

## **GUIDANCE CHECK LIST – LISTING COMPLIANCES**

### **Quarter I : January to March**

#### **January**

##### **Stock Exchange Compliances**

| <b>Sr. No.</b> | <b>Compliances</b>                                                                              | <b>Time Period</b>                                          |
|----------------|-------------------------------------------------------------------------------------------------|-------------------------------------------------------------|
| 1.             | Notice of Board Meeting to consider the Qtr. Results                                            | At least 7 days before the Meeting                          |
| 2.             | Press release for Board Meeting (Eng.+Hindi)                                                    | Immediately                                                 |
| 3.             | Board Meeting to consider the Qtr. Results                                                      | Within 30 days of end of Quarter                            |
| 4.             | Fax of Qtr. Result to SE                                                                        | Within 15 minutes of Board Meeting                          |
| 5.             | Submission of Qtr. Result with photocopies of news paper cutting                                | With 2-3 days of Board Meeting                              |
| 6.             | Publication of Qtr. Result (Eng.+Hindi)                                                         | Within 48 hours of Board Meeting                            |
| 7.             | Shareholding Pattern along with Free Float Indices to the Stock Exchange                        | Within 15 days of end of Quarter                            |
| 8.             | Secretarial Audit Certificate from CA/PCS for reconciliation of physical share and demat shares | Within 30 days of end of Quarter                            |
| 9.             | Quarterly Compliance Report on Corporate Governance                                             | Within 15 days of end of Quarter                            |
| 10.            | Uploading of Shareholding Pattern and Quarterly Results to SEBI EDIFAR website                  | Immediately whenever ready for submission to Stock Exchange |

##### **ROC Compliances**

| <b>Sr. No.</b> | <b>Compliances</b>                            | <b>Time Period</b> |
|----------------|-----------------------------------------------|--------------------|
| 1.             | Filing 3 set of Annual Report (B/s & P&L A/c) | Within 30 days AGM |
| 2.             | Filing of Annual Return                       | Within 60 days AGM |

#### **February**

##### **Stock Exchange Compliances**

| <b>Sr. No.</b> | <b>Compliances</b>                                | <b>Time Period</b>                |
|----------------|---------------------------------------------------|-----------------------------------|
| 1.             | Limited Review Report from the Statutory Auditors | Within 2 months of end of Quarter |

## **Quarter II : April to June**

### **April**

#### **Stock Exchange Compliances**

| <b>Sr. No.</b> | <b>Compliances</b>                                                                              | <b>Time Period</b>                                          |
|----------------|-------------------------------------------------------------------------------------------------|-------------------------------------------------------------|
| 1.             | Notice of Board Meeting to consider the Qtr. Results                                            | At least 7 days before the Meeting                          |
| 2.             | Press release for Board Meeting (Eng.+Hindi)                                                    | Immediately                                                 |
| 3.             | Board Meeting to consider the Qtr. Results                                                      | Within 30 days of end of Quarter                            |
| 4.             | Fax of Qtr. Result to SE                                                                        | Within 15 minutes of Board Meeting                          |
| 5.             | Submission of Qtr. Result with photocopies of news paper cutting                                | With 2-3 days of Board Meeting                              |
| 6.             | Publication of Qtr. Result (Eng.+Hindi)                                                         | Within 48 hours of Board Meeting                            |
| 7.             | Shareholding Pattern to the Stock Exchange along with Free Float Indices                        | Within 15 days of end of Quarter                            |
| 8.             | Secretarial Audit Certificate from CA/PCS for reconciliation of physical share and demat shares | Within 30 days of end of Quarter                            |
| 9.             | Clause 47 Certificate from a PCS – Half yearly Compliance Certificate                           | Within 1 month of end of half year                          |
| 10.            | Quarterly Compliance Report on Corporate Governance                                             | Within 15 days of end of Quarter                            |
| 11.            | Annual Listing Fees                                                                             | Within 30 days                                              |
| 12.            | Annual Custodial fees to NSDL/CDSL                                                              | Within 30 days                                              |
| 13.            | Uploading of Shareholding Pattern and Quarterly Results to SEBI EDIFAR website                  | Immediately whenever ready for submission to Stock Exchange |

#### **Takeover Compliance**

| <b>Sr. No.</b> | <b>Compliances</b>           | <b>Time Period</b>     |
|----------------|------------------------------|------------------------|
| 1.             | Information as per Reg. 8(3) | 30 <sup>th</sup> April |

#### **Insider Trading Compliances**

| <b>Sr. No.</b> | <b>Compliances</b>                                                                                        | <b>Time Period</b>     |
|----------------|-----------------------------------------------------------------------------------------------------------|------------------------|
| 1.             | Disclosure of Shareholding by Directors/ designated employee/ dependents under regulation 13(3) and 13(6) | 30 <sup>th</sup> April |

### **May**

#### **RBI Compliances**

| <b>Sr. No.</b> | <b>Compliances</b>                                               | <b>Time Period</b>    |
|----------------|------------------------------------------------------------------|-----------------------|
| 1.             | Board Resolution for non accepting public deposits               |                       |
| 2.             | Auditor Certificate regarding requiring to hold NBFC certificate | 30 <sup>th</sup> June |

**Stock Exchange Compliances**

| <b>Sr. No.</b> | <b>Compliances</b>                                | <b>Time Period</b>                |
|----------------|---------------------------------------------------|-----------------------------------|
| 1.             | Limited Review Report from the Statutory Auditors | Within 2 months of end of Quarter |

