



**Date: 19<sup>th</sup> April, 2023**

To, The Department of Corporate Services, Bombay Stock Exchange Limited., P J Towers, Dalal Street, Mumbai- 400001 Scrip Code: 511605	To, Listing Department, National Stock Exchange of India Ltd. Exchange Plaza 5 <sup>th</sup> Floor, Plot No. C/1, G- Block, Bandra Kurla Complex, Bandra (E), Mumbai – 400051 Security Symbol: ARIHANTCAP
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**Sub:** Compliance Certificate under Regulation 40(10) read with Regulation 40(9) of the Securities and Exchange Board of India (Listing Obligations & Disclosure Requirements) Regulations, 2015

**Dear Sir/Madam,**

In terms of Regulation 40(10) read with Regulation 40(9) of the Securities and Exchange Board of India (Listing Obligations and Disclosure Requirements) Regulations, 2015, enclosed herewith the certificate issued by Mr. Virendra G Bhatt, Practicing Company Secretaries, for the period from 01<sup>st</sup> April, 2022 to 31<sup>st</sup> March, 2023.

Please take the same on your record and acknowledge.

Thanking You,

Yours Faithfully,

**For Arihant Capital Markets Limited**

**Mahesh Pancholi**  
**(Company Secretary)**  
**M. No. F-7143**

**ARIHANT CAPITAL MARKETS LIMITED**  
**(CIN: L67120MP1992PLC007182)**

Regd. Off. : 6, Lad Colony YN Road, Indore - 452 001      Tel.: +91-731-4217100 Fax.: +91-731-3016199  
Corp. Off.: #1011 Solitaire Corporate Park, Bldg No. 10, 1st Floor, Andheri Ghatkopar Link Road, Chakala,  
Andheri (E) Mumbai- 400093  
Email: [contactus@arihantcapital.com](mailto:contactus@arihantcapital.com) Website: [www.arihantcapital.com](http://www.arihantcapital.com)

# Virendra Bhatt

Company Secretary

Office :

Office No.: 03, A Wing, 9th Floor,  
Pinnacle Corporate Park,  
BKC CST Link Rd., MMRDA Area,  
Bandra Kurla Complex,  
Bandra East, Mumbai - 400 051  
Tel.: 022 - 2652 9367 / 68  
Mobile No.: +91 98200 48670  
Email : bhattivirendra1945@yahoo.co.in

Name of the Company : Arihant Capital Markets Limited  
CIN : L67120MP1992PLC007182  
Registered Office : 6, Lad Colony, Y. N. Road, Indore - 452001, Madhya Pradesh, India.

**CERTIFICATE UNDER REGULATION 40(9) OF THE SEBI (LISTING OBLIGATIONS AND DISCLOSURE REQUIREMENTS) REGULATIONS, 2015 FOR THE FINANCIAL YEAR ENDED 31<sup>ST</sup> MARCH, 2023.**

The Securities and Exchange Board of India (SEBI) vide gazette notification dated 08<sup>th</sup> June, 2018 and vide its press release dated 03<sup>rd</sup> December, 2018 ("SEBI's operational guidelines"), amended Regulation 40 of the SEBI (Listing Obligations and Disclosure Requirements) Regulations, 2015 and had mandated transfer of securities only in dematerialized form w.e.f. 01<sup>st</sup> April, 2019.

Further, SEBI vide gazette notification dated 24<sup>th</sup> January, 2022 read with the SEBI circular no. SEBI/HO/MIRSD/MIRSD\_RTAMB/P/CIR/2022/8 dated 25<sup>th</sup> January, 2022 ("SEBI's operational guidelines") had mandated 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, Subdivision/Splitting of securities certificate, Consolidation of securities certificates / folios, Transmission and Transposition.

Accordingly, I have examined all the relevant documents relating to **Arihant Capital Markets Limited** maintained by **Ankit Consultancy Private Limited** for the purpose of issuing the Certificate as per Regulation 40(9) of the SEBI (Listing Obligations and Disclosure Requirements) Regulations, 2015 for the period from **01<sup>st</sup> April, 2022 to 31<sup>st</sup> March, 2023** and based on the information provided, I hereby certify that:

- A. The Company has delivered / sent during year ended on 31<sup>st</sup> March, 2023, letters of confirmation as per SEBI's operational guidelines, for execution of issue of duplicate securities certificate, received during the financial year ended



31<sup>st</sup> March, 2023, within the prescribed time from the respective date of lodgement.

- B. As informed to me, the RTA has not processed any physical transfer, transmission, name deletion, transposition of securities, renewal, consolidation, exchange and sub-division (split) etc. as per SEBI's operational guidelines.

**Date: 19<sup>th</sup> April, 2023**

**Place: Mumbai**

**UDIN: A001157E000139671**



**Virendra G. Bhatt**

**Practicing Company Secretary**

**ACS No.: 1157 / COP No.: 124**

**Peer Review Cert. No.: 1439/2021**