



# NCL RESEARCH & FINANCIAL SERVICES LTD.

CIN no.: L65921MH1985PLC284739

Registered Office : 3rd Floor, Bhagyodaya Building, 79 Nagindas Master Road, Fort, Mumbai - 400023, Maharashtra  
Tel/fax: 022-22703249 E-mail : ncl.research@gmail.com Website :- www.nclfin.com

October 30, 2019

**The Deputy Manager**  
Department of Corporate Services  
**BSE Limited**  
P. J. Towers, Dalal Street, Fort  
Mumbai – 400 001

Ref: **Scrip Code 530557**

Sub: **Submission of Certificate u/c 40(9) & (10) of SEBI LODR Regulations, 2015**

Respected Sir/Madam,

With reference to the above, we are enclosing along with this letter, certificate for half year ended on 30<sup>th</sup> September 2019; issued & certified by Ms. Kriti Daga, Practicing Company Secretary; u/r 40(9) & (10) of SEBI LODR Regulations, 2015.

Kindly take the same on your record & oblige.

Thanking You,

Yours truly,  
For **NCL RESEARCH & FINANCIAL SERVICES LIMITED**

**GOUTAM BOSE**  
**DIN: 02504803**  
**MANAGING DIRECTOR**

Enclosed: a/a



# Kriti Daga

Practicing Company Secretaries

4, Ho Chi Minh Sarani, KBR Complex, Flat No. 3C, Kolkata – 700 071  
Mobile : +91 98361 62295, Email : kritisdaga@gmail.com

## CERTIFICATE UNDER REGULATION 40(9) OF SECURITIES AND EXCHANGE BOARD OF INDIA (LISTING OBLIGATIONS AND DISCLOSURE REQUIREMENTS) REGULATIONS, 2015

FOR THE HALF YEAR ENDED 30<sup>th</sup> September 2019

### TO WHOMSOEVER IT MAY CONCERN

I have examined all share transfer Forms/deeds, Memorandum of Transfers, Registers, Files and other documents relating to **NCL RESEARCH & FINANCIAL SERVICES LIMITED** having its registered office as 79, Bhagyodaya Building, 3<sup>rd</sup> Floor, Nagindas Master Road, Fort, Mumbai-400023, Maharashtra maintained by **ABS CONSULTANTS PRIVATE LIMITED** the Registrar & share Transfer Agent of the Company pertinent to transfer of equity shares of the Company for the period from **01<sup>st</sup> April 2019 to 30<sup>th</sup> September 2019** 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 entered into by **NCL RESEARCH & FINANCIAL SERVICES LIMITED** and based on information provided by the company, we hereby certify that the company has delivered during the half year ended on 30<sup>th</sup> September 2019:

- a) Share Certificate(s) relating to the Share Transfer Form(s) received during the period from **01<sup>st</sup> April 2019 to 30<sup>th</sup> September 2019** as entered in the Memorandum of transfers have been issued within fifteen days from the respective date of lodgement of each forms/deeds excepting those rejected on technical grounds:
- b) Has not received any request for sub-division, Consolidation, renewal, exchange or endorsement of calls/allotments monies: and
- c) No request for exchange of Duplicate, Transmission and Split Share Certificate have been received during the half year ended on 30<sup>th</sup> September 2019.

For **Kriti Daga**  
Company Secretary

**Kriti Daga**  
Proprietor  
ACS No. A26425 C.P. No. 14023

**KRITI DAGA**  
COMPANY SECRETARY IN WHOLE-TIME PRACTICE  
Membership No.-26425  
C.P. No.-14023  
KBR Complex, 4, Ho Chi Minh Sarani  
Next to US Consulate  
Flat No.3C, Kolkata-700 071  
Ph: 9836162295

Place: Kolkata  
Date: 30.10.2019