

Date: 17.04.2023

To,

National Stock Exchange of India Limited
Listing Dept.
Exchange Plaza, Bandra Kurla Complex
Bandra (East), Mumbai-400051
Scrip Code: EMKAY

BSE Limited
Listing Dept.
P.J. Tower, Dalal Street
Fort, Mumbai-400001
Scrip Code: 532737

Dear Sir,

Sub: Submission of Certificate under Regulation 40 (9) of the Securities and Exchange Board of India (Listing Obligations and Disclosure Requirements) Regulations, 2015.

Pursuant to the Regulation 40 (9) of the Securities and Exchange Board of India (Listing Obligations and Disclosure Requirements) Regulations, 2015, we are enclosing herewith a copy of the Certificate issued by Mr. Mohammad Pillikandlu, Practicing Company Secretary dated 12th April, 2023 for the financial year ended on 31st March, 2023.

Kindly acknowledge the receipt of the same and take the same on record.

Thanking you,

For Emkay Global Financial Services Limited

B.M. Raul
Company Secretary & Compliance officer

Encl: As above



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

The Securities and Exchange Board of India (SEBI) vide gazette notification dated 8th June, 2018 and vide its press release dated 3rd 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. 01st April, 2019. SEBI vide its press release dated 27th 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 01st April, 2019. Further, SEBI vide its circular dated 07th September, 2020 has fixed 31st 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 02nd December, 2020.

SEBI vide gazette notification dated 24th January, 2022 read with SEBI circular no. SEBI/HO/MIRSD/MIRSD_RTAMB/P/CIR/2022/8 dated 25th 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 EMKAY GLOBAL FINANCIAL SERVICES LIMITED ('the Company') maintained and provided electronically by Link Intime India Private Limited, Registrar and Share Transfer Agents (RTA), pertaining to the financial year ended 31st 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) As per the records made available to us there were no requests relating to transfers, transmission of securities, deletion of name, transposition of securities, sub-division (split), consolidation, renewal, exchange or endorsement of calls/allotment monies received during the financial year ended 31st March, 2023.

B) Any other information, if applicable: -

Place : Mumbai
Date : April 12, 2023

Signature:

For Parikh Parekh & Associates

Company Secretaries

MOHAMMAD

FAKRUDDIN

PILLIKANDLU

Digitally signed by MOHAMMAD FAKRUDDIN
PILLIKANDLU
DN: c=IN, o=Personal, postalCode=400058,
st=Maharashtra,
2.5.4.20=d9be88ef5a68b50c07177769cbccbf254f7923
b514a334d65a97b1968072,
pseudonym=EABE37D0F501F5D405FCF36442F9D8326FC
1D46A,
serialNumber=572EBC0431E121C4DCBAC81B193B6412E
282204485121C598EDA456AA57C0B8, cn=MOHAMMAD
FAKRUDDIN PILLIKANDLU
Date: 2023.04.12 15:40:38 +05'30'

Mohammad Pillikandlu

FCS No: 10619 CP No: 14603

UDIN: F010619E000073341

PR No.: 723/2020