



Attention Members!

Sub. : Suggested format(s) under Regulation 7(3) and Regulation 40(9) of SEBI Listing Regulations, 2015

The Institute has developed the following formats under Regulation 40(9) and Regulation 7(3) of SEBI Listing Regulations 2015 in consultation with the Stock Exchanges :

1. Format for Certificate under Regulation 40(9)
2. Format for Certificate under Regulation 7(3)

We request you to submit the certificates with the Stock Exchanges in the following suggested formats:

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**CERTIFICATE UNDER REGULATION 40 (9) OF THE SEBI (LODR) REGULATIONS
FOR THE HALF YEAR ENDED (*half year ended March / September 20xx*)**

I have examined all Share Transfer forms, Memorandum of Transfers, Registers, files and other documents relating to **(name of the company)** maintained by **(name of the RTA)** pertaining to transfer of equity shares of the company for the period from **(beginning date of the half year)** to **(end date of the half year)** for the purpose of issuing a Certificate as per Regulation 40(9) of the SEBI (LODR) Regulations 2015, by, **(name of the company)** and based on the information provided by the Company, hereby certify that the Company has delivered during the half year ended on **(March / September 20xx)**.

- A) Share Certificate(s) relating to the Share Transfer form(s) received during the period from 1ST **(beginning date of the half year)** to **(end date of the half year)** as entered in the Memorandum of Transfers have been issued within one month from the respective date of lodgement of each form excepting those rejected on technical grounds.
- B) Share Certificates in respect of requests for exchange of duplicate and split certificates have been issued within one month of lodgment.

Date : (Name, Membership No and Signature of Practising Company Secretary)

Place:

ISIN :.....

Scrip Code:.....

Compliance Certificate

[Pursuant to Regulation 7(3) of SEBI (LODR) Regulations, 2015]

I (We) being the Company Secretary (ies) of the Company and the Authorised Representatives of the Share Transfer Agents do hereby certify that the M/s..... Ltd. having its Registered Office at..... has appointed M/s as its Share Transfer Agents (STA) having its Registered Office/Place of activities at for effecting transfer of shares, etc. and is a SEBI Registered Category I Share Transfer Agent bearing Registration No.

Further, M/sas a STA has properly conducted all the activities as prescribed under Regulation 7 (2) of the SEBI (LODR) Regulations, 2015 thereto in relation to both physical and electronic share transfer facility of M/s during the period from October 1, 2015 to March 31, 2016 on its behalf.

In our opinion and to the best of our knowledge and information and according to the documents furnished to us, we here by certify that, the company has complied with the aforesaid regulations and has maintained all the records of the activities in relation to both physical and electronic share transfer of M/s

For..... Ltd. ForSTA Ltd.

(.....)

Compliance Officer

M.No. ACS/FCS

Place:

Date:

(.....)

Compliance Officer/ Authorised Signatory

M.N. ACS/FCS (if any)

Place:

Date: