

# CONFIDENCE FINANCE AND TRADING LIMITED

Registered Office: 9, Botawala Building, 3<sup>rd</sup> Floor, 11/13, Horniman Circle, Fort, Mumbai 400001

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Date: 27<sup>th</sup> June, 2021

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To  
The Manager,  
DCS-CRD  
BSE Ltd.  
Phiroze Jeejeebhoy Towers  
Dalal Street, Fort,  
Mumbai – 400 001

**Scrip Code: 504340**

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

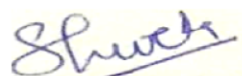

Pursuant to Regulation 24A of the Securities and Exchange Board of India (Listing Obligations and Disclosure Requirements) Regulations, 2015, please find enclosed herewith the Annual Secretarial Compliance Report issued by Ritika Agrawal, Company Secretary, for the Financial Year ended on 31st March 2021.

The aforesaid Report shall also be filed in XBRL mode simultaneously

You are requested to please take on record the above said document for your reference and further needful.

Thanking You  
Yours Faithfully

**For Confidence Finance and Trading Limited**

**SHWETA SHARMA**  
**Company Secretary &**  
**Compliance Officer**



## Secretarial Compliance Report of Confidence Finance and Trading Limited for the Year ended 31<sup>st</sup> March 2021

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 2021 ("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

**For Ritika Agrawal & Associates**

*R-S Agrawal*

**Ritika Agrawal**

Proprietor

M. No. 8949

COP No. 8266

UDIN: F008949C000516313



Place: Mumbai

Date: 25/06/2021