



Date :16-04-2021

To,

National Stock Exchange of India Limited
Listing Dept.
Exchange Plaza, Bandra Kurla Complex
Bandra(East), Mumbai-400051
Scrip Code:EMKAY

BSE Limited
Listing Dept.
P.J.Tower, Dalal Street
Fort, Mumbai-400001
Scrip Code: 532737

Dear Sir,

Sub: Submission of Certificate under Regulation 40 of the Securities and Exchange Board of India (Listing Obligations and Disclosure Requirements) Regulations, 2015.

Pursuant to the Regulation 40 of the Securities and Exchange Board of India (Listing Obligations and Disclosure Requirements) Regulations, 2015, we are sending herewith a copy of the Certificate issued by Mr. Mohammad Pillikandlu, Practicing Company Secretary dated 14th April 2021 for the half year ended on 31st March 2021.

Kindly acknowledge the receipt of the same and take the same on record.

Thanking you,

Yours Faithfully,
For Emkay Global Financial Services Limited

B. M. Raul
Company Secretary & Compliance Officer



Encl : As above



Administrative Office: Paragon Centre, C-06, Ground Floor, Pandurang Budhkar Marg, Opp. Birla Centurion, Wori, Mumbai - 400 013. Tel: +91 22 6629 9299 Fax: +91 22 6629 9105
Registered Office: The Ruby, 7th Floor, Sanjay 6 Bapat Marg, Dadar (West), Mumbai - 400 028. Tel: +91 22 6612 1212 Fax: +91 22 6612 1299 www.emkayglobal.com CIN - L67120MH1905PLC084809

EMKAY GLOBAL FINANCIAL SERVICES LIMITED

CERTIFICATE UNDER REGULATION 40(9) OF SECURITIES AND EXCHANGE BOARD OF INDIA (LISTING OBLIGATIONS AND DISCLOSURE REQUIREMENTS) REGULATIONS, 2015 FOR THE HALF YEAR ENDED 31ST MARCH, 2021

The Securities and Exchange Board of India (SEBI) vide gazette notification dated 8th June, 2018 and vide its press release dated 3rd December, 2018, amended Regulation 40 of the SEBI (Listing Obligations and Disclosure Requirements) Regulations, 2015 and has mandated that the transfer of securities would be carried out only in dematerialized form w.e.f. 01st April, 2019. SEBI vide its press release dated 27th March, 2019 clarified that the transfer deeds lodged prior to deadline and returned due to deficiency in the document may be re-lodged for transfer even after the deadline of 01st April, 2019. Further, SEBI vide its circular dated 07th September, 2020 has fixed 31st March, 2021 as the cut-off date for re-lodgement of such transfer deeds and the shares that are re-lodged for transfers shall be issued only in demat mode. SEBI has specified operational guidelines for transfer and dematerialization of re-lodged physical shares vide its circular dated 02nd December, 2020.

Accordingly, on the basis of examination of the relevant documents relating to **EMKAY GLOBAL FINANCIAL SERVICES LIMITED** ('the Company') maintained and provided electronically by Link Intime India Private Limited, Registrar and Share Transfer Agents (RTA), pertaining to the period from 01st October, 2020 to 31st March, 2021 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, We hereby certify that:

A) There were no requests relating to transfers, deletion of name, transmission of securities, transposition of securities, sub-division (split), consolidation, renewal, exchange or endorsement of calls/allotment monies received during the period from 01st October, 2020 to 31st March, 2021.

B) Any other information, if applicable: --

**For Parikh Parekh & Associates
Company Secretaries**

Mohammad
Pillikandlu

Digitally signed by Mohammad Pillikandlu
DN: c=IN, o=Personal, postalCode=400058,
st=Maharashtra,
2.5.4.20+02141608+902ba39874c3d0ab53326d
2f613894c2ce72823a6068907c552b3d7,
serialNumber=5728cc0431e121c4d4bae8181
93ac412a2b2a04485121c2588e4544a57c0b8,
cn=Mohammad Pillikandlu
Date: 2021.04.14 16:13:38 +05'30'

Place: Mumbai
Date: 14th April, 2021

**Mohammad Pillikandlu
FCS:10619 CP: 14603
UDIN: F010619C000088400**