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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: 10th April, 2023

Listing Operations BSE Limited, P J Towers, Dalal Street, Mumbai-400001, India Scrip Code: 543263	Listing Department National Stock Exchange of India Limited, Exchange Plaza, C-1, Block G, Bandra Kurla Complex, Bandra (E) Mumbai – 400051 Symbol: SMCGLOBAL
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Subject: Certificate under Regulation 40(9) of the Securities and Exchange Board of India (Listing Obligations & Disclosure Requirements) Regulations, 2015 for the Financial Year ended on 31st March, 2023.

Dear Sir/ Ma'am,

Please find attached certificate received from M/s SNK & Associates, Practising Company Secretaries for the Financial Year ended on 31st March, 2023 in terms of Regulation 40(9) of Securities and Exchange Board of India (Listing Obligations & Disclosure Requirements) Regulations, 2015.

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: Certificate received from M/s SNK & Associates, Practising Company Secretaries.

MUMBAI OFFICE : A Wing, 401/402, Lotus Corporate Park, Graham Firth Steel Compound, Off Western Express Highway, Jay Coach Signal, Goregaon East
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SNK & Associates

COMPANY SECRETARIES

38B, 2nd Floor, Yusuf Sarai Village,
Green Park, New Delhi-110016

Email: csskroy.snk@gmail.com; M: 9911019008
cacsskroy.snk@gmail.com; Phone: 011-45040759


CERTIFICATE UNDER REGULATION 40(9) OF THE SEBI (LISTING OBLIGATIONS AND DISCLOSURE REQUIREMENTS) REGULATIONS, 2015

FOR THE FINANCIAL YEAR ENDED 31ST MARCH, 2023

We have examined all Share Transfer Deeds, Memorandum of Transfers, Registers, files and other documents relating to 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 ("Registrar and Share Transfer Agent"), pertaining to transfer of equity shares of the Company for the period from 01st April, 2022 to 31st March, 2023 for the purpose of issuing a Certificate as per Regulation 40(9) of SEBI (Listing Obligations and Disclosure Requirements) Regulations, 2015 and based on the information provided by the Company/Share Transfer Agent, we hereby certify that the Company has given effect to all transfers pertaining to the financial year and hereby confirm for year ended on 31st March, 2023:-

1. The Company has delivered during the FY 2022-23, Share Certificates relating to the Share Transfer Forms received during the period from 01.04.2022 to 31.03.2023 within 30 days from the respective date of lodgment of each deed excepting those rejected on technical grounds.
2. One request was received for issue of duplicate share certificate and the certificate has been issued within 30 days of lodgment of the request. Further, there were no cases of sub-division, consolidation, renewal or exchange during the period.

For SNK & Associates


Sandeep Kumar
Company Secretary
COP No. 11097



Peer Review No. 3039/2023
UDIN: F011256E000048590

Place: New Delhi
Date: 10.04.2023