



ALFA TRANSFORMERS LTD.

CIN-L311020R1982PLC001151

Regd. Office : Plot No. 3337,
Mancheswar Industrial Estate
Bhubaneswar -751010, Odisha, India

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ISO 9001 : 2015
Certificate Registration No. 99 100 11745/02

Date: 30th June, 2020

To

**The Asst. General Manager
Department of Corporate Services,
Bombay Stock Exchange Limited,
Phiroze Jeejeebhoy Towers,
Dalal Street, Mumbai 400 001**

**Sub.: Submission of Annual Secretarial Compliance Report for the Financial Year
ended 31st March, 2020**

Ref.: 1) Regulation 24A of SEBI (LODR) Regulations, 2015

2) BSE SCRIP CODE: 517546 – Alfa Transformers Limited

Dear Sir/Madam,

With reference to the above captioned subject, we enclose herewith the copy of Annual Secretarial Compliance Report for the financial year ended on 31st March, 2020 issued by M/s. Saroj Ray & Associates, Secretarial Auditors of the Company pursuant to Regulation 24A of the SEBI (LODR) Regulations, 2015.

Kindly take this on record.

Thanking you.

Yours faithfully

For Alfa Transformers Limited



**Amarnath Tripathy
Company Secretary**

Encl: As Below

**Secretarial Compliance Report of M/s. Alfa Transformers Limited
for the year ended 31st March, 2020.**

We, M/s. Saroj Ray & Associates have examined:

- (a) all the documents and records made available to us and explanation provided by M/s. Alfa Transformers Limited (“the listed entity”),
- (b) the filings/ submissions made by the listed entity to the stock exchanges,
- (c) website of the listed entity,

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;
- (c) Securities and Exchange Board of India (Registrars to an Issue and Share Transfer Agents) (Second Amendment) Regulations, 2018;
- (d) Securities and Exchange Board of India (Prohibition of Insider Trading) Regulations, 2015;

and circulars/ guidelines issued thereunder and based on the above examination, 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 |
|--------------|---|-------------------|--|
| - | - | - | - |
| | | | |
| | | | |

- (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 our examinations 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 there under.

| Sl No | Actions 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 |
|-------|------------------|----------------------|---|--|
| - | - | - | - | - |
| | | | | |

- (d) The Listed entity has taken the following actions to comply with the observations made in previous reports.

| Sl No | Observations of the Practicing Company Secretary in the Previous Reports | Observations made in the Secretarial Compliance Report for the Year ended 31-03-2020 | Actions Taken By the Listed entity ,if Any | Comments of the Practicing Company Secretary on the actions taken by the Listed Entity |
|-------|--|--|--|--|
| - | - | - | - | - |
| | | | | |

Place: Bhubaneswar
 Date: 29/06/2020



Signature: Aditi Patnaik
 Name of the Practicing
 Company Secretary: Aditi Patnaik
 ACS No: 45308, CP No:18186
 UDIN: A045308B000394272