

almondz

the financial powerhouse

Almondz Global Securities Ltd.

Ref:agsl/corres/Bse/Nse/19-20/R-40(9)/004

May 18, 2020

**The General Manager
(Listing & Corporate Relations)
Bombay Stock Exchange Ltd.
Phiroze Jeejeebhoy Towers,
Dalal Street,
Mumbai - 400 001**

**The Listing Department
National Stock Exchange of India Ltd.
Exchange Plaza, Plot No. C/1, G Block,
Bandra Kurla Complex,
Bandra (E), Mumbai - 400051**

**Re: Compliance Certificate-Regulation 40 (9) of Securities and Exchange Board of India
(Listing Obligations and Disclosure Requirements) Regulations, 2015 for the half year
ended 31 March 2020**

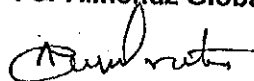
Sir/Ma'm

Pursuant to Regulation 40 (9) of the Securities and Exchange Board of India (Listing Obligations and Disclosure Requirements) Regulations, 2015, please find attached herewith the certificate issued by Mr. C.B. Mishra, Practicing Company Secretary for half year ended 31 March 2020.

You are requested to kindly take the same on your record

Thanking you.

Yours Faithfully,
For Almondz Global Securities Ltd.



**Ajay Pratap
Company Secretary &
Vice President Corporate Affairs**



Encl:a/a

SEBI Merchant Banking Registration No. INM000000834

F - 33/3 Okhla Industrial Area.Phase - II, New Delhi - 110 020, India. Tel.: + 91 11 4350 0700 / 800 Fax : + 91 11 4350 0735, 4350 0787

CIN : L74899DL1994PLC059839 • Email : delhi@almondz.com • Website : www.almondzglobal.com

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C.B. Mishra & Associates
Company Secretaries
Unique Code Number : I2006DE551100

Certificate under Regulation 40(9) SEBI (Listing Obligations and Disclosure Requirements) Regulations, 2015 For the Half year ended 31st March, 2020

We have examined all Share Transfer Deeds, Memorandum of Transfers, Registers, files and other documents relating to Almondz Global Securities Limited (the "Company") maintained by Beetal Financial & Computer Services Private Limited, the Registrar and Share Transfer Agent of the Company pertaining to transfer and sub-division, consolidation, renewal, exchange or endorsement of calls/allotment monies of equity shares of the Company for the period from 1st October, 2019 to 31st March, 2020 for the purpose of issuing a Certificate as per Regulation 40(9) of the SEBI (Listing Obligations and Disclosure Requirements) Regulations, 2015 and based on the information provided by the Company, we hereby certify as under for the half year ended on 31st March, 2020:

- A) No request for transfer / transmission of shares was received during the period from 1st October, 2019 to 31st March, 2020.
- B) No Share Certificate(s) was required to be issued as there was no request received relating to sub-division, consolidation, renewal, exchange or endorsement of calls / allotment monies received during the period from 1st October, 2019 to 31st March, 2020.

For C.B. Mishra & Associates
Company Secretaries

Place: New Delhi

Date : 18/05/2020

UDIN: F004006B000249449



[Signature]
(C.B. Mishra)
Prop.