal Oswal Tower,  
Rahimtullah Sayani Road,  
Opp. Parel ST Depot,  
Prabhadevi, Mumbai – 400025  
Board: +91 22 7193 4200 / 4263  
Fax: +91 22 5036 2365

April 13, 2021

**BSE Limited**  
P. J. Towers,  
Dalal Street, Fort,  
Mumbai - 400001  
**Security Code: 532892**

**National Stock Exchange of India Limited**  
Exchange Plaza, Plot No. C/1, G Block,  
Bandra-Kurla Complex, Bandra (E),  
Mumbai – 400051  
**Symbol: MOTILALLOFS**

**Sub: Compliance Certificate - Regulation 40(9) and 40(10) of Listing Regulations**

Dear Sir/Madam,

Pursuant to Regulation 40(9) and 40(10) of the SEBI (Listing Obligations and Disclosure Requirements) Regulations, 2015 (“Listing Regulations”), please find enclosed herewith the Compliance Certificate issued by M/s. U. Hegde & Associates, Company Secretaries for the half year ended March 31, 2021.

Kindly take the same on record.

Thanking you,

Yours faithfully,  
**For Motilal Oswal Financial Services Limited**

**Kailash Purohit**  
**Company Secretary & Compliance Officer**  
Encl: As above

# *U. HEGDE & ASSOCIATES*

## COMPANY SECRETARIES

### CERTIFICATE UNDER REGULATION 40(9) OF SEBI (LISTING OBLIGATIONS & DISCLOSURE REQUIREMENTS) REGULATION, 2015

#### FOR THE HALF YEAR ENDED MARCH 31, 2021

I, have examined all Share Transfer Deeds, Memorandum of Transfers, Registers, files and other documents relating to **MOTILAL OSWAL FINANCIAL SERVICES LIMITED**, having registered Office at Motilal Oswal Tower, Rahiumtullah Sayani Road, Opp Parel ST Depot, Mumbai 400025 and maintained by Registrar & Transfer Agent (RTA) **LINK INTIME INDIA PRIVATE LIMITED**, C-101, 247, Park, L.B.S. Marg, Vikhroli (West), Mumbai - 400083., pertaining to transfer of equity shares of the company for the period from October 1, 2020 to March 31, 2021 for the purpose of issuing a Certificate as per Regulation 40(9) of the SEBI (Listing Obligations & Disclosure Requirements) Regulations, 2015, based on the information provided by the Company/RTA, I hereby certify that:

- A) During the period from October 1, 2020 to March 31, 2021, no share transfers were lodged with Company/RTA, therefore the Company was not required to deliver the share certificates within thirty days from date of lodgment.
- B) During the period from October 1, 2020 to March 31, 2021, the Company /RTA did not receive any request relating to sub division, consolidation, renewal, exchange or endorsement of calls/ allotment monies, therefore the Company was not required to deliver the share certificates within thirty days from date of lodgment.

**FOR U. HEDGE & ASSOCIATES, COMPANY SECRETARIES**

UMASHANKAR  Digitally signed by UMASHANKAR KRISHNA HEGDE  
KRISHNA HEGDE Date: 2021.04.13 13:30:09 +05'30'

Date: 13/04/2021  
Place: Mumbai

**UMASHANKAR K HEGDE**  
**(Proprietor)**  
**COP No- 11161 # M.No- A22133**

**ICSI UDIN -A022133C000072733**