



Upsurge Investment & Finance Ltd.

Date: 13.04.2023

To,
The General Manager
Corporate Relationship Department
BSE Limited,
Phiroze Jeejeebhoy Tower,
Dalal Street, Fort, Mumbai – 400 001

Ref : Upsurge Investment and Finance Limited (Script Code: 531390)

Sub : Regulation 40(10) of the SEBI (Listing Obligations and Disclosure Requirements) Regulations, 2015 for the year ended March 31, 2023.


Dear Sir/Madam,

As required under Regulation 40(10) of SEBI (Listing Obligations and Disclosure Requirements) Regulations, 2015, please find enclosed herewith the certificate for the year ended March 31, 2023 issued by practicing Company Secretary under Regulation 40(9) of the SEBI (Listing Obligations and Disclosure Requirements) Regulations, 2015.

Kindly take the above on record.

Thanking you,

Yours faithfully,
FOR UPSURGE INVESTMENT & FINANCE LIMITED

DIKSHA JOSHI  Digitally signed by
DIKSHA JOSHI
Date: 2023.04.13
13:46:57 +05'30'

Diksha Joshi
Company Secretary & Compliance Officer

Encl : As above



CERTIFICATE UNDER REGULATION 40 (9) OF THE SEBI (LISTING OBLIGATIONS AND DISCLOSURE REQUIREMENTS) REGULATION, 2015 FOR THE FINANCIAL YEAR ENDED MARCH 31, 2023

I, have examined all Share Transfer Deeds, Memorandum of Transfers, Registers, Files and other documents relating to ~~to~~ **UPSURGE INVESTMENT AND FINANCE LIMITED** ("the Company") having its registered office at Office No. 303, Morya Landmark I, Behind Crystal, Plaza, Off New Link Road, Andheri (West) Mumbai 400 053 and maintained by its Registrar and Share Transfer Agent ("RTA") i.e. **ADROIT CORPORATE SERVICES PVT. LTD.**, 18-20, Jaterbhoy Industrial Estate, Makwana Road Marol Naka, Andheri (E), Mumbai 400 059 pertaining to transfer of Equity shares of the Company for the period from April 01, 2022 to March 31, 2023 for the purpose of issuing a Certificate as per Regulation 40(9) of the SEBI (Listing Obligations and Disclosure Requirements) Regulations, 2015 based on the information provided by the Company/ RTA, I hereby certify that:

- A. The Company has delivered during year ended March 31, 2023 share certificate relating to the transfer of shares received during the period from April 01, 2022 to March 31, 2023, within thirty days, as entered in the Memorandum of Transfer from the respective date of lodgement of each deed expecting those rejected on technical grounds.
- B. During the period from April 01, 2022 to March 31, 2023, the Company/ RTA did not receive any request relating to sub-divisions, consolidation, renewal, exchange or endorsement of calls/ allotment monies, therefore the Company was not required to deliver the share certificate within thirty days from date of lodgement.

For Mukesh Purohit & Company
Company Secretaries

MUKESH
CHANDRASH
EKHAR
PUROHIT

Digitally signed by
MUKESH
CHANDRASHEKHAR
PUROHIT
Date: 2023.04.11
12:32:43 +05'30'



Mukesh Purohit
C.P. No.: 25204
M. No: 48563
Place: Mumbai
Date: April 11, 2023
UDIN: A048563E000059035
Peer Review: 1946/2022