

June 21, 2021

BSE Limited
Department of Corporate Services
Floor 25, P. J. Towers,
Dalal Street,
Mumbai-400 001.

Scrip Code: 532051

National Stock Exchange of India Limited
Listing Department
Registered Office: "Exchange Plaza",
C-1, Block G, Bandra – Kurla Complex,
Bandra (E), Mumbai – 400 051.

Scrip Code: SWELECTES

Dear Sir / Madam,

Sub: Submission of Annual Secretarial Compliance Report for the financial year ended 31.03.2021.

Pursuant to SEBI Circular No.CIR/CFD/CMD1/27/2019 dt.08.02.2019, we enclose herewith the Annual Secretarial Compliance Report issued by Mr. R. Kannan, Partner, KRA & Associates, Practicing Company Secretaries for the financial year ended 31.03.2021.

We request you to kindly take on record the above compliance.

Thanking you,

Yours faithfully,

For SWELECT ENERGY SYSTEMS LIMITED



R. SATHISHKUMAR
Company Secretary

Encl.: as above

**KRA & ASSOCIATES
PRACTICING COMPANY SECRETARIES**

PARTNERS

CS R.KANNAN

CS AISHWARYA

SRI SANKARA GURUKRIPA ILLAM

Regd OFF. : No. 6A, 10th Street,

New Colony, Adambakkam,

Chennai - 600 088

E -mail : gkrkgram@yahoo.in

Ph: 044 - 4355 9396

**SECRETARIAL COMPLIANCE REPORT OF SWELECT ENERGY SYSTEMS LIMITED FOR THE
YEAR ENDED 31/03/2021**

We, **KRA & ASSOCIATES, Practicing Company Secretaries** have examined:

- a) all the documents and records made available to us, and explanation provided by
SWELECT ENERGY SYSTEMS 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 **31/03/2021** in respect of compliance with the provisions of:

1. The Securities and Exchange Board of India Act, 1992 ("SEBI Act") and the
Regulations, circulars, guidelines issued thereunder; and
2. The Securities Contracts (Regulation) Act, 1956 ("SCRA"), rules made there under
and the Regulations, circulars, guidelines issued thereunder by the Securities and
Exchange Board of India ("SEBI");



A handwritten signature in blue ink, appearing to be "R. Kannan", written over the circular stamp.

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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 (Substantial Acquisition of Shares and Takeovers) Regulations, 2011;
- c) Securities and Exchange Board of India (Prohibition of Insider Trading) Regulations, 2015;
- d) Securities and Exchange Board of India (Depositories and Participants) Regulations, 2018;
- e) other regulations as applicable and circulars/ guidelines issued there under; and based on the above examination,

We hereby report that, during the Review Period the listed entity has complied with the provisions of the above Regulations and circulars/ guidelines issued thereunder, except in respect of matters specified below:-




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Sl.No	Compliance Requirement (Regulations/circulars/ guidelines including specific clause)	Deviations	Observations/ Remarks of the Practicing Company Secretary
1	SEBI (Prohibition of Insider Trading) Regulations, 2015	There has been violation of Company's Code of conduct by person in promoter group and immediate relative of designated person.	The Company has taken suitable action against them as per guidelines levied by Securities Exchange Board of India and Code of Conduct for Insider Trading of the Company..

The listed entity has maintained proper records under the provisions of the above Regulations and circulars/ guidelines issued thereunder insofar as it appears from our examination of those records.



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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:

Sl. 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				



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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				

Place: Chennai
Date: 18/06/2021



**FOR KRA & ASSOCIATES
Practising Company Secretaries**

**R Kannan
Partner**

M. No. F6718/C.P.No.3363

UDIN: F006718C000485977