



**VIKALP  
SECURITIES LIMITED**

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

DATE:- 22/04/2021

**Sub:-Compliance certificate under Regulation 40(9) of SEBI (Listing Obligations and Disclosure Requirements) Regulations, 2015 for the half year ended on 31<sup>st</sup> March, 2021**

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 half year ended on 31st March, 2021.

Kindly take the above on record.

**Enclosure:** Compliance certificate of the Company for the half year ended on 31<sup>st</sup> March, 2021 as per Regulation 40(9) of the SEBI (Listing Obligations and Disclosure Requirements) Regulations, 2015

Thanking You  
For Vikalp Securities Limited

(Shubhani Gupta)

Company Secretary & Compliance Officer

Regd. Office : 25/38, Karachi Khana, Kanpur - 208 001 Uttar Pradesh  
CIN : L65993UP1986PLC007727; Contact No. : 0512-2372665  
E-mail Id : vikalpsecuritieslimited@gmail.com • Website : www.vikalpsecurities.com

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

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

811, 8<sup>th</sup> 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 HALF**  
**YEAR ENDED MARCH 31, 2021.**

The Securities and Exchange Board of India (“SEBI”) vide gazette notification dated June 08, 2018 and vide its press release dated December 03, 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, 2019. Further, SEBI vide its press release dated March 27, 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, 2019.

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 from October 01, 2020 to March 31, 2021 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. The company has delivered during half year ended on March 31, 2021 share certificates in respect of transposition of securities within thirty days, from the respective date of lodgment. As informed to us

**ADESH**  
**TANDON**  
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by ADESH  
TANDON  
Date: 2021.04.22  
15:26:07 +05'30'

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

**Adesh Tandon**

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**E-mail:** adesh.tandon11@gmail.com

there were no requests relating to transfer, transmission of securities, duplicate share certificates, sub-division (split), exchange or endorsement of calls/allotment monies received during the said period.

- B. During the period under review, no request for Re-mat was received by the Company;
- C. The Company has not issued any debentures hence the reporting of the same is not applicable.

**Peer Review Unit: 741/2020**

**UDIN: F002253C000157122**

Date: April 22, 2021

Place: Kanpur

**For ADESH TANDON AND ASSOCIATES**

**Company Secretaries**

**ADESH**  
**TANDON**  
**N**

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TANDON  
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**(Adesh Tandon)**

Proprietor

FCS No.2253

C. P. No.1121