

# SUMMIT SECURITIES LIMITED

Corporate Identification Number: L65921MH1997PLC194571

Registered Office: 213, Bezzola Complex, B Wing, 71, Sion-Trombay Road, Chembur, Mumbai - 400071

Tel Nos.: +91-22-46098668 / 69

Website : [www.summitsecurities.net](http://www.summitsecurities.net) Email : [investors@summitsecurities.net](mailto:investors@summitsecurities.net) ; [compliance@summitsecurities.net](mailto:compliance@summitsecurities.net)

April 18, 2023

**National Stock Exchange of India Limited**

Exchange Plaza, 5<sup>th</sup> Floor

Plot No C/1, G Block

Bandra Kurla Complex

Bandra East

Mumbai 400 051

**BSE Limited**

Phiroze Jeejeebhoy Towers

Dalal Street, Fort

Mumbai 400 001

**Re: Security Code: 533306, Security ID/Symbol: SUMMITSEC**

**Sub: Certificate under Regulation 40 (9) of the SEBI (Listing Obligations and Disclosure Requirements) Regulations, 2015**

Dear Sir,

Pursuant to Regulation 40 (9) of the SEBI (Listing Obligations and Disclosure Requirements) Regulations, 2015, we enclose herewith certificate issued by M/s Parikh & Associates, Company Secretaries for the financial year ended March 31, 2023.

Kindly acknowledge receipt.

Thanking You,

Yours faithfully,  
For Summit Securities Limited

Jiya Gangwani  
Company Secretary and Compliance Officer  
Encl. As stated above.

**CERTIFICATE UNDER 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.**

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 had mandated transfer of securities only in dematerialized form w.e.f. 01<sup>st</sup> April, 2019.

Further, 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 had mandated 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 SUMMIT SECURITIES LIMITED ('the Company') maintained and provided electronically by TSR Consultants Private Limited, Registrar and Share Transfer Agents (RTA), pertaining to the financial year ended 31<sup>st</sup> March, 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, we hereby certify that:

A) 1.a. As informed to us, there were no requests relating to transfers received during the financial year ended 31<sup>st</sup> March, 2023.

1. b. The Company has delivered/sent during year ended on 31<sup>st</sup> March, 2023, letters of confirmation as per SEBI's operational guidelines, for execution of transmission of securities, deletion of name and renewal, received during the financial year ended 31<sup>st</sup> March, 2023, within the prescribed time from the respective date of lodgement, barring few cases of deletion of name where letters of confirmation were delivered within the extended timeline provided under SEBI circular no. SEBI/HO/MIRSD/MIRSD\_RTAMB/P/CIR/2022/26 dated 25<sup>th</sup> February, 2022. As informed to us there were no requests relating to transposition of securities, sub-division (split), consolidation, exchange or endorsement of calls/allotment monies received during the said period.

B) Any other information, if applicable: --

Place: Mumbai  
Date: April 18, 2023

Signature:

**For Parikh & Associates**  
Company Secretaries

Pravinchandra  
a Nahalchand  
Parikh

Digitally signed by Pravinchandra Nahalchand Parikh  
DN: cn=PA, o=Parikh, title=CS,2.5.4.30=02259473a6487c3d3dfe083a3d70b0616  
95620982  
2.5.4.30=02259473a6487c3d3dfe083a3d70b0616  
45252030313832642c3c360939393e11  
postalCode=400104, st=Maharashtra,  
serialNumber=66A5D7E999F1E973237E198497C8E  
18A8A3A8A8F824E7C78B0C35892FC,  
cn=Pravinchandra Nahalchand Parikh  
Date: 2023.04.18 11:29:44 +05'30'

P. N. Parikh  
FCS No: 327 CP No: 1228  
UDIN: F000327E000126244  
PR No.: 1129/2021