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SMC GLOBAL SECURITIES LIMITED

Member: NSE • BSE • MSE • NCDEX • ICEX • MCX

Clearing & Trading Member : Cash, F&O, Currency, Debt & Commodity

SEBI Regn. No. : INZ 000199438 • Research Analyst No. : INH100001849 • Investment Adviser No. : INA100012491

Regd. Office : 11/6B, Shanti Chamber, Pusa Road, New Delhi-110005

Ph : +91-11-30111000, 40753333 Fax : +91-11-25754365 • CIN No. : L74899DL1994PLC063609

E-mail : smc@smcindiaonline.com Website : www.smcindiaonline.com

Date: 9th October, 2020

To,

The Manager
Listing Department,
Calcutta Stock Exchange Limited
7, Lyons Range, Dalhousie
Kolkata – 700001, West Bengal

Sub: Submission of Compliance Certificate pursuant to Regulation 40(9) of SEBI (Listing Obligations and Disclosure Requirements) Regulations, 2015 for the half year ended 30th September, 2020.


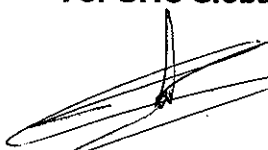
Dear Sir(s),

This is with reference to the captioned subject matter. In this regard, we are enclosing herewith the Certificate obtained from Practicing Company Secretary pursuant to Regulation 40(9) of the SEBI (Listing Obligations and Disclosure Requirements) Regulations, 2015, for the half year ended on 30th September, 2020.

This is for your information and record.

Thanking you,

For SMC Global Securities Limited.



Suman Kumar
(E.V.P. (Corporate Affairs), Company Secretary & Compliance Officer)
Membership No. F5824

Enclosed: Annexure I- Certificate from Practicing Company Secretary
Annexure II- Certificate from RTA

MUMBAI OFFICE : A Wing, 401/402, Lotus Corporate Park, Graham Firth Steel Compound, Off Western Express Highway, Jay Coach Signal, Goregaon East
Mumbai-400063 Ph : +91-22-67341600, 66481818 Fax : +91-22-67341697 E-mail : smcmumbai@smcindiaonline.com

KOLKATA OFFICE: 18, Rabindra Sarani, Poddar Court, Gate No. 4, 5th Floor, Kolkata - 700001 Ph : +91-33-66127000 Fax : +91-33-66127004
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SNK & Associates
COMPANY SECRETARIES

G- 1 Ground Floor, South Extension-II New Delhi-110049
Ph.: 011-41649625, 41649626
Mob.: 9911019008
E-mail : cssandeepkumarroy@gmail.com
csskroy.snk@gmail.com

Annexure I


Certificate under Regulation 40 (9) of the SEBI (Listing Obligation & Disclosure Requirements) Regulations, 2015 for the Half Year ended on 30th September, 2020

We have examined all the Share Transfer deeds, Memorandum of Transfers, Registers, Files and other Documents relating to M/s SMC Global Securities Limited, CIN: L74899DL1994PLC063609 having its registered office at 11/6B, Shanti Chambers Pusa Road, New Delhi-110005 maintained by M/s Link Intime India Private Limited its Registrar and share transfer agents (RTAs) pertaining to transfer 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 Obligation and Disclosure Requirements) Regulation, 2015 and based on the information provided by the Company, I hereby certify that the Company has given effect to all the transfer pertaining to the half yearly period and nothing is pending in physical transfer after the meeting held on 21.08.2020.

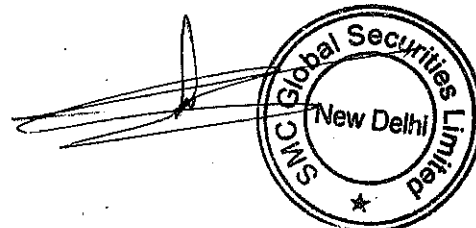
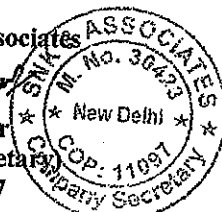
Further no request of split/consolidation or issue of duplicate share certificate was received during abovementioned half-yearly period.

We also confirm that no transfer document and/or request for split/consolidation are pending for registration as on 30th September, 2020.

For SNK & Associates


Sandeep Kumar
(Company secretary)
COP No.: 11097

UDIN: A030423B000873155



Place: New Delhi
Date: 07.10.2020

The Company Secretary
M/S. SMC GLOBAL SECURITIES LIMITED
17, Netaji Subhash Marg
Opp. Golcha Cinema, Darya Ganj
New Delhi - 110002

Date: 06/10/2020

Dear Sir,

With reference to your letter and pursuant to SEBI circular D & CC/FITTC/CIR-16/2002, dated 30/12/2002, we confirm as under as on 30/09/2020.

1. That in term of para (1) 168,07,917 number of shares stands in NSDL A/c. 837,93,323 number of shares stands in CDSL A/c. and balance 125,33,210 number of shares stands in physical mode.
2. (a) That no request received for transfer of shares during the period of 01/07/2020 to 30/09/2020.
(b) That no request received for issue of duplicate, transmission, consolidation, rematerialisation, split, replacement during period 01/07/2020 to 30/09/2020.
(c) That no request received for dematerialization during the period of 01/07/2020 to 30/09/2020 have been considered, given effect in the register of member.
3. That in item of para (2) of the said circular the register of member giving effect to the above has been updates as on 30/09/2020.
4. That in item of para (3) of the said circular on the dematerialization request have been confirmed and there is no shares pending confirmation for more than 15 days from the date of receiving.

Thanking you,

Yours truly,

For LINK INTIME INDIA PRIVATE LTD.


(AUTHORISED SIGNATORY)

