



NCL RESEARCH & FINANCIAL SERVICES LTD.

CIN no.: L65921MH1985PLC284739

Registered Office : 3rd Floor, Bhagyodaya Building, 79 Nagindas Master Road, Fort, Mumbai - 400023, Maharashtra
Tel/fax: 022-22703249 E-mail : ncl.research@gmail.com Website :- www.nclfin.com

29 October, 2018

The Deputy Manager
Department of Corporate Services
BSE Limited
P. J. Towers, Dalal Street, Fort
Mumbai – 400 001

Ref : Scrip Code 530557

Sub: Submission of Certificate u/c 40(9) & (10) of SEBI LODR Regulations, 2015

Respected Sir/Madam,

With reference to the above, we are enclosing along with this letter, certificate for half year ended on 30th September 2018; issued & certified by Ms. Kirti Daga, Practicing Company Secretary; u/r 40(9) & (10) of SEBI LODR Regulations, 2015.

Kindly take the same on your record & oblige.

Thanking You,

Yours truly,

For NCL RESEARCH & FINANCIAL SERVICES LIMITED

VIJAY JAIDEO PODDAR
DIN : 00339268
MANAGING DIRECTOR

Enclosed : a/a



KRITI DAGA B.A.L.L.B., ACS
COMPANY SECRETARY IN WHOLE-TIME PRACTICE

**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 2018

TO WHOMSOEVER IT MAY CONCERN

I have examined all share Transfer Forms/Deeds, Memorandum of Transfers, Registers, files and other documents relating to **NCL RESEARCH & FINANCIAL SERVICES LIMITED** having its registered office as 79, Bhagyodaya Building, Nagindas Master Road, Mumbai-400023, Maharashtra maintained by **ABS Consultants Private Limited** the Registrar & share Transfer Agent of the Company pertaining to transfer of equity shares of the Company for the period from 01st April 2018 to 30th September 2018 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 entered into by **NCL RESEARCH & FINANCIAL SERVICES LIMITED** and based on information provided by the company, we hereby certify that the company has delivered during the half year ended on 30th September, 2018:

- Share Certificate(s) relating to the Share Transfer Form(s) received during the period from 1st April 2018 to 30th September, 2018 as entered in the Memorandum of transfers have been issued within fifteen days from the respective date of lodgement of each forms/deeds excepting those rejected on technical grounds;
- Has not received any request for sub-division, Consolidation, renewal, exchange or endorsement of calls/allotments monies; and
- No request for exchange of Duplicate, Transmission and Split Share Certificates have been received during the half year ended on 30th September, 2018.

For **Kriti Daga**
Company Secretary

Kriti Daga
Proprietor
ACS No. A26425 C.P. No. 14023

Place: Kolkata
Date: 23.10.2018

KRITI DAGA
COMPANY SECRETARY IN WHOLE-TIME PRACTICE
Membership No. -26425
C P No -14023
KBR Complex, 4, Ho Chi Minh Sarani
Next to US Consulate
Flat No.3C, Kolkata-700 071
Ph: 9836162295

ADDRESS: 4, HO CHI MINH SARANI, KBR COMPLEX, FLAT NO. 3C, KOLKATA - 700 071,

☎ : (M) (0)9836162295, ✉ : kritisdaga@gmail.com