

Date : 3<sup>rd</sup> June, 2019

**BSE Limited**

Corporate Services Department  
Phiroze Jeejeebhoy Towers,  
Dalal Street,  
Mumbai – 400 001

SCRIP CODE: **511147**

Company: **Wall Street Finance Limited**


Dear Sirs,

**Sub: Annual Secretarial Compliance Certificate**

With reference to the above, please find enclosed the annual secretarial compliance certificate as issued by M/s. D. M. Zaveri & Co., Practicing Company Secretary for the financial year ended 31<sup>st</sup> March, 2019.

Kindly take the same on record and acknowledge the receipt.

Yours faithfully,  
For Wall Street Finance Limited

  
Chaitali Desai  
Company Secretary



Encl.: As above

**DS** Dharmesh Zaveri  
B.Com., F.C.S.

Office No.145, 1st Floor, Kesar Residency, Charkop Sector 3, Kandivali (W), Mumbai - 400 067

**Email:** dmz@dmzaveri.com **Tel.:** 022-28679660 **Mobile:** 98203 20503 **Website:** www.dmzaveri.com

**Secretarial Compliance Report of Wall Street Finance Limited for  
the Financial year ended 31<sup>st</sup> March, 2019**

To,  
**The Wall Street Finance Limited**

113-122, 1<sup>st</sup> Floor, A wing, Chintamani Plaza,  
Andheri Kurla Road, Chakala, Andheri  
(East), Mumbai – 400 009

We, D. M. Zaveri & Co, Company Secretaries have examined:

- (a) all the documents and records made available to us and explanation provided by Wall Street Finance 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, 2019 ("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 (Substantial Acquisition of Shares and Takeovers) Regulations, 2011;
- (d) Securities and Exchange Board of India (Share Based Employee Benefits) Regulations, 2014;
- (e) 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:-





# D. M. ZAVERI & Co.

## Company Secretaries

**DS** Dharmesh Zaveri  
B.Com., F.C.S.

Office No.145, 1st Floor, Kesar Residency, Charkop Sector 3, Kandivali (W), Mumbai - 400 067

**Email:** dmz@dmzaveri.com **Tel.:** 022-28679660 **Mobile:** 98203 20503 **Website:** www.dmzaveri.com

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

- (b) The listed entity has maintained proper records under the provisions of the above Regulations and circulars/ guidelines issued thereunder in so far as it appears from our examination of those records;
- (c) 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 Practising Secretary, if any	Company
Nil					

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

Sr. No.	Observation of Practising Company Secretary in previous reports	Observation made in the secretarial compliance report for the year ended...	Action taken by listed entity if any	Comments of the Practising Company Secretary on the action taken by the listed entity
Not applicable				

For D. M. Zaveri & Co.  
Company Secretaries



Dharmesh Zaveri  
(Proprietor)  
FCS. No.: 5418  
CP No.: 4363  
Place: Mumbai  
Date: 27<sup>th</sup> May 2019

