# MOTILAL OSWAL

Motilal Oswal Financial Services Limited CIN: L67190MH2005PLC153397 Regd. Office: Motilal Oswal Tower, Rahimtullah Sayani Road, Opp. Parel ST Depot, Prabhadevi, Mumbai – 400025. Board: +91223980 4200/7193 4200 Fax: +91 22 3846 2365

October 23, 2018

BSE Limited P. J. Towers, Dalal Street, Fort, Mumbai - 400001 Security Code: 532892 National Stock Exchange of India Limited Exchange Plaza, Plot No. C/1, G Block, Bandra-Kurla Complex, Bandra (E), Mumbai - 400051 Symbol: MOTILALOFS

### Sub: Compliance Certificate - Regulation 40(9) and 40(10)

Dear Sir/Madam,

Pursuant to Regulation 40(9) and 40(10) of the SEBI (Listing Obligations and Disclosure Requirements) Regulations, 2015 ("Listing Regulations"), please find enclosed herewith the Compliance Certificate issued by M/s. U. Hegde & Associates, Practicing Company Secretary for the half year ended September 30, 2018.

Kindly take the same on record.

Thanking you,

Yours faithfully, For Motilal Oswal Financial Services Limited

Kailash Purohit Company Secretary and Compliance Officer

Encl: As above

Motilal Oswal Securities Limited ("MOSL") has been amalgamated with Motilal Oswal Financial Services Limited ("MOFSL") we't August 21, 2018 pursuant to the order dated July 30, 2018 issued by Hon'ble National Company Law Tribunal, Mumbal Bench 

MOFSL Registration No(s), AMFI: ARN 146822. IRDA Corporate Agent: CA0579 

MOSL, Member of NSE, BSE, MCX, NCDEX, Registration No(s), INZ000158836 (BSE/NSE/MCX/NCDEX); CDSL: IN-DP-16-2015, NSDL, IN-DP-NSDL-152-2000; Research Analyst: INH000000412; Investment Adviser: INA000007100, The said registration No(s), of MOSL would be used until receipt of new MOFSL registration No(s) 

Email: shareholders@motilaloswal.com

# U.HEGDE & ASSOCIATES COMPANY SECRETARIES

# CERTIFICATE UNDER REGULATION 40(9) OF SEBI (LISTING OBLIGATIONS & DISCLOSURE REQUIREMENTS) REGULATION,2015

## FOR THE HALF YEAR ENDED SEPTEPMBER 30, 2018

I, have examined all Share Transfer Deeds, Memorandum of Transfers, Registers, files and other documents relating to MOTILAL OSWAL FINANCIAL SERVICES LIMITED, having registered Office at Motilal Oswal Tower, Rahiumtullah Sayani Road, Opp Parel ST Depot, Mumbai 400025 and maintained by Registrar &Transfer Agents (RTA) LINK INTIME INDIA PRIVATE LIMITED, 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 April 1, 2018 to September 30, 2018 for the purpose of issuing a Certificate as per Regulation 40(9) of the SEBI (Listing Obligations & Disclosure Requirements) Regulations, 2015, based on the information provided by the Company/RTA, I hereby certify that:

- A) During the period from April 1, 2018 to September 30, 2018, no share transfers were lodged with Company/RTA, therefore the Company was not required to deliver the share certificates within thirty days from date of lodgment.
- B) During the period from April 1, 2018 to September 30, 2018, the Company /RTA did not receive any request relating to sub division, consolidation, renewal, exchange or endorsement of calls/ allotment monies, therefore the Company was not required to deliver the share certificates within thirty days from date of lodgment.

#### FOR U.HEGDE & ASSOCIATES, COMPANY SECRETARIES

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Date: 2<u>3</u> 10/2018 Place: Mumbai

UMASHANKAR K HEGDE (Proprietor)



B-401,JANKI NIWAS, SHREE RAMBLAKDAS NAGRI CHS, TAPOVAN, MALAD(E), MUMBAI 400097 Mobile No: 09226206821/08454826250, website: <u>www.csuhegde.in</u> email: uhegdeassociates@gmail.com /umashankar@csuhegde.in.