

CONFIDENCE FINANCE AND TRADING LIMITED

Registered Office: 9, Botawala Building, 3rd Floor, 11/13, Horniman Circle, Fort, Mumbai 400001
Tel: 22662150 www.ctcl.co.in ctclbse@gmail.com CIN: L51909MH1980PLC231713

Date: 20/08/2020

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

Dear Sir /Madam,

Sub: Compliance under Regulation 24A of the Securities and Exchange Board of India (Listing Obligations and Disclosure Requirements) Regulations 2015.

Ref: Scrip Code 504340

Pursuant to Regulation 24A of the Securities and Exchange Board of India (Listing Obligations and Disclosure Requirements) Regulations, 2015, please find enclosed herewith the Annual Secretarial Compliance Report issued by Ritika Agrawal, Company Secretary, for the Financial Year ended on 31st March 2020.

Request you to take the same on record.

Yours faithfully,
For Confidence Finance and Trading Limited



Mr. Manoj Jain
Director
DIN: 00165280



Secretarial Compliance Report of Confidence Finance and Trading Limited for the Year ended 31st March 2020

I have examined:

- (a) all the documents and records made available to us and explanation provided by Confidence Finance and Trading 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 31st March 2020 ("Review Period") 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; -Not Applicable
- (c) Securities and Exchange Board of India (Substantial Acquisition of Shares and Takeovers) Regulations, 2011; -Not Applicable
- (d) Securities and Exchange Board of India (Buyback of Securities) Regulations, 2018; -Not Applicable
- (e) Securities and Exchange Board of India (Share Based Employee Benefits) Regulations, 2014; -Not Applicable
- (f) Securities and Exchange Board of India (Issue and Listing of Debt Securities) Regulations, 2008; -Not Applicable
- (g) Securities and Exchange Board of India (Issue and Listing of Non- Convertible and Redeemable Preference Shares) Regulations, 2013; -Not Applicable

R. S. Agrawal



(h) Securities and Exchange Board of India (Prohibition of Insider Trading) Regulations, 2015;

(i) Securities and Exchange Board of India (Registrars to an Issue and Share Transfer Agents) Regulations, 1993 regarding the dealing with client;

and circulars/ guidelines issued thereunder;

and based on the above examination, I 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;

(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 examination of those records;

(c) No action has been taken against the listed entity/ its promoters/ directors/ material subsidiaries either by SEBI or by stock exchange (including under the Standard Operating Procedures issued by SEBI through various circulars) under the aforesaid Acts/ Regulations and circular/guidelines issued thereunder.

(d) Listed entity has taken the following actions to comply with the observations made in previous reports:- Not applicable

except in respect of matters specified below:-

Sr. No	Details of Violation	Observation/ Remark of the PCS, if any
1	The Scrutinizer Report was not submitted on time	As per management representation the AGM was concluded on 30th September and the company had to submit the report by 2nd October 2019. However, due to the national holiday on account of Mahatma Gandhi Jayanti the company could not obtain the same from the scrutinizer and it was received on 3rd October, 2019. However, in the report there were certain discrepancies, (not significant) Therefore the company requested the Scrutinizer to issue a fresh report which the Company received on 4th October and immediately uploaded on BSE Listing Portal
2	Company Secretary was not appointed for the F.Y 2019-20	As per management representation the Management of the Company was searching for a suitable candidate for the post of company secretary However due to COVID- 19 Pandemic was not unable to find the same. And In Meanwhile, Company has appointed Mr. Manoj Jain Director of the Company as Compliance Officer who looks after the compliance requirements.

For Ritika Agrawal & Associates

Ritika Agrawal

Ritika Agrawal

Proprietor

M. No. 8949

COP No. 8266

UDIN: F008949B000595568



Place: Mumbai

Date: 19/08/2020