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# Upsurge Investment & Finance Ltd.

Date: 19.04.2024

To,  
**The General Manager**  
**Corporate Relationship Department**  
BSE Limited,  
Phiroze Jeejeebhoy Tower,  
Dalal Street, Fort, Mumbai – 400 001

**Ref : Upsurge Investment and Finance Limited (Script Code: 531390)**

**Sub : Regulation 40(10) of the SEBI (Listing Obligations and Disclosure Requirements) Regulation, 2015 for the year ended March 31, 2024.**

Dear Sir/Madam,

As required under Regulation 40(10) of SEBI (Listing Obligations and Disclosure Requirements) Regulations, 2015, please find enclosed herewith the certificate for the year ended March 31, 2024 issued by practicing Company Secretary under Regulation 40(9) of the SEBI (Listing Obligations and Disclosure Requirements) Regulations, 2015.

Kindly take the above on record.

Thanking you,

Yours faithfully,

**FOR UPSURGE INVESTMENT & FINANCE LIMITED**

Digitally signed by  
**DAYAKRISHNA**  
GOYAL  
**NA GOYAL** Date: 2024.04.19  
17:20:11 +05'30'

**Dayakrishna Goyal**  
**(Managing Director)**  
**DIN No. 00398539**

Encl : As above



**CERTIFICATE UNDER REGULATION 40(9) OF SEBI (LISTING OBLIGATIONS AND DISCLOSURE REQUIREMENTS) REGULATIONS, 2015 FOR THE YEAR ENDED 31<sup>ST</sup> MARCH, 2024.**

We have examined all Share Transfer Deeds, Memorandum of Transfers, Registers, files and other documents relating to M/s Upsurge Investment and Finance Limited maintained by M/s. Adroit Corporate Services Private Limited, pertaining to transfer of Equity Shares of the Company during the period 01<sup>st</sup> April, 2023 to 31<sup>st</sup> March, 2024 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 our examination as well as the information and explanation provided by the Company and Confirmation Letter received from RTA, we hereby certify that the Company has delivered during year ended on 31<sup>st</sup> March, 2024:

1. The Company has not received any request for physical transfer of shares and has received 2 (Two) requests for duplicate of shares certificate during the period from 01<sup>st</sup> April, 2023 to 31<sup>st</sup> March, 2024.
2. Further, the Company/RTA did not receive any request relating to sub-divisions, consolidation, renewal, exchange or endorsement of calls/allotment monies during the period from 01<sup>st</sup> April, 2023 to 31<sup>st</sup> March, 2024, therefore the company was not required to deliver the share certificate within thirty days from date of lodgment.

For Mukesh Purohit & Company,  
Practicing Company Secretaries



CS Mukesh Purohit  
M. No.: F13005  
C. P. No.: 25204



Place: Mumbai  
Date: 12<sup>th</sup> April, 2024  
UDIN: F013005F000107099