

Ref: MSSSL/004/2020-2021

May 7, 2020

The Deputy General Manager – Listing,
The Stock Exchange, Mumbai,
Phiroze Jeejeebhoy Towers, Dalal Street,
Mumbai-400 001.

Dear Sir,

Re: **Certificate under Clause 40(9) of SEBI (Listing Obligations & Disclosure Requirements) Regulations 2015**

As required under Clause 40(9) of SEBI (Listing Obligations & Disclosure Requirements) Regulations 2015, we hereby enclose the Certificate obtained by us from a Practicing Company Secretary for the half year ended March 31, 2020.

Kindly acknowledge receipt.

Thanking you,

Yours faithfully,
For MODERN SHARES AND STOCKBROKERS LIMITED

Sd/-

Vibha Axit Gandhi
Compliance Officer

Ref No. AJ/MSSL/Reg. 40(9)/20-21/001

To,
The Board of Directors,
Modern Shares & Stockbrokers Limited,
(CIN: L45200MH1939PLC002958)
Wankhede Stadium, North Stand,
Staircase No. 13, D' Road,
Churchgate, Mumbai 400020.

Dear Sirs,

Sub: Certificate Under Regulation 40(9) Of SEBI (Listing Obligations & Disclosure Requirements) Regulation, 2015 For The Half Year Ended 31st March 2020

I have examined all the Share Transfer Deeds, Memorandum of Transfers, Registers, files and other documents relating to **Modern Shares & Stockbrokers Limited**, a Company registered under Companies Act, 1913 having its registered office at Wankhede Stadium, North Stand, Staircase No. 13, D' Road, Churchgate, Mumbai 400020 maintained by its Registrar and Share Transfer Agent **Link Intime India Private Limited**, a Company registered under Companies Act, 1956 having its registered office at C-101, 247, Park, L.B.S Marg, Vikhroli (West) Mumbai 400083 pertaining to transfer of equity shares of the company for the period from **01st October 2019 to 31st March, 2020** for the purpose of issuing a Certificate as per Regulation 40(9) Of SEBI (Listing Obligations & Disclosure Requirements) Regulation, 2015 entered into by Modern Shares & Stockbrokers Limited with BSE Limited and based on the information provided by the Company and share transfer Agent by **email** *, I hereby certify that the Company has delivered during half year ended on 31st March 2020.

A) Share Certificate(s) relating to the transfers, sub-division/consolidation/duplicate/deletion of name/objection of Equity Shares received during the **period from 01st October 2019 to 31st March, 2020** as entered in the Memorandum of Transfers have been issued within Twenty-one days of the date of lodgment for transfer from respective date of lodgment of each deed, excepting those rejected on technical grounds and there were no request for renewal, exchange or endorsement of calls/allotment monies during this period.

Conted.....2

Anil G Jani
B.COM, LLB, FCS

Anil Jani & Company
COMPANY SECRETARIES

(2)

**Due to ongoing COVID-19 Pandemic and Lockdown announced by the Government of India and the Government of Maharashtra which has a restriction of movement of people, I have not visited the Company and/or RTA Office personally and have relied on the emails received from the Company and its RTA for issuing this certificate*

**FOR ANIL JANI & COMPANY
COMPANY SECRETARIES**

**Place: MUMBAI
Date: May 7, 2020**

**PROPRIETOR
(C.P.NO.: 9154)
UDIN No. F002506B000212595**

SHARE INWARD REGISTER

From: 01/10/2019 To: 31/03/2020

Printed On: 06/05/2020

Page: 3

Sr No	Rcpt Date	SellerFolio	BuyerFolio	Buyer Name	Certificate From	Certificate To	No. Of Shares	Tran No.	/ Obj Date	Type	STS TUD	Despatch Date/No.	Days
15	TM406 21/11/2019	S000144	IEPF2017	IEPF2017	992041 3	992041 3	100	TM542	20/11/2019	TM	YYY		167
16	TM407 21/11/2019	S000182	IEPF2017	IEPF2017	992041 4	992041 4	100	TM543	20/11/2019	TM	YYY		167
17	DU519 21/11/2019	B000072	B000072	MR. V.BABU 381, VEENA SHAMANNA, 2ND LANE, NEW SAYYANI RAO ROAD, MYSORE - 570 004 0 0	940354 0 940354 1	940354 0 940354 1	100	TN649	20/11/2019	TN	YYY	21/11/2019 1	1
18	DU520 21/11/2019	D000062	D000062	MRS.MAKKAPATI KANAKA DURGA ASST MANAGER4TH FLOOR, INDIAN BANK 204KARAN FLATS KARAN CENTER S.D. ROAD SECUNDRABAD HYDERABAD 0 0	744 775 940379 0 940379 1	744 775 940379 0 940379 1	200	TN650	20/11/2019	TN	YYY	21/11/2019 1	1
19	DU521 21/11/2019	J000008	J000008	MR. BHAGOCHAND JAIN RIMJHIM, 147, SELECT COLONY, INDORE. 0 0	2042 3714 940411 3	2042 3714 940411 3	100	TN651	20/11/2019	TN	YYY	21/11/2019 1	1
20	DU522 21/11/2019	K000015	K000015	MR. ANAND PRAKASH KAPAHI MR. PROMOD KAPAHI. 30, SHIRIN BUILDING, NEAR COLABA POST OFFICE, COLABA, BOMBAY - 400 005. 0 0	2008 940439 9	2008 940439 9	100	TN652	20/11/2019	TN	YYY	21/11/2019 1	1

