



April 18, 2024

Corporate Relations Department  
BSE Limited  
Phiroze Jeejeebhoy Towers  
Dalal Street  
Mumbai – 400 001  
Scrip Code: 501301

National Stock Exchange of India Ltd.  
Exchange Plaza  
Bandra-Kurla Complex  
Bandra (E)  
Mumbai 400 051  
Symbol: TATAINVEST

Dear Sir/Madam,

**Sub : Compliance Certificate under Regulation 40(9) & (10) of the SEBI (Listing Obligations and Disclosure Requirements) Regulations, 2015.**

We attach herewith the Compliance Certificate under Regulation 40(9) & (10) of the SEBI (Listing Obligations and Disclosure Requirements) Regulations, 2015 dated April 17, 2024 submitted by Parikh & Associates, Company Secretary in Practice, for the year ended March 31, 2024.

This is for your information and records.

Yours faithfully,

For **Tata Investment Corporation Limited**

**Jamshed Patel**  
**Company Secretary and Chief Compliance Officer**

Encl: a/a

**TATA INVESTMENT CORPORATION LIMITED**

Elphinstone Building 10 Veer Nariman Road Mumbai 400 001  
Tel 91 22 6665 8282 Fax 91 22 6665 7917 e-mail ticl@tata .com  
website www.tatainvestment.com CIN L67200MH1937PLC002622

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

The Securities and Exchange Board of India (SEBI) vide gazette notification dated 8<sup>th</sup> June, 2018 and vide its press release dated 3<sup>rd</sup> December, 2018, amended Regulation 40 of the SEBI (Listing Obligations and Disclosure Requirements) Regulations, 2015 and had mandated to transfer securities only in dematerialized form w.e.f. 01<sup>st</sup> April, 2019.

Further, SEBI vide gazette notification dated 24<sup>th</sup> January, 2022 read with SEBI circular no. SEBI/HO/MIRSD/MIRSD\_RTAMB/P/CIR/2022/8 dated 25<sup>th</sup> January, 2022 had mandated issuance of certificates or receipts or advices, as applicable in dematerialized form only, while processing the service requests relating to Issue of duplicate securities certificate, Claim from Unclaimed Suspense Account, Renewal / Exchange of securities certificate, Endorsement, Sub-division / Splitting of securities certificate, Consolidation of securities certificates/ folios, Transmission and Transposition.

Accordingly, on the basis of examination of the relevant documents relating to TATA INVESTMENT CORPORATION LIMITED ('the Company') maintained and provided electronically by LINK INTIME INDIA PRIVATE LIMITED (erstwhile known as TSR Consultants Private Limited which has been amalgamated with and into Link Intime India Private Limited with effect from December 22, 2023), Registrar and Share Transfer Agents (RTA), pertaining to the financial year ended 31<sup>st</sup> March, 2024 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) 1.a. As informed to us, there were no requests relating to transfers received during the financial year ended 31<sup>st</sup> March, 2024.

1. b. The Company has sent during year ended on 31<sup>st</sup> March, 2024, letters of confirmation as per SEBI's operational guidelines, for execution of transmission of securities and deletion of name received during the financial year ended 31<sup>st</sup> March, 2024, within the prescribed time from the respective date of lodgement. As informed to us there were no requests relating to transposition of securities, renewal, sub-division (split), consolidation, exchange or endorsement of calls/allotment monies received during the said period.

B) Any other information, if applicable: --

Place: Mumbai  
Date: April 17, 2024

Signature:

**For Parikh & Associates  
Company Secretaries**

Pravinchandra  
a Nahalchand  
Parikh

P. N. Parikh  
FCS No: 327 CP No: 1228

UDIN: F000327F000154241  
PR No.: 1129/2021

Digitally signed by Pravinchandra Nahalchand Parikh  
DN: c=IN, o=Personal, title=5274,  
pseudoym=F19C2D9F5F18D9115F8D3A86F  
04F78ED982,  
2.5.4.20=02a39473a64897cdd6c883a67006  
316d52828138a262cc848d398e1,  
postalCode=400104, st=Maharashtra,  
serialNumber=85A3D5E9F915D72278E198497C  
98E1A9A5543AAFA2294FE7C8B8DC5E6C2FC,  
cn=Pravinchandra Nahalchand Parikh  
Date: 2024.04.17 15:21:44 +05'30'