



**VIKALP  
SECURITIES LIMITED**

DATE:- 14/04/2023

To,  
Manager – CRD,  
BSE Limited,  
Phiroze Jeejeebhoy Towers,  
Dalal Street,  
Mumbai – 400001

**Sub:-Compliance certificate under Regulation 40(9) of SEBI (Listing Obligations and Disclosure Requirements) Regulations, 2015 for the year ended on 31<sup>st</sup> March, 2023**

Dear Sir,

This is with regard to VIKALP SECURITIES LIMITED (ISIN INE186E01011 and SECURITY CODE - 531334). With reference to the above mentioned subject, pursuant to the Regulation 40(9) of the SEBI (Listing Obligations and Disclosure Requirements) Regulations, 2015, we are attaching the Certificate for the year ended on 31st March, 2023.

Kindly take the above on record.

**Enclosure: Compliance certificate of the Company for the year ended on 31<sup>st</sup> March, 2023 as per Regulation 40(9) of the SEBI (Listing Obligations and Disclosure Requirements) Regulations, 2015**

Thanking You  
For Vikalp Securities Limited

  
  
Managing Director  
DIN:-00687890

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**ADESH TANDON & ASSOCIATES**  
**COMPANY SECRETARIES**

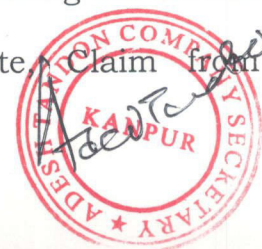
**Adesh Tandon**  
FCS, LL.B., B.Com., AAIMA

811, 8th Floor, KAN Chambers,  
14/113, Civil Lines, Kanpur - 208 001 (U.P.)  
**Tel. : 0512-2332397 • Mobile : +91-9839100709**  
**E-mail : adesh.tandon11@gmail.com**

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

The Securities and Exchange Board of India ("SEBI") vide gazette notification dated June 08<sup>th</sup>, 2018 and vide its press release dated December 03<sup>rd</sup>, 2018, amended Regulation 40 of the Securities and Exchange Board of India (Listing Obligations and Disclosure Requirements) Regulations, 2015 and has mandated that the transfer of securities would be carried out in dematerialized form only w.e.f. April 01<sup>st</sup>, 2019. Further, SEBI vide its press release dated March 27<sup>th</sup>, 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 April 01<sup>st</sup>, 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-lodgement 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 the 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



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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 all the relevant documents and to the best of our information and explanation given to us relating to shares of **VIKALP SECURITIES LIMITED** ("the Company"), having its registered office at 25/38, Karachi Khana, Kanpur - 208001 and paid up share capital of ₹3,05,19,000/- (Rupees Three Crore Five Lakhs Nineteen Thousand only) divided into 30,51,900 (Thirty Lakhs Fifty One Thousand Nine Hundred only) equity shares of ₹10/- each, maintained and provided electronically by SKYLINE FINANCIAL SERVICES PRIVATE LIMITED, Registrar and Share Transfer Agents (RTA), pertaining to the period ended on March 31<sup>st</sup>, 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) There were no requests relating to transfer, transmission, transposition of securities, issue of duplicate shares certificates, sub-division (split), consolidation, renewal, exchange or endorsement of calls/allotment monies received during the said period;



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(B) The Company has not issued any debentures hence the reporting of the same is not applicable.

**For ADESH TANDON AND ASSOCIATES**  
**Company Secretaries**

For ADESH TANDON & ASSOCIATES  
COMPANY SECRETARIES

*Adesh Tandon*  
PROPRIETOR  
C.P. No. 1121

**Peer Review Unit: 741/2020**  
**UDIN: F002253E000076096**

Date: April 12, 2023  
Place: Kanpur

**(Adesh Tandon)**  
Proprietor  
FCS No.2253  
C. P. No.1121