



Thirdwave Financial Intermediaries Limited

Date: 23rd April, 2024

To,
The BSE Limited
Corporate Service Department,
Phiroze Jeejeebhoy Tower,
Dalal Street, Mumbai - 400 001.

Scrip Code: 531652

ISIN: INE528C01018

Sub: Certificate pursuant to Regulation 40(9) of SEBI (Listing Obligations and Disclosure Requirements) Regulations, 2015.

Dear Sir/Madam,

Pursuant to Regulation 40(9) of SEBI (Listing Obligations and Disclosure Requirements) Regulations, 2015, please find enclosed herewith Certificate dated 23rd April 2024, obtained from Mr. Hemang Satra, Proprietor, Hemang Satra & Associates, Company Secretaries for the financial year ended 31st March, 2024.

This is for your information and records.

Thanking you,

Yours Faithfully,

For, **Thirdwave Financial Intermediaries Limited.**

Rashmi Chandrakant Vartak
(DIN 10259700)
Whole-time Director

Enclosures: as above.

CERTIFICATE UNDER REGULATION 40(9) & 40(10) OF THE SECURITIES AND EXCHANGE BOARD OF INDIA (LISTING OBLIGATIONS AND DISCLOSURE REQUIREMENTS) REGULATIONS, 2015 FOR THE YEAR ENDED 31ST MARCH, 2024

I have examined Shares Transfer Deeds, Memorandum of Transfers, Registers, files and other documents relating to **Thirdwave Financial Intermediaries Limited** having its registered office at Office Plot No. 62, Tower - II, 12th Floor, Salt Lake, Millennium City Information Technology Park, Sector- V, Block DN, Bidhannagar, Kolkata, West Bengal, 700064 maintained by Niche Technologies Private Limited, its Registrar and Transfer Agent, pertaining to transfer of equity shares of the Company for the period from 1st April, 2023 to 31st March, 2024 for the purpose of issuing a Certificate as per Regulation 40(9) & 40(10) of the SEBI (Listing Obligations And Disclosure Requirements) Regulations, 2015 entered into by Thirdwave Financial Intermediaries Limited with Stock Exchanges and based on the information provided by the Company, I hereby certify that:

- A. The Company has not received any request for transmission, inclusion, deletion or transposition of names on the share certificates during the period from 1st April, 2023 to 31st March, 2024.
- B. The Company has not received any request for transfer including re-lodgement of any transfer deed, sub-division, split, split certificate, renewal or endorsement of calls/allotment monies during the period from 1st April, 2023 to 31st March, 2024 except for 80 duplicate request for 8,000 shares and 1 consolidation request for 8,000 shares which were effected during the said period.

**For Hemang Satra & Associates,
Company Secretaries**

Place: Mumbai
Date: 23rd April, 2024
UDIN: A054476F000221401
Peer Review No: 1867/2022

Hemang Satra
Proprietor
M. No.: A54476
C. P. No.: 24235