**Quarter III : July to September****July****Stock Exchange Compliances**

| <b>Sr. No.</b> | <b>Compliances</b>                                                                              | <b>Time Period</b>                                          |
|----------------|-------------------------------------------------------------------------------------------------|-------------------------------------------------------------|
| 1.             | Notice of Board Meeting to consider the Qtr. Results                                            | At least 7 days before the Meeting                          |
| 2.             | Press release for Board Meeting (Eng.+Hindi)                                                    | Immediately                                                 |
| 3.             | Board Meeting to consider the Qtr. Results                                                      | Within 30 days of end of Quarter                            |
| 4.             | Fax of Qtr. Result to SE                                                                        | Within 15 minutes of Board Meeting                          |
| 5.             | Submission of Qtr. Result with photocopies of news paper cutting                                | With 2-3 days of Board Meeting                              |
| 6.             | Publication of Qtr. Result (Eng.+Hindi)                                                         | Within 48 hours of Board Meeting                            |
| 7.             | Shareholding Pattern to the Stock Exchange along with Free Float Indices                        | Within 15 days of end of Quarter                            |
| 8.             | Secretarial Audit Certificate from CA/PCS for reconciliation of physical share and demat shares | Within 30 days of end of Quarter                            |
| 9.             | Quarterly Compliance Report on Corporate Governance                                             | Within 15 days of end of Quarter                            |
| 10.            | Uploading of Shareholding Pattern and Quarterly Results to SEBI EDIFAR website                  | Immediately whenever ready for submission to Stock Exchange |

**August****Stock Exchange Compliances**

| <b>Sr. No.</b> | <b>Compliances</b>                                | <b>Time Period</b>                |
|----------------|---------------------------------------------------|-----------------------------------|
| 1.             | Limited Review Report from the Statutory Auditors | Within 2 months of end of Quarter |
| 2.             | Brief Detail of Turnover and other Date           | ---                               |
| 3.             | Book Closure Notice                               | ----                              |

**Quarter IV: October to December**

**October**

**Stock Exchange Compliances**

| <b>Sr. No.</b> | <b>Compliances</b>                                                                              | <b>Time Period</b>                                          |
|----------------|-------------------------------------------------------------------------------------------------|-------------------------------------------------------------|
| 1.             | Notice of Board Meeting to consider the Qtr. Results                                            | At least 7 days before the Meeting                          |
| 2.             | Press release for Board Meeting (Eng.+Hindi)                                                    | Immediately                                                 |
| 3.             | Board Meeting to consider the Qtr. Results                                                      | Within 30 days of end of Quarter                            |
| 4.             | Fax of Qtr. Result to SE                                                                        | Within 15 minutes of Board Meeting                          |
| 5.             | Submission of Qtr. Result with photocopies of news paper cutting                                | With 2-3 days of Board Meeting                              |
| 6.             | Publication of Qtr. Result (Eng.+Hindi)                                                         | Within 48 hours of Board Meeting                            |
| 7.             | Shareholding Pattern to the Stock Exchange along with Free Float Indices                        | Within 15 days of end of Quarter                            |
| 8.             | Secretarial Audit Certificate from CA/PCS for reconciliation of physical share and demat shares | Within 30 days of end of Quarter                            |
| 9.             | Clause 47 Certificate from a PCS – Half yearly Compliance Certificate                           | Within 1 month of end of half year                          |
| 10.            | Minutes of AGM                                                                                  | Within 15 days of AGM                                       |
| 11.            | Quarterly Compliance Report on Corporate Governance                                             | Within 15 days of end of Quarter                            |
| 12.            | Uploading of Shareholding Pattern and Quarterly Results to SEBI EDIFAR website                  | Immediately whenever ready for submission to Stock Exchange |

**November**

**Stock Exchange Compliances**

| <b>Sr. No.</b> | <b>Compliances</b>                                | <b>Time Period</b>                |
|----------------|---------------------------------------------------|-----------------------------------|
| 1.             | Limited Review Report from the Statutory Auditors | Within 2 months of end of Quarter |

### **General Compliances**

| <b>Sr. No.</b> | <b>Compliances</b>                                                                              | <b>Time Period</b>                          |
|----------------|-------------------------------------------------------------------------------------------------|---------------------------------------------|
| 1.             | Book Closure Notice                                                                             | At least 15 days before the Book Closure    |
| 2.             | Corporate Governance Compliance Certificate from Statutory Auditors/ PCS                        | Before the date of Director's Report        |
| 3.             | Submission of Annual Results                                                                    | Immediately                                 |
| 4.             | Six Copies of Annual Report along with Corp. Gov. Comp. Cert. By Statutory Auditors/PCS         | As soon as it is issued                     |
| 5.             | Notice of Book Closure in Two New Papers                                                        | At least 7 days before the Book Closure     |
| 6.             | Disclosure of Shareholding under Reg. 8(3) at every record date fix for declaration of dividend | Within 30 days of record date               |
| 7.             | Minutes of every General Meeting                                                                | Within 30 days of General Meeting           |
| 8.             | Filing of Audited Balance Sheet & Profit and Loss A/c with ROC                                  | Within 30 days of AGM                       |
| 9.             | Filing of Annual Return with ROC                                                                | To be filed along with B/s & P & L Accounts |

### **Transitional Provisions**

#### **Stock Exchange Compliances**

| <b>Sr. No.</b> | <b>Compliances</b>                                 | <b>Time Period</b> |
|----------------|----------------------------------------------------|--------------------|
| 1.             | Intimation regarding change in company's directors | Promptly           |
| 2.             | Intimation regarding change in Statutory Auditor   | Promptly           |
| 3.             | Intimation regarding change in Regd. office        | Promptly           |
| 4.             | Intimation regarding alteration in capital         | Promptly           |