

October 26, 2020

General Manager,  
Department of Corporate Services,  
BSE Ltd.  
Phiroze Jeejeebhoy Towers,  
Dalal Street, Mumbai 400 001

Dear Sir,

Compliance with the requirements of Regulation 40 (9) of  
Securities Exchange Board of India (Listing Obligations and  
Disclosure Requirements) Regulations, 2015

In compliance with the requirements of Regulation 40 (9) of Securities Exchange Board of India (Listing Obligations and Disclosure Requirements) Regulations, 2015, we submit herewith certificate dated October 26, 2020 issued by P.P.Shah & Co., Company Secretaries under sub-regulation (9) of Regulation 40 of Securities Exchange Board of India (Listing Obligations and Disclosure Requirements) Regulations, 2015 for the half year ended on September 30, 2020.

Kindly acknowledge receipt.

Yours faithfully,  
For FORBES & COMPANY LIMITED

  
(Pankaj Khattar)  
Head Legal and Company Secretary

Encl:



**CERTIFICATE UNDER REGULATION 40 (9) OF SEBI (LODR) REGULATIONS, 2015**

**FOR THE HALF YEAR ENDED 30<sup>TH</sup> SEPTEMBER, 2020**

I have examined all relevant Registers, files and other documents relating to **M/s. Forbes & Company Limited** (formally known as Forbes Gokak Limited) having its Registered Office situated at Forbes' Building, Charanjit Rai Marg, Fort, Mumbai – 400 001 maintained by **M/s. TSR Darashaw Consultants Private Limited**, Registrar & Share Transfer Agents (RTA) having its office at 6/10, Haji Moosa Patrawala Industrial Estate, 20, Dr. E. Moses Road, Mahalaxmi, Mumbai – 400 011 pertaining to transfer of equity shares (transfer deeds of which were lodged prior to April 1, 2019 and returned due to deficiency and re-lodged during the half year ended September 30, 2020) of the Company for the period from **01<sup>st</sup> April, 2020 to 30<sup>th</sup> September, 2020** for the purpose of issuing a Certificate as per Regulation 40 (9) of the SEBI (Listing Obligation and Disclosure Requirements) Regulations, 2015, and based on the information provided by the Company / RTA, I hereby certify that the Company / RTA has delivered **during half year ended on 30<sup>th</sup> September, 2020:**

A) (i) There were no instances for transfer of shares during the period from **01<sup>st</sup> April, 2020 to 30<sup>th</sup> September, 2020** and hence there is no need to enter the same in the Memorandum of Transfers and share certificate(s) relating to requests for transmission of shares received during the aforesaid period have been issued within the prescribed time after receipt of the specified documents

(ii) No request for issue of duplicate share certificates were received during the period from **01<sup>st</sup> April, 2020 to 30<sup>th</sup> September, 2020**. Further, during the period there was no split, consolidation, exchange or endorsement of calls / allotment monies

B) *Any other information, if applicable: Not Applicable*

The Equity shares of the Company are listed on BSE Limited.

**For P. P. SHAH & CO.**

Date: 26<sup>th</sup> October, 2020  
Place: Mumbai

**PRADIP C. SHAH**  
**Practicing Company Secretary**  
**Partner**  
**Membership No: 1483**  
**Certificate of Practice: 436**  
**UDIN: F001483B001061047**