



Date :15/10/2020

To,

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

BSE Limited
Listing Dept.
P.J.Tower, Dalal Street
Fort, Mumbai-400001

Dear Sir,

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

Pursuant to the Regulation 40 of the Securities and Exchange Board of India (Listing Obligations and Disclosure Requirements) Regulations, 2015, we are sending herewith a copy of the Certificate issued by Mr. Mohammad Pillikandlu, Practicing Company Secretary dated 14th October 2020 for the half year ended on 30th September 2020.

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

Thanking you,

Yours Faithfully,
For Emkay Global Financial Services Limited

B. M. Raul
Company Secretary & Compliance Officer



Encl : As above



Administrative Office: Paragon Centre, C-06, Ground Floor, Pandurang Budhkar Marg, Opp. Birla Centurion, Wori, Mumbai - 400 013. Tel: +91 22 6629 9299 Fax: +91 22 6629 9105
Registered Office: The Ruby, 7th Floor, Sanjay 6 Bapat Marg, Dadar (West), Mumbai - 400 028. Tel: +91 22 6612 1212 Fax: +91 22 6612 1299 www.emkayglobal.com CIN - L67120MH1905PLC084809

EMKAY GLOBAL FINANCIAL SERVICES LIMITED

CERTIFICATE UNDER REGULATION 40(9) OF SECURITIES AND EXCHANGE BOARD OF INDIA (LISTING OBLIGATIONS AND DISCLOSURE REQUIREMENTS) REGULATIONS, 2015 FOR THE HALF YEAR ENDED 30TH SEPTEMBER, 2020

The Securities and Exchange Board of India vide gazette notification dated 08th June, 2018 and its press release on 03rd 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 in dematerialized form only w.e.f. 01st April, 2019. Further, 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.

As informed to us electronically by Link Intime India Private Limited, Registrar and Share Transfer Agents (RTA), of **Emkay Global Financial Services Limited** (the Company), 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) There were no requests relating to transfers, deletion of name, transmission of securities, transposition of securities, sub-division (split), consolidation, renewal, exchange or endorsement of calls/allotment monies received during the period from 01st April, 2020 to 30th September, 2020.

B) Any other information, if applicable: --

For PARIKH PAREKH & ASSOCIATES

**Mohammad
Pillikandlu**

Digitally signed by Mohammad Pillikandlu
DN: c=IN, o=Personal, postalCode=400058,
st=Maharashtra,
2.5.4.20=8214168fb82ba39874cb0ab533326
d2fd33f894c2ce72823a068907c552b3d7,
serialNumber=572ebce0431e121c4dcbac81b
193b6412e2b2e04485121c598eda4564a57c0
b8, cn=Mohammad Pillikandlu
Date: 2020.10.14 16:22:08 +05'30'

Signature:

Name of Company Secretary: **Mohammad Pillikandlu**

FCS:10619 CP: 14603

UDIN: F010619B000948897

Place: Mumbai

Date: October 14, 2020