



Fusion Microfinance Limited

(Formerly known as Fusion Micro Finance Private Limited)

Letter No. FMFL/SEC/2023-24/SE-32

Date:30.05.2023

The Manager Listing Department National Stock Exchange of India Limited Exchange Plaza, Plot No. C/1, G Block Bandra Kurla Complex, Bandra (E), Mumbai - 400 051	The Manager Listing Department BSE Limited Phiroze Jeejeebhoy Towers Dalal Street, Mumbai - 400 001
Scrip Code: FUSION	Scrip Code: 543652

Sub: SUBMISSION OF SECRETARIAL COMPLIANCE REPORT UNDER REGULATION 24A OF THE SEBI (LISTING OBLIGATIONS AND DISCLOSURE REQUIREMENTS) REGULATIONS, 2015

Dear Sir/Ma'am,

In accordance with Regulation 24A of the SEBI (Listing Obligations and Disclosure Requirements) Regulations, 2015, we hereby submit the Secretarial Compliance Report for the Financial Year ended March 31, 2023.

Kindly update the same on your record.

**Thanking you ,
Sincerely,**

For Fusion Micro Finance Limited

**Deepak Madaan
Company Secretary & Compliance Officer
Membership No. A24811
Place: Gurugram**



SECRETARIAL COMPLIANCE REPORT

of

FUSION MICRO FINANCE LIMITED

FOR THE FINANCIAL YEAR ENDED 31st March, 2023

We have conducted the review of the compliance of the applicable statutory provisions and the adherence to good corporate practices by **FUSION MICRO FINANCE LIMITED** (hereinafter referred as 'the listed entity'), having its Registered Office at **H-1, C Block, Community Centre, Naraina Vihar, New Delhi DL 110028 IN**. Secretarial Review was conducted in a manner that provided us a reasonable basis for evaluating the corporate conducts/statutory compliances and to provide our observations thereon.

Based on our verification of the listed entity's books, papers, minutes books, forms and returns filed and other records maintained by the listed entity and also the information provided by the listed entity, its officers, agents and authorized representatives during the conduct of Secretarial Review, we hereby report that in our opinion, the listed entity has, during the review period covering the financial year ended on March 31, 2023, complied with the statutory provisions listed hereunder and also that the listed entity has proper Board processes and compliance mechanism in place to the extent, in the manner and subject to the reporting made hereinafter:

We, Harish Popli & Associates, have examined:

- (a) all the documents and records made available to us and explanation provided by **Fusion Micro Finance Limited** ("the listed entity"),
- (b) the filings/ submissions made by the listed entity to the stock exchanges,
- (c) website of the listed entity,

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(d) any other document/ filing, as may be relevant, which has been relied upon to make this report,

for the financial year ended 31st March 2023 (“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 (hereinafter referred as “SEBI Listing Regulations”);
- (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-
The provisions of the said regulations are not applicable to the listed entity during the period under review..
- (e) Securities and Exchange Board of India (Share Based Employee Benefits and Sweat Equity) Regulations, 2021;
- (f) Securities and Exchange Board of India (Issue and Listing of Non-Convertible Securities) Regulations, 2021;
- (g) Securities and Exchange Board of India (Prohibition of Insider Trading) Regulations, 2015;

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(h) Other regulations as applicable and circulars/ guidelines issued thereunder;

We hereby report that, during the Review Period the compliance status of the listed entity is appended as below:

Sr. No.	Particulars	Compliance Status (Yes/No/NA)	Observations/Remarks by PCS
1.	Secretarial Standards: The compliances of the listed entity are in accordance with the applicable Secretarial Standards (SS) issued by the Institute of Company Secretaries India (ICSI).	YES	
2.	Adoption and timely updation of the Policies: <ul style="list-style-type: none">All applicable policies under SEBI Regulations are adopted with the approval of board of directors of the listed entitiesAll the policies are in conformity with SEBI Regulations and have been reviewed & updated on time, as per the regulations/ circulars/guidelines issued by SEBI	YES YES	-
3.	Maintenance and disclosures on Website:		

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	<ul style="list-style-type: none"> The Listed entity is maintaining a functional website Timely dissemination of the documents/ information under a separate section on the website Web-links provided in annual corporate governance reports under Regulation 27(2) are accurate and specific which re-directs to the relevant document(s)/ section of the website 	<p>YES</p> <p>YES</p> <p>YES</p>	<p>The web-links provided in the Annual Corporate Governance Report for the Financial Year ended on March 31, 2023 under Regulation 27(2) of the SEBI Listing Regulations are accurate and directs to the relevant document(s)/section of the website.</p>
4.	<p>Disqualification of Director: None of the Director(s) of the Company is/ are disqualified under Section 164 of Companies Act, 2013 as confirmed by the listed entity.</p>	<p>YES</p>	<p>-</p>
5.	<p>Details related to Subsidiaries of listed</p>		

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	entities have been examined w.r.t.: (a) Identification of material subsidiary companies (b) Disclosure requirement of material as well as other subsidiaries	NA	The Company does not have subsidiary.
6.	Preservation of Documents: The listed entity is preserving and maintaining records as prescribed under SEBI Regulations and disposal of records as per Policy of Preservation of Documents and Archival policy prescribed under SEBI LODR Regulations, 2015.	YES	-
7.	Performance Evaluation: The listed entity has conducted performance evaluation of the Board, Independent Directors and the Committees at the start of every financial year/during the financial year as prescribed in SEBI Regulations.	YES	-
8.	Related Party Transactions: (a) The listed entity has obtained prior approval of Audit Committee for all related party transactions; or	YES	-

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	(b) The listed entity has provided detailed reasons along with confirmation whether the transactions were subsequently approved/ratified/rejected by the Audit Committee, in case no prior approval has been obtained.	YES	
9.	Disclosure of events or information: The listed entity has provided all the required disclosure(s) under Regulation 30 along with Schedule III of SEBI LODR Regulations, 2015 within the time limits prescribed thereunder.	YES	
10.	Prohibition of Insider Trading: The listed entity is in compliance with Regulation 3(5) & 3(6) SEBI (Prohibition of Insider Trading) Regulations, 2015.	YES	The database had initially been implemented in excel. Later, the Company has implemented a software tool for the SDD compliance, that meets all the requirements specified under law. As per the representation given by the Company the events

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			which due to be classified as UPSI has been captured in the SDD data base.
11.	Actions taken by SEBI or Stock Exchange(s), if any: No action(s) has been taken against the listed entity/ its promoters/ directors/ subsidiaries either by SEBI or by Stock Exchanges (including under the Standard Operating Procedures issued by SEBI through various circulars) under SEBI Regulations and circulars/ guidelines issued thereunder except as provided under separate paragraph herein (**)	N.A.	No Action is taken by SEBI or Stock Exchange except as provided under separate paragraph herein.
12.	Additional Non-compliances, if any: No additional non-compliance observed for any SEBI regulation/circular/guidance note etc.	N.A.	No additional non-compliances are observed during the review period.

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Compliances related to resignation of statutory auditors from listed entities and their material subsidiaries as per SEBI Circular CIR/CFD/CMD1/114/2019 dated 18th October, 2019:

Sr. No.	Particulars	Compliance Status (Yes/No/NA)	Observations/Remarks by PCS
1.	Compliances with the following conditions while appointing/re-appointing an auditor		
	I. If the auditor has resigned within 45 days from the end of a quarter of a financial year, the auditor before such resignation, has issued the limited review/ audit report for such quarter; or	N.A.	No Auditor has resigned during the Relevant Period.
	II. If the auditor has resigned after 45 days from the end of a quarter of a financial year, the auditor before such resignation, has issued the limited review/ audit report for such quarter as well as the next quarter; or	N.A.	No Auditor has resigned during the Relevant Period.
	III. If the auditor has signed the limited review/ audit report for the first three quarters of a financial year, the auditor before such resignation, has issued the limited review/ audit report for the last quarter of such financial year as well as the audit report for such financial year	N.A.	No Auditor has resigned during the Relevant Period.
2.	Other conditions relating to resignation of statutory auditor		
	I. Reporting of concerns by Auditor with respect to the listed entity/its		

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	<p>material subsidiary to the Audit Committee:</p> <p>(a) In case of any concern with the management of the listed entity/material subsidiary such as non-availability of information / non-co-operation by the management which has hampered the audit process, the auditor has approached the Chairman of the Audit Committee of the listed entity and the Audit Committee shall receive such concern directly and immediately without specifically waiting for the quarterly Audit Committee meetings.</p> <p>(b) In case the auditor proposes to resign, all concerns with respect to the proposed resignation, along with relevant documents has been brought to the notice of the Audit Committee. In cases where the proposed resignation is due to non-receipt of information / explanation from the company, the auditor has informed the Audit Committee the details of information/ explanation sought and not provided by the management, as</p>	<p>N.A.</p> <p>N.A.</p>	<p>No such event occurred during the Relevant Period.</p> <p>No such event occurred during the Relevant Period.</p>
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	<p>applicable.</p> <p>(c) The Audit Committee / Board of Directors, as the case may be, deliberated on the matter on receipt of such information from the auditor relating to the proposal to resign as mentioned above and communicate its views to the management and the auditor.</p> <p>II. Disclaimer in case of non-receipt of information:</p> <p>The auditor has provided an appropriate disclaimer in its audit report, which is in accordance with the Standards of Auditing as specified by ICAI / NFRA, in case where the listed entity/ its material subsidiary has not provided information as required by the auditor.</p>	N.A.	No such event occurred during the Relevant Period.
		N.A.	No such event occurred during the Relevant Period.
3.	The listed entity / its material subsidiary has obtained information from the Auditor upon resignation, in the format as specified in Annexure- A in SEBI Circular CIR/ CFD/CMD1/114/2019 dated 18th October, 2019	N.A.	No such event occurred during the Relevant Period.

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- (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 Requirements/ (Regulations/ circulars/ guidelines including specific clause)	Regulation / Circular No.	Deviations	Action taken by	Type of action	Details of violation	Fine amount	Observations/re marks of the Practicing Company Secretary	Management response	Remarks
1	The listed entity, while submitting quarterly and annual financial results, shall disclose the following line items along with the financial results: (a) debt-equity ratio; (b) debt service coverage ratio; (c) interest service coverage ratio; (d) outstanding	Regulation 52(4) of the SEBI Listing Regulations	Non-disclosure of line items prescribed under Regulation 52(4) along with the half yearly / annual financial	Bombay Stock Exchange	Fines as per SEBI circular no. SEBI/HO/DDHS_Div 2/CIR/P/2021/699 dated December 29, 2021	Non-disclosure of line items prescribed under Regulation 52(4) along with the half yearly / annual financial results- Delayed Compliance	INR 16,520/- (inclusive of GST)	Delayed Compliance	The equity shares of the Company were scheduled to be listed on the stock exchanges i.e. BSE & NSE, on 15th November 2022 and the management team alongwith officials of the company	

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redeemable preference shares (quantity and value); (e) capital redemption reserve/debenture redemption reserve; (f) net worth; (g) net profit after tax; (h) earnings per share; (i) current ratio; (j) long term debt to working capital; (k) bad debts to Account receivable ratio; (l) current liability ratio; (m) total debts to total assets; (n) debtors' turnover; (o) inventory turnover;		results			ce			were pre-occupied in fulfilling the equity listing prerequisites. Resultantly, it was unfeasible for the Company to convene the Quarterly Board Meeting by 14th November, 2022 for consideration & declaration of financial results for quarter & half year ended September 30, 2022 and to comply with the above cited compliance	
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	(p) operating margin percent; (q) net profit margin percent: Provided that if the information mentioned in sub-regulation (4) above is not applicable to the listed entity, it shall disclose such other ratio/equivalent financial information, as may be required to be maintained under applicable laws, if any.								requirements . Further, post listing the equity shares on the stock exchanges, the company had convened the Quarterly Board Meeting on November 28th, 2022	
2	The listed entity shall prepare and submit un-audited or audited quarterly	Regulation 52(1) of the	Non-submission of the financial	Bombay Stock Exchange	Fines as per SEBI circular no.	Non-submission of the financial results	INR 82,600/- (inclusion of	Delayed compliance	Same as above	

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<p>and year to date standalone financial results on a quarterly basis in the format as specified by the Board within forty- five days from the end of the quarter, other than last quarter, to the recognised stock exchange(s): Provided that for the last quarter of the financial year, the listed entity shall submit un-audited or audited quarterly and year to date standalone financial results within sixty days</p>	<p>SEBI Listing Regulations</p>	<p>results within the period prescribed under this regulation.</p>		<p>SEBI/HO/DDHS_Div 2/CIR/P/2021/699 dated December 29, 2021</p>	<p>within the period prescribed under this regulation.- Delayed compliance</p>	<p>GST)</p>			
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	from the end of the quarter to the recognised stock exchange(s)									
3	The listed entity shall disclose to the stock exchange in quarterly, half-yearly, year-to-date and annual financial statements, