



# NCL RESEARCH & FINANCIAL SERVICES LTD.

CIN no.: L65921MH1985PLC284739

Registered Office : 3rd Floor, Bhagyodaya Building, 79 Nagindas master Road, Fort, Mumbai - 400023 Maharashtra  
Tel/fax: 022-22703249 E-mail : ncl.research@gmail.com Website :- www.nclfin.com

April 12, 2022

**The Deputy Manager**  
Department of Corporate Services  
**BSE Limited**  
P. J. Towers, Dalal Street, Fort  
Mumbai - 400 001

Ref: Scrip Code 530557

Sub: Submission of Certificate u/c 40(9) & (10) of SEBI LODR Regulations, 2015

Respected Sir/Madam,

With reference to the above, we are enclosing along with this letter, certificate for year ended on 31<sup>st</sup> March 2022; issued & certified by Ms. Kriti Daga, Practicing Company Secretary; u/r 40(9) & (10) of SEBI LODR Regulations, 2015.

Kindly take the same on your record & oblige.

Thanking You,

Yours truly,  
For NCL RESEARCH & FINANCIAL SERVICES LIMITED

**GOUTAM BOSE**  
DIN: 02504803  
MANAGING DIRECTOR

Enclosed: a/a



# Kriti Daga

Company Secretaries

4, Ho Chi Minh Sarani, KBR Complex, Flat No. 3C, Kolkata – 700 071

Mobile: +91 98361 62295, Email: kritisdaga@gmail.com

## CERTIFICATE UNDER REGULATION 40(9) OF SEBI LODR REGULATIONS 2015 FOR THE YEAR ENDED ON March 31, 2022

We have examined all Share Transfer Forms, Memorandum of Transfers, Registers, files and other documents relating to **NCL Research & Financial Services Limited** maintained by -

- **ABS Consultants Private Limited** pertaining to transfer of Equity Shares of the company for the period from **April 1, 2021 to February 16, 2022**
- **Purva Sharegistry (India) Private Limited** pertaining to transfer of Equity Shares of the company for the period from **February 17, 2022 to March 31, 2022**

for the purpose of issuing a Certificate as per Regulation 40(9) of SEBI LODR Regulations 2015 entered into by, **NCL Research & Financial Services Limited** with the stock exchanges and based on the information provided by the Company and its' RTA, we hereby certify as under, for the year ended on **March 31, 2022** -

- a. During the period from **April 1, 2021 to March 31, 2022** as entered and verified in the Memorandum of Transfers, the Company has not received any request for transfer, sub-division, consolidation, renewal, exchange or endorsement of calls/allotment monies except those requests which have been rejected on technical grounds.
- b. No Request for exchange of Duplicate, Transmission and Split Share Certificates have been received during the year ended on **March 31, 2022**.

**Note:** Due to COVID-19 verification of all relevant documents is not been done and facts and figures mentioned in the report are based on the information received by R & T Agent.

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**KRITI DAGA**

Practicing Company Secretary

ACS No.: A26425, C. P. No. 14023

Place: Kolkata

Date: April 11, 2022

UDIN: A026425D000068830