



# CniGlobalbiz

TRUST



CIN No.: L45202MH1982PLC041643

Date: 18<sup>th</sup> June, 2021

To,  
The Manager  
Department of Corporate Services  
BSE Ltd.  
Dalal Street, Fort,  
Mumbai -400 001

**Sub. -: Submission of Annual Secretarial Compliance for the financial year ended 31<sup>st</sup> March, 2021**

**Ref. -: Scrip Code -512018**

Sir / Madam,

With regard to the captioned subject please find enclosed herewith the annual secretarial compliance report issued by M/s. Mayur More and Associates, Practicing Company Secretary for the financial year ended 31<sup>st</sup> March, 2021. Kindly take the same on your records and acknowledge the receipt.

Thanking you,  
Yours faithfully,

For CNI Research Limited

Kishor P. Ostwal  
Managing Director

DIN - 00460257

Encl: A/a



## Cni Research Limited

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**Annual Secretarial Compliance report of CNI RESEARCH LIMITED for the year ended 31<sup>st</sup> March, 2021**

*[pursuant to SEBI Circular No. CIR/CFD/CMD1/27/2019 dated 8<sup>th</sup> February, 2019]*

I/We M/s **Mayur More & Associates** have examined:

- (a) all the documents and records made available to us and explanation provided by **CNI RESEARCH LIMITED** ("the listed entity"),
- (b) the filings/ submissions made by the listed entity to the stock exchanges,
- (c) website of the listed entity,
- (d) any other document/ filing, as may be relevant, which has been relied upon to make this certification,

for the year ended 31<sup>st</sup> March, 2021 in respect of compliance with the provisions of :

- (a) the Securities and Exchange Board of India Act, 1992 ("SEBI Act") and the Regulations, circulars, guidelines issued thereunder; and
- (b) the Securities Contracts (Regulation) Act, 1956 ("SCRA"), rules made thereunder and the Regulations, circulars, guidelines issued thereunder by the Securities and Exchange Board of India ("SEBI");

The specific Regulations, whose provisions and the circulars/ guidelines issued thereunder, have been examined, include :-

- (a) Securities and Exchange Board of India (Listing Obligations and Disclosure Requirements) Regulations, 2015;
- (b) Securities and Exchange Board of India (Issue of Capital and Disclosure Requirements) Regulations, 2018;
- (c) Securities and Exchange Board of India (Substantial Acquisition of Shares and Takeovers) Regulations, 2011;
- (d) Securities and Exchange Board of India (Buyback of Securities) Regulations, 2018;  
**(Not Applicable to the Company during review period)**
- (e) Securities and Exchange Board of India (Share Based Employee Benefits) Regulations, 2014; **(Not**



**Applicable to the Company during review period)**

- (f) Securities and Exchange Board of India (Issue and Listing of Debt Securities) Regulations, 2008; **(Not Applicable to the Company during review period)**
- (g) Securities and Exchange Board of India (Issue and Listing of Non- Convertible and Redeemable Preference Shares) Regulations, 2013; **(Not Applicable to the Company during review period)**
- (h) Securities and Exchange Board of India (Prohibition of Insider Trading) Regulations, 2015;
- (i) Securities and Exchange Board of India (Depositories and Participants) Regulations, 2018;
- (j) Securities and Exchange Board of India (Research Analyst) Regulations, 2014;
- (k) Securities and Exchange Board of India (Registrars to an Issue and Share Transfer Agents) Regulations, 1993;
- (l) Securities Contracts (Regulation) Rules, 1957; and circulars/ guidelines issued thereunder; and based on the above examination,

I/We hereby report that, during the Review Period:

- a. The listed entity has complied with the provisions of the above Regulations and circulars/ guidelines issued thereunder, except in respect of matters specified below:-

Sr. No	Compliance Requirement (Regulations/ circulars / guidelines including specific clause)	Deviations	Observations/ Remarks of the Practicing Company Secretary
1	NIL		

- b. The listed entity has maintained proper records under the provisions of the above Regulations and circulars/ guidelines issued thereunder insofar as it appears from my/our examination of those records.
- c. The following are the details of actions taken against the listed entity/ its promoters/ directors/ material subsidiaries either by SEBI or by Stock Exchanges (including under the Standard Operating Procedures issued by SEBI through various circulars) under the aforesaid Acts/ Regulations and circulars/ guidelines issued thereunder:



Sr. No.	Action taken by	Details of violation	Details of action taken E.g. fines, warning letter, debarment, etc.	Observations/ remarks of the Practicing Company Secretary, if any.
Nil				

d. The listed entity has taken the following actions to comply with the observations made in previous reports:

Sr. No.	Observations of the Practicing Company Secretary in the previous reports	Observations made in the secretarial compliance report for the year ended... <i>(The years are to be mentioned)</i>	Actions taken by the listed entity, if any	Comments of the Practicing Company Secretary on the actions taken by the listed entity
Nil				

Place: Mumbai  
Date: 17.06.2021

For Mayur More & Associates  
Company Secretaries

Mayur More [Proprietor]  
ACS No 35249 CP No 13104  
UDIN: A035249C000480892

