



LIYA AND ASSOCIATES

COMPANY SECRETARY IN PRACTICE

Phone: 96564 40562 | 91420 96033 | Email: liyaandassociates@gmail.com

**SECRETARIAL COMPLIANCE REPORT OF S.I.CAPITAL AND FINANCIAL SERVICES LIMITED FOR
THE YEAR ENDED 31ST MARCH 2019**

I, Liya Antony, Company Secretary in Practice have examined:

- (a) all the documents and records made available to me and explanation provided by S.I.CAPITAL AND FINANCIAL SERVICES 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 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 thereunder 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 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;



No.101, First Floor, Santhi K George Technology Arcade
K C Joseph Road, Panampilly Nagar, Ernakulam - 682036, Kerala
Ph: 0484 4022118, 9142096033, 9656440562

(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:-

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

(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 Practicing Company Secretary, if any.
	-----NIL-----	-----NIL-----	-----NIL-----	



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

Sr. No.	Observations of the Practicing Company Secretary in the previous reports	Observations made in the secretarial compliance report for the year ended... (The years are to be mentioned)	Actions taken by the listed entity, if any	Comments of the Practicing Company Secretary on the actions taken by the listed entity
	-----NIL-----	-----NIL-----	-----NIL-----	-----NIL-----

Place: Ernakulam

Liya Antony,

Signature:

Practicing Company Secretary

For LIYA AND ASSOCIATES

LIYA ANTONY
Company Secretary In Practice
Membership No: 39611, CP No: 19314
No: 101, 1st Floor, K George Technology Arcade
K C Joseph Road, Panampilly Nagar
Ernakulam, Kerala - 682 036

ACS/ FCS No.: 39611

C P No.: 19314

Date : 30/05/2019

