

# REGENT ENTERPRISES LIMITED

Regd. Office:-E-205 (LGF), Greater Kailash II, New Delhi-110048, India  
Telephone no. 011-24338696, Email: info@regententerprises.in  
Fax No. 011-24338696; Website: www.regententerprises.in  
CIN-L15500DL1994PLC153183

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July 31, 2020

To,  
**DEPARTMENT OF CORPORATE SERVICES**  
BSE Limited  
P. J. Towers, Dalal Street,  
Mumbai- 400001

Dear Sir/ Madam,

**SUB: ANNUAL SECRETARIAL COMPLIANCE REPORT FOR THE YEAR ENDED 31<sup>ST</sup> MARCH 2020 AS PER REGULATION 24A OF SEBI (LISTING OBLIGATION AND DISCLOSURE REQUIREMENTS) REGULATION, 2015.**

Pursuant to Regulation 24A of SEBI (Listing Obligation and Disclosure Requirements) Regulations, 2015 read with clause 3(b) (iii) of the SEBI Circular No. CIR/CFD/CMD1/27/2019 dated February 8, 2019. Please find enclosed the Annual Secretarial Compliance Report of the company for the year ended 31<sup>st</sup> March, 2020 issued by **M/s Sharma Vijay & Associates**, Practicing Company Secretaries.

You are requested to please take note of the same on your record.

Thanking You,

**Yours Faithfully**  
**For REGENT ENTERPRISES LIMITED**  
For Regent Enterprises Ltd.



Director

**VIKAS KUMAR**  
**DIRECTOR**  
**(DIN: 05308192)**

**Secretarial Compliance Report of Regent Enterprises Limited for the year ended  
March 31, 2020**

To,  
The Members,  
Regent Enterprises Limited

I, Vijay Sharma, Practicing Company Secretary has examined:

- a) all the documents and records made available to me and explanation provided by **Regent Enterprises 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 **March 31, 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 (Substantial Acquisition of Shares and Takeovers) Regulations, 2011;
- d) Securities and Exchange Board of India (Buyback of Securities) Regulations, 2018;
- e) Securities and Exchange Board of India (Share Based Employee Benefits) Regulations, 2014;
- f) Securities and Exchange Board of India (Issue and Listing of Debt Securities) Regulations, 2008;
- g) Securities and Exchange Board of India (Issue and Listing of Non- Convertible and Redeemable Preference Shares) Regulations, 2013;
- h) Securities and Exchange Board of India (Prohibition of Insider Trading) Regulations, 2015;

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, except in respect of matters specified below:-

S. No	Compliance Requirement (Regulations/ circulars / guidelines including specific clause)	Deviations	Observations/ Remarks of the Practicing Company Secretary
1.	Intimation for Appointment of Internal Auditor given late	Appointment was made on 19/03/2020 but intimation was given as on 12/06/2020 to the Stock Exchange	According to Explanation given by Company, the Intimation was delayed due to Lockdown in the Country due to COVID-19
2.	Appointment of CFO	Appointment was not made within the prescribed Time Period	According to Explanation given by Company, the CFO was Appointed lately as Company was not able to find the Suitable Candidate for the Position during the Period and some delay was due to Lockdown in the Country due to COVID-19

- 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:

S. No.	Action taken by Stock Exchange i.e BSE	Details of violation	Details of action taken E.g. fines, warning letter, debarment, etc.	Observations/ remarks of the Practicing Company Secretary, if any.
1.	Regulation 34 Non-submission of	Regulation 34 Non-submission of	The Company has submitted its reply to the Stock	The Company got the penalty withdrawn

	the Annual Report within the period prescribed under this regulation	the Annual Report within the period prescribed under this regulation	Exchange and the Stock Exchange waive off the Fine Imposed	
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d) The listed entity has taken the following actions to comply with the observations made in previous reports:

S. No.	Observations of the Practicing Company Secretary in the previous reports	Observations made in the secretarial compliance report for the year ended 31.03.2019	Actions taken by the listed entity, if any	Comments of the Practicing Company Secretary on the actions taken by the listed entity
	N.A			

Place : New Delhi  
Date : 31<sup>st</sup> July, 2020

For Sharma Vijay & Associates

**Vijay  
Sharma**

Digitally signed by Vijay Sharma  
DN: cn=Vijay Sharma, c=IN,  
st=Haryana, o=Personal,  
serialNumber=f733d625ea9bd4c  
d9e713c947ba5095aa0d5e705c7d  
8179053baf0572a4d15f  
Date: 2020.07.31 17:05:09 +05'30'

CS Vijay Sharma  
(Proprietor)

C.P. No. 19035, ACS:45793

UDIN: A045793B000535667