



# UNIVERSAL PRIME ALUMINIUM LIMITED

(FORMERLY : UNIVERSAL CANS AND CONTAINERS LTD.)

Office : CENTURY BHAVAN, 771, Dr. ANNIE BESANT ROAD, WORLI, MUMBAI - 400 030.  
Phone : 022 - 24307437 / 24304198 ★ Fax : 022 - 2437 0434  
E mail : upalbby@gmail.com  
CIN NO. : L28129MH1971PLC015207

21<sup>st</sup> April 2021

To  
Corporate Relationship Department,  
BSE Limited  
Phiroze Jeejeebhoy Tower,  
Dalal Street, Mumbai - 400001

Security Code: 504673

Dear Sir/Madam,

Subject:Half Yearly Certificate under Regulation 40(9) of SEBI (Listing Obligations and Disclosures Requirements) Regulations 2015.

With reference to the captioned subject, please find enclosed herewith the Certificate pursuant to Regulation 40(9) of SEBI (Listing Obligations and Disclosures Requirements) Regulations, 2015 issued by CS Sweety Kapoor (FCS 6410, COP 5738) Practising Company Secretary for the half year and year ended March 31, 2021.

This is for your information and needful.

Thanking you,

Regards,

For Universal Prime Aluminium Limited

Nawal Kishor Bagri  
Director



Sweetie Kapoor

Practising Company Secretary

📍 : Business Communication Centre,  
21, Parsee Church Street, Room No. 4  
Near - 18, Ezra Street, Kolkata - 700001  
☎ : 033-40083749  
📞 : 9830471414  
✉ : [sweetiekapoor53@rediffmail.com](mailto:sweetiekapoor53@rediffmail.com)

CERTIFICATE UNDER REGULATION 40 (9) OF THE SEBI (LODR) REGULATIONS, 2015

FOR THE HALF YEAR ENDED 31<sup>ST</sup> MARCH, 2021

I have examined all Share Transfer forms, Memorandum of Transfers, Registers, files and other documents relating to M/s. Universal Prime Aluminum Limited ("the Company") maintained by M/s. Maheshwari Datamatics Pvt. Ltd. ("RTA") pertaining to transfer of Equity Shares and issue of Share Certificates of the Company for the period from 1<sup>st</sup> October, 2020 to 31<sup>st</sup> March, 2021 for the purpose of issuing this Certificate as per Regulation 40(9) of the SEBI (LODR) Regulations, 2015 and based on the information provided by the Company/ RTA, I hereby certify that the during the half year ended on 31<sup>st</sup> March, 2021:

A) This clause relating to issue and delivery of share certificates relating to the share transfer deeds received during the period from 1<sup>st</sup> October, 2020 to 31<sup>st</sup> March, 2021 as entered in the memorandum of transfers within fifteen days from respective date of lodgment of each deed excepting those rejected on technical grounds, is **NOT APPLICABLE** as SEBI has prohibited Physical transfer of shares in case of Listed Companies.

However, some shareholders holding shares in physical form have tendered their shares to the promoter of the company as SEBI clarified that shareholders holding securities in physical form are allowed to tender shares in open offers, buybacks through tender offer route, and exit offers in case of voluntary or compulsory delisting.

Further as informed to us Company and its RTA has received 6 requests for transfer/ transmission of shares in physical mode during the period from 1<sup>st</sup> October, 2020 to 31<sup>st</sup> March, 2021 under Exit offer of Voluntary Delisting. Thus, the Company has processed transfer of shares received from shareholders pursuant to exit offer given for delisting of shares from BSE Ltd.

and

B) The Company has issued all the certificates within 30 days for sub-division, consolidation, renewal, duplicate issue of share certificates, exchange or endorsement of calls/allotment monies, if any, during the period from 1<sup>st</sup> October, 2020 to 31<sup>st</sup> March, 2021, the same is **NOT APPLICABLE**, as there was NO request received for such instance during the half year ended 31<sup>st</sup> March, 2021.

Place: Kolkata  
Date: 13-04-2021



*Sweetie Kapoor*  
(Sweetie Kapoor)  
Practising Company Secretary  
FCS - 6410, COP - 5738  
UDIN: F006410C000080101