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SMC GLOBAL SECURITIES LIMITED

Member: NSE • BSE • MSE • NCDEX • ICEX • MCX

Clearing & Trading Member : Cash, F&O, Currency, Debt & Commodity

SEBI Regn. No. : INZ 000199438 • Research Analyst No. : INH100001849 • Investment Adviser No. : INA100012491

Regd. Office : 11/6B, Shanti Chamber, Pusa Road, New Delhi-110005

Ph : +91-11-30111000, 40753333 Fax : +91-11-25754365 • CIN No. : L74899DL1994PLC063609

E-mail : smc@smcindiaonline.com Website : www.smcindiaonline.com

Date: 15th April, 2021

To,

The Manager,
Compliance Department,
The Calcutta Stock Exchange Limited
7, Lyons Range, Kolkata 700001

Sub: Submission of Compliance Certificate pursuant to Regulation 40(9) of SEBI (Listing Obligations and Disclosure Requirements) Regulations, 2015 for the half year ended 31st March, 2021.

Dear Sir(s),

This is with reference to the captioned subject matter. In this regard, we are enclosing herewith the Certificate obtained from Practicing Company Secretary pursuant to Regulation 40(9) of the SEBI (Listing Obligations and Disclosure Requirements) Regulations, 2015, for the half year ended on 31st March, 2021.

This is for your information and record.

Thanking you,

For SMC Global Securities Limited.



Suman Kumar
(E.V.P. (Corporate Affairs), Company Secretary & Compliance Officer)
Membership No. F5824

Enclosed: Annexure I- Certificate from Practicing Company Secretary
Annexure II- Certificate from RTA

MUMBAI OFFICE : A Wing, 401/402, Lotus Corporate Park, Graham Firth Steel Compound, Off Western Express Highway, Jay Coach Signal, Goregaon East
Mumbai-400063 Ph : +91-22-67341600, 66481818 Fax : +91-22-67341697 E-mail : smcmumbai@smcindiaonline.com

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SNK & Associates
COMPANY SECRETARIES

G- 1 Ground Floor, South Extension-II New Delhi-110049
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E-mail : cssandeepkumarroy@gmail.com
csskroy.snk@gmail.com

Annexure I


Certificate under Regulation 40 (9) of the SEBI (Listing Obligation & Disclosure Requirements) Regulations, 2015 for the Half Year ended on 31st March, 2021

We have examined all the Share Transfer deeds, Memorandum of Transfers, Registers, Files and other Documents relating to **M/s SMC Global Securities Limited, CIN: L74899DL1994PLC063609** having its registered office at 11/6B, Shanti Chambers, Pusa Road, New Delhi-110005 maintained by M/s Link Intime India Private Limited its Registrar and share transfer agents (RTAs) pertaining to transfer of equity shares of the Company for the period from 1st October, 2020 to 31st March, 2021 for the purpose of issuing a Certificate as per Regulation 40 (9) of the SEBI (Listing Obligation and Disclosure Requirements) Regulation, 2015 and based on the information provided by the Company, I hereby certify that the Company has given effect to all the transfer pertaining to the half yearly period and nothing is pending in physical transfer after the meeting held on 10.02.2021.

Further no request of split/consolidation or issue of duplicate share certificate was received during abovementioned half-yearly period.

We also confirm that no transfer document and/or request for split/consolidation are pending for registration as on 31st March, 2021.

For SNK & Associates


Sandeep Kumar
(Company secretary)
COP No.: 11097

UDIN: A030423C000030929

Place: New Delhi
Date: 06.04.2021



LINK Intime

Link Intime India Pvt. Ltd.

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Plot No. NH 2 , LSC, C-1 Block ,
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New Delhi-110058

Phone : 011-49411000

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E-mail : delhi@linkintime.co.in

The Company Secretary
M/S. SMC GLOBAL SECURITIES LIMITED
17, Netaji Subhash Marg
Opp. Golcha Cinema, Darya Ganj
New Delhi - 110002

Date: 05/04/2021

Dear Sir,

With reference to your letter and pursuant to SEBI circular D & CC/FITTC/CIR-16/2002, dated 30/12/2002, we confirm as under as on 31/03/2021.

1. That in term of para (1) 185,50,391 number of shares stands in NSDL A/c., 940,84,419 number of shares stands in CDSL A/c. and balance 4,99,640 number of shares stands in physical mode.
2. (a) That no request received for transfer, transmission, name deletion, split, consolidation, renewal and endorsement of call monies during the period of 01/10/2020 to 31/03/2021.
(b) That all the request received for issue of duplicate during the period 01/10/2020 to 31/03/2021 have been considered, given effect in the register of member.
(c) That all the request received for dematerialization during the period of 01/01/2021 to 31/03/2021 have been considered, given effect in the register of member.
3. That in item of para (2) of the said circular the register of member giving effect to the above has been updates as on 31/03/2021.
4. That in item of para (3) of the said circular, the dematerialisation request have been confirmed and there is no shares pending confirmation for more than 15 days from the date of receipt.

Thanking you,

Yours truly,

For LINK INTIME INDIA PRIVATE LTD.

(AUTHORISED SIGNATORY)

