

COMPLIANCE CHECKLIST OF SEBI (LISTING OBLIGATIONS AND DISCLOSURE REQUIREMENTS REGULATIONS, 2015)

Sr. No	Provisions/requirements	Regulations Applicable	Time frame for Compliance	Remarks
1	Compliance Certificate certifying maintenance of physical & electronic transfer facility	Reg- 7(3)	Within 1 month from end of each half of the F. Y.	In case of In-House Facility Normal Intimation is sufficient signed by Company Secretary
2	Statement of Investors Compliant	Reg- 13(3)	Within 21 days from end of each quarter	-
3	Corporate Governance Report	Reg- 27(2)	Within 15 days from end of each quarter	Mandatorily to be filed in XBRL Format
4	Shareholding Pattern	Reg- 31	Within 21 days from end of each quarter (for existing listed entities) for full details Refer Reg-31	Mandatorily to be filed in XBRL Format
5	Financial Results	Reg- 33	Within 45 days from end of each quarter	It is 60 days for the last quarter
6	Filing of Annual Report	Reg- 34	Within 21 working days from the date of AGM	-
7	Business Responsibility Statement	Reg- 34	Required to be attached with Annual Report	It is applicable for top 500 listed entities based on market cap.
8	Annual Information Memorandum	Reg- 35	In a manner specified by SEBI	Format to be issued by SEBI
9	Compliance Certificate from PCS relating to transfer, transmission and transposition of securities	Reg- 40(9) (10)	Within 1 month from end of the each half year	Refer Regulation 40
10	Voting Results	Reg- 44(3)	Within 48 hours of conclusion of GM	Format is specified by the SEBI
OTHER COMPLIANCE REQUIREMENT				
1	Change or Appointment of New Share Transfer Agent	Reg- 7	Within 7 days of entering into agreement with RTA	Intimation to the Old RTA is required before Agreement
2	Listing Fees	Reg- 14	All fee to be paid in a manner specified by the SEBI or Stock Exchange	Generally listing fees is paid within one month from end of each F.Y
3	Prior Intimation of Board Meeting for some specified Items	Reg-29	At least 5 working days in advance in case of Financial Results	2 days for other items specified in Reg-29(1) & 11 working days for the items specified in Reg-29(3)
4	Disclosure of Material Events & Information	Reg- 30	Not later than 48 hours from the event occurred	Refer Reg. 30 read with Schedule-III
5	Outcome of Board Meeting	Reg- 30	Within 30minutes of closure of the meeting	Prescribed in Schedule III Part A Point No. 4 of LODR
6	Website Updation	Reg-46	Update any changes within 2 working from the date of changes	Contents of website is prescribed in Reg-46(2)

NEW POLICIES TO BE ADOPTED BY THE LISTED ENTITIES

1. Policy on Preservation of Documents – Chapter III – Reg- 9
2. Policy for determining materiality of events & information – Chapter IV – Reg. 30(4)
3. Archival Policy – Chapter IV – Reg. 30(8)

Disclaimer: The entire contents of this document have been prepared on the basis of relevant provisions and as per the information existing at the time of the preparation. Though utmost efforts has made to provide authentic information, it is suggested that to have better understanding kindly cross check the relevant regulations, schedules under the SEBI (Listing Obligations and Disclosure Requirements) Regulations 2015. The observations of the author are personal view and the authors do not take responsibility of the same and this cannot be quoted before any authority without the written.

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ACS- 48433