

# Alps Industries Ltd.

REGD./CORP. OFFICE

57/2, Site-IV, Industries Area  
Sahibabad, Ghaziabad - 201010  
Uttar Pradesh (India)

ALPS/468/SE10/2019-2020

May 04, 2019

<p>The General Manager Market Operations Deptt., <b>National Stock Exchange of India Ltd.,</b> Exchange Plaza, 5th Floor, Plot No. C/1, G-Block, Bandra-Kurla Complex Bandra (E), <b>Mumbai - 400 051</b> Ph - 91-22-2659 8101 - 8114 Fax : 022 - 26598237/38/ 2659 8100 <b>Email - <a href="mailto:cmlist@nse.co.in">cmlist@nse.co.in</a></b></p>	<p>Ms. Erika D'Sa, (Relationship Manager) Corporate Relationship Deptt., <b>Bombay Stock Exchange Limited,</b> 1<sup>ST</sup> Floor New Trading Ring, Rotunda Building, P. J. Towers, Dalal Street, Fort, <b>Mumbai-400 001.</b> Ph - 022-22728995 Fax: 022 - 22723121 / 3719/2037/2039/2041/2061 Email - <a href="mailto:intern.erika@bseindia.com">intern.erika@bseindia.com</a> , <a href="mailto:corp.relations@bseindia.com">corp.relations@bseindia.com</a></p>
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**SUB : SUBMISSION OF ANNUAL SECRETARIAL COMPLIANCE REPORT IN TERMS OF SEBI CIRCULAR NO. CIR/CFD/CMD1/27/2019 DATED 08.02.2019.**

Dear Sir,

This has in reference to the SEBI Circular No. CIR/CFD/CMD1/27/2019 dated February 08, 2019 applicable w.e.f financial year ending on March 31, 2019. As required, we are submitting herewith Annual Secretarial Compliance Report for the year ending on 31<sup>st</sup> March, 2019 duly certified by Practicing Company secretary.

This is for your kind information please.

Thanking you,

Yours faithfully,

For **ALPS INDUSTRIES LIMITED**



(Ajay Gupta)  
Company Secretary  
& General Manager - Legal  
Encl. a/a.



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Website : [www.alpsindustries.com](http://www.alpsindustries.com)

CIN : L51109UP1972PLC003544

# RAJIV KHOSLA & ASSOCIATES

PRACTISING COMPANY SECRETARY

M.Com FCS

B-56, Shalimar Garden, Chhabra Colony, Shalimar Housing Complex, Sahibabad, U.P.-201005

Mobile : 9811583699 Telefax : 95120-2610974

E-mail : khosla.rk1972@yahoo.co.in • khosla.rajivfcs@gmail.com

## Secretarial Compliance Report

Of

**Alps Industries Limited**  
for the year ended 31<sup>st</sup> March, 2019.

I, **Rajiv Khosla, the Proprietor of M/s. Rajiv Khosla & Associates**, Company Secretaries having office at B-56, Shalimar Garden, Chhabra Colony, Shalimar Housing Complex, Sahibabad, Uttar Pradesh-201005 have examined:

(a) all the documents and records made available to us and explanation provided by **Alps Industries 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 there under; and

(b) the Securities Contracts (Regulation) Act, 1956 ("SCRA"), rules made there under and the Regulations, circulars, guidelines issued there under by the Securities and Exchange Board of India ("SEBI"):

*The specific Regulations, whose provisions and the circulars/ guidelines issued there under, 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;

(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**

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

(i) Securities and Exchange Board of India (Delisting of Equity Shares) Regulations, 2009;

and circulars/ guidelines issued there under;

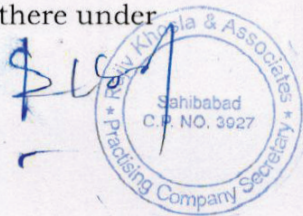
**I hereby report that, during the Review Period:**

(a) The listed entity has complied with the provisions of the above Regulations and circulars/ guidelines issued there under except in respect of matters specified below:-

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

(b) The listed entity has maintained proper records under the provisions of the above Regulations and circulars/ guidelines issued there under in so far 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 there under





Sr. No.	Action taken by	Details of violation	Details of action taken E.g. fines, warning letter, debarment, etc.	Observations/ remarks of the Practising Company Secretary, if any.
NA				

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

Sr. No.	No. Observations of the Practising Company Secretary in the previous reports	Observations made in the secretarial compliance report for the year ended on 31st March, 2019	Actions taken by the listed entity, if any	Comments of the Practising Company Secretary on the actions taken by the listed entity
NA				

For **RAJIV KHOSLA & ASSOCIATES**



**Rajiv Khosla**  
**FC'S No.: 5197**  
**C P No.: 3927**

Date: 25<sup>th</sup> April, 2019  
Place: Ghaziabad