SHARE INWARD REGISTER

From: 01/10/2019 To: 31/03/2020

Printed On: 06/05/2020

Page: 4

Sr No	Rcpt Date	SellerFolio	BuyerFolio	Buyer Name	Certificate From	Certificate To	No. Of Shares	Tran No.	/ Obj Date	Type	STS TUD	Despatch Date/No.	Days
21	DU523 21/11/2019	M000080	M000080	MR RAJMANI MOURYA MR SURAJMANI MOURYA LAKSMI FLOOR MILL, KURLA CAMP, NEAR BLOCK NO.A332, ULHASNAGAR-4 DIST.THANE-421 004 0 0	1356 1357 941782 3 941782 4 0	1356 1357 941782 3 941782 4 0	200	TN653	20/11/2019	TN	YYY 1	21/11/2019	1
22	DU524 21/11/2019	MHC0248	MHC0248	RUPCHAND CHHAJED PRAKASH KANKALIA C/O PRAKASH KANKALIA 141 NANA PETH POONA PUNE 411002	991374 7 991374 8	991374 7 991374 8	100	TN654	20/11/2019	TN	YYY 1	21/11/2019	1
23	DU525 21/11/2019	N000002	N000002	MR. P. A. NARAYANAN A-2, TRIVENI, SECTOR 15, OPP. P.K.C HOSPITAL, VASHI, NAVI MUMBAI NAVI MUMBAI 400705	1778	1778	25	TN655	20/11/2019	TN	YYY 1	21/11/2019	1
24	DU526 21/11/2019	O000001	O000001	MRS. RAMA OBEROI C/O. PEST CONTROL, ATUR HOUSE, 87, DR.ANNIE BESANT ROAD, WORLI, BOMBAY - 400 018. 0 0	2461 2462 2463 2464 2465 2466 2467 941803 8 941803 9 941804 0 941804 1 941804 2 941804 3 941804 4	2461 2462 2463 2464 2465 2466 2467 941803 8 941803 9 941804 0 941804 1 941804 2 941804 3 941804 4	650	TN656	20/11/2019	TN	YYY 1	21/11/2019	1

SHARE INWARD REGISTER

From: 01/10/2019 To: 31/03/2020

Printed On: 06/05/2020

Page: 5

Sr No	Rcpt Date	SellerFolio	BuyerFolio	Buyer Name	Certificate From	To	No. Of Shares	Tran No.	/ Obj Date	Type	STS TUD	Despatch Date/No.	Days
25	DU527 21/11/2019	P000056	P000056	MASTER PRAKASH Mr. V. Srinivasan B.D.A.NO.50,SHIVAND HALLI EXTEN.,WEST OF CORD ROA 1ST STAGE 5TH PHASE RAJAJI NGR BANGALORE - 560 044. 0 0	2826 941815	2826 941815	100	TN657	20/11/2019	TN	YYY 1	21/11/2019	1
26	DU528 21/11/2019	P000093	P000093	MR. NATWARLAL H.PARDIWALA MRS. LILAVATI N.PARDIWALA DEVI SADAN, OPP. NEW VEG.MARKET, VALSAD - 396 001 0 0	3207 3329 941823	3207 3329 941823	200	TN658	20/11/2019	TN	YYY 1	21/11/2019	1
27	DU529 21/11/2019	R000004	R000004	MR. SHARAADCHANDRA SENU RANE MRS. SAROJINI SHARADCHANADRA RANE. MAHAJAN APARTMENT, FLAT NO. 2, VEER SAVARKAR MARG, OPP: ARAMBAG, THANE - 2. 0 0	1780 941832	1780 941832	100	TN659	20/11/2019	TN	YYY 1	21/11/2019	1
28	DU530 21/11/2019	S000012	S000012	MR. HASMUKH MANILAL SHAH MRS. REKHA HASMUKH SHAH. C/O SHAKTI SALES CORN RAMESH CHAMBERS 3RD FLR 70/14,GARIBDAS STREET, VADGADI BOMBAY - 400 003. 0 0	1862 941845	1862 941845	50	TN660	20/11/2019	TN	YYY 1	21/11/2019	1

SHARE INWARD REGISTER

From: 01/10/2019 To: 31/03/2020

Printed On: 06/05/2020

Page: 6

Sr No	Rcpt Date	SellerFolio	BuyerFolio	Buyer Name	Certificate From	Certificate To	No. Of Shares	Tran No.	/ Obj Date	Type	STS TUD	Despatch Date/No.	Days
29	DU531 21/11/2019	S000014	S000014	MRS. REKHA HASMUKH SHAH MR. HASMUKH MANILAL SHAH. C/O SHAKTI SALES CORPN RAMESH CHAMBERS 3RD FLR 10/14,GARIBDAS STREET, VADGADI BOMBAY - 400 003. 0 0	1864 941845	1864 941845	50	TN661	20/11/2019	TN	YYY 1	21/11/2019	1
30	DU532 21/11/2019	S000144	S000144	MRS. LATA SHRINIVASAN MR. BHARAT SWATANTRAN FLAT NO. 204, SHEWALE TOWERS, NEW BLDG.1, OLD BAZAAR, KIRKEE, PUNE - 411 003 0 0	2415 941885	2415 941885	100	TN662	20/11/2019	TN	YYY 1	21/11/2019	1
31	DU533 21/11/2019	S000182	S000182	MR.MAHENDRA SHARMA C/O REKHA DEVI SHARMA, 6, BHARAT MARG, INDORE-452 002 (M.P) 0 0	1436 941893	1436 941893	100	TN663	20/11/2019	TN	YYY 1	21/11/2019	1

Modern Shares And Stock Brokers Limited



SHARE INWARD REGISTER

From: 01/10/2019 To: 31/03/2020

Printed On: 06/05/2020

Page: 7

Sr No	Rcpt Date	SellerFolio	BuyerFolio	Buyer Name	Certificate From To	No. Of Shares	Tran No.	/ Obj Date	Type	STS TUD	Despatch Date/No.	Days
-------	-----------	-------------	------------	------------	---------------------	---------------	----------	------------	------	---------	-------------------	------

Modern Shares And Stock Brokers Limited

SHARE INWARD REGISTER

From: 01/10/2019 To: 31/03/2020

Printed On: 06/05/2020

Page: 7

***** BATCH CONTROLS*****

Total No.Of Shares: 4450
 Total No.Of Certificates: 65
 Total No.Of TD's: 31

*****TRANSACTIONS NO.OF SHARES CERTIFICATES*****

Total No.Of Transfers: 0
 Total No.Of Transmission: 15 2175 15
 Total No.Of Transposition: 0
 Total No.Of Deletion: 0
 Total No.Of Sub Div/Console/Duplicate: 15 2175 48
 Total No.Of Demat: 0
 Total No.Of Remat: 0
 Total No.Of Objections: 1 100 2
 Total No.Of Seller Notice: 0

***** NUMBER NO.OF Shares*****

Upto 15 Days: 15 2175
 Between 16 to 21 days: 1 100
 Above 21 Days: 15 2175
 Pending: 0

***** ABBREVIATIONS*****

TRANSFER: "TF"
 TRANSMISSION: "TM"
 TRANSPOSITION: "TP"
 DELETION: "DL"
 SUB DIV/ CONSOLE/DUPLICATE: "TN"

All Clients

SHARE INWARD REGISTER

From: 01/10/2019 To: 31/03/2020

Printed On: 06/05/2020

Page: 8

***** BATCH CONTROLS*****

Total No.Of Shares: 4450
Total No.Of Certificates: 65
Total No.Of TD's: 31

*****TRANSACTIONS NO.OF SHARES CERTIFICATES*****

Total No.Of Transfers: 0
Total No.Of Transmission: 15 2175 15
Total No.Of Transposition: 0
Total No.Of Deletion: 0
Total No.Of Sub Div/Console/Duplicate: 15 2175 48
Total No.Of Demat: 0
Total No.Of Remat: 0
Total No.Of Objections: 1 100 2
Total No.Of Seller Notice: 0

***** NUMBER NO.OF Shares*****

Upto 15 Days: 15 2175
Between 16 to 21 days: 1 100
Above 21 Days: 15 2175
Pending: 0

***** ABBREVIATIONS*****

TRANSFER: "TF"
TRANSMISSION: "TM"
TRANSPOSITION: "TP"
DELETION: "DL"
SUB DIV/ CONSOLE/DUPLICATE: "TN"

Page Total: 0

Grand Total: 4450