

Almondz Global Securities Ltd.

Ref:agsl/corres/Bse/Nse/20-21/cl40(9)/0040

15 October, 2020

**The General Manager
(Listing & Corporate Relations)
Bombay Stock Exchange Ltd.
Phiroze Jeejeebhoy Towers,
Dalal Street,
Mumbai - 400 001**

**The Listing Department
National Stock Exchange of India Ltd.
Exchange Plaza, Plot No. C/1, G Block,
Bandra Kurla Complex,
Bandra (E), Mumbai - 400051**

**Re: Compliance Certificate-Regulation 40 (9) of Securities and Exchange Board of India
(Listing Obligations and Disclosure Requirements) Regulations, 2015 for the half year
ended 30 September 2020**

Sir/Ma'm

Pursuant to Regulation 40 (9) of the Securities and Exchange Board of India (Listing Obligations and Disclosure Requirements) Regulations, 2015, please find attached herewith the certificate issued by Mr. C.B. Mishra, Practicing Company Secretary for half year ended 30 September 2020.

You are requested to kindly take the same on your record

Thanking you,

Yours Faithfully,
For Almondz Global Securities Ltd.



**Ajay Pratap
Company Secretary &
Vice President Corporate Affairs**



Encl:a/a

SEBI Merchant Banking Registration No. INM000000834

F - 33/3 Okhla Industrial Area Phase - II, New Delhi - 110 020, India. Tel.: + 91 11 4350 0700 / 800 Fax : + 91 11 4350 0735

CIN : L74899DL1994PLC059839 • Email : delhi@almondz.com • Website : www.almondzglobal.com

Registered Office: 2nd Floor, 3 Scindia House, Janpath, New Delhi 110001 India.Tel.: +91 11 4151 4666-669, Fax: +91 11 4151 4665



C.B. Mishra & Associates
Company Secretaries
Unique Code Number : I2006DESS1100

**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, 2020**

We have examined all files and other documents relating to Share Transfer Deeds, Memorandum of Transfers, Registers and related papers maintained by Beetal Financial & Computer Services Private Limited, the Registrar and Share Transfer Agent (RTA), of Almondz Global Securities Limited CIN-L74899DL1994PLC059839 (the "Company") pertaining to transfer and sub-division, consolidation, renewal, exchange or endorsement of calls / allotment monies of equity shares of the Company for the period from 1st April, 2020 to 30th September, 2020 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, we hereby certify as under for the half year ended on 30th September, 2020:

- A) No request for transfer of shares, were received during the period from 1st April, 2020 to 30th September, 2020.
- B) All the request of Share holders in respect of sub-division, consolidation, renewal, exchange, transmission, Duplicate (If any) received during the above period were effected within stipulated time from the date of receipt during the period from 1st April, 2020 to 30th September, 2020.

Place: New Delhi

Date : 15/10/2020

UDIN : F004006B000954681

For C.B. Mishra & Associates
Company Secretaries



C.B. Mishra)
Prop.