



**VIKALP  
SECURITIES LIMITED**

To,  
The Asst. General Manager,  
Department of Corporate Services,  
The Bombay Stock Exchange, Mumbai  
PhirozaJeejeebhoy Towers  
Dalal Street,  
Mumbai - 400001

Date: 23.10.2020

Sub:-Compliance certificate under Regulation 40(9) of SEBI (Listing Obligations and Disclosure Requirements) Regulations, 2015 for the half year ended on 30<sup>th</sup> September, 2020

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 30<sup>th</sup> September, 2020.

Kindly take above document into your record.

**Enclosure:** Compliance certificate of the Company for the half year ended on 30<sup>th</sup> September, 2020 as per Regulation 40(9) of the SEBI (Listing Obligations and Disclosure Requirements) Regulations, 2015

Thanks & Regards

For Vikalp Securities Limited



Arun Kejriwal  
Designation: Managing Director  
DIN : 00687890  
Address : 4/276/2A, Rani Ghat,  
Old Kanpur, Kanpur - 208002, Uttar Pradesh

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

**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 SEPTEMBER 30, 2020.**

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 April 01, 2020 to September 30, 2020 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 transfer, transmission, transposition 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: F002253B001036495**

Date: October 22, 2020

Place: Kanpur

**For ADESH TANDON AND ASSOCIATES**

**Company Secretaries**

For ADESH TANDON & ASSOCIATES  
COMPANY SECRETARIES

*Adesh Tandon*

PROPRIETOR  
C.P. No. 1121

**(Adesh Tandon)**

Proprietor

FCS No.2253

C. P. No.1121