

# ROCKON ENTERPRISES LIMITED

(Formerly Rockon Fintech Limited)

CIN: L65923MH1976PLC019072

Regd Off:

E-109, Crystal Plaza,

New Link Road, Opp. Infinity Mall,

Andheri (W), Mumbai - 400053

Tel.: (022) - 61522222, 61522235

Fax: (022) - 61522234

Email: rockonfintech123@gmail.com

Web-site: www.rockonfintech.com

Date: 16/10/2017

To,  
The Bombay Stock Exchange Ltd  
Corporate Relationship Dept,  
1<sup>st</sup> Floor, New Trading Ring,  
Rotunda Building, P. J. Towers,  
Dalal Street, Fort, Mumbai - 400 001

**BSE Code:- 531447**

**Sub: Compliance Certificate under Regulation 40(9) of SEBI (Listing Obligation & Disclosure Requirement) Regulations, 2015**

Sir/Madam

We are enclosing herewith Compliance Certificate required to be submitted pursuant to Regulation 40(9) of SEBI (Listing Obligation & Disclosure Requirement) Regulations, 2015 for the half year ended 30.09.2017 for your information and record.

Kindly acknowledge the Receipt.

Thanking You  
Yours Faithfully

For Rockon Enterprises Limited



Girraj Kishor Agrawal  
[Director]



Encl: a/a.

**Pankaj Trivedi**

B.Com, CS, LLB

Mob: 9224174118

Email: [pankajtrivedicsllb@gmail.com](mailto:pankajtrivedicsllb@gmail.com)

**PANKAJ TRIVEDI & CO.**

Practicing Company Secretaries

B-206, Jaswanti Residency, Subhash

Lane, Near Bhurabhai Hall,

Kandivali (West), Mumbai - 400067

**CERTIFICATE UNDER REGULATION 40(9) OF SEBI (LISTING OBLIGATIONS  
AND DISCLOSURE REQUIREMENTS) REGULATIONS, 2015**

**FOR THE HALF YEAR ENDED 30<sup>TH</sup> SEPTEMBER, 2017**

I have examined all Share Transfer Deeds, Memorandum of Transfers, Registers, files and other documents relating to **M/s. Rockon Enterprises Limited** maintained by Registrar and transfer Agent **M/s. Purva Sharegistry (India) Pvt. Ltd.** at Unit no. 9, Shiv Shakti Ind. Estate, J.R. Boricha Marg, Opp. Kasturba Hospital Lane, Lower Parel (East), Mumbai - 400011, Maharashtra, pertaining to transfer of Equity Shares of the Company for the period from **01.04.2017 to 30.09.2017** for the purpose of issuing a Certificate as per Regulation 40(9) of the SEBI (Listing Obligations and Disclosure Requirements) Regulations, 2015 and based on the information provided by the Company, I hereby certify that the company has delivered, during the half year ended on September 30, 2017.

- A) Share Certificates relating to the Share Transfer Deeds received during the period from 01.04.2017 to 30.09.2017, as entered in the Memorandum of Transfers, within 15 days, if any from respective date of lodgment of each deed excepting those rejected on technical grounds.
- B) Share Certificates relating to the Transmission of Shares received during the period from 01.04.2017 to 30.09.2017, as entered in the Memorandum of Transfers, within 15 days, if any from respective date of lodgment of each deed excepting those rejected on technical grounds.
- C) Share Certificates, in respect of requests for Duplicate Share Certificates during the period from 01.04.2017 to 30.09.2017, within 15 days of lodgment, if any.
- D) Share Certificates, in respect of requests for sub-division / Consolidation of Share Certificates renewal, exchange or endorsement of calls/allotment monies from respective date of lodgment of each deed during the period from 01.04.2017 to 30.09.2017, within 15 days of lodgment, if any.

**For Pankaj Trivedi & Co.**  
**(Practicing Company Secretary)**

**Pankaj Trivedi**  
**(Proprietor)**  
**COP No: 15301**



**Place: Mumbai**  
**Date: 14<sup>th</sup> October, 2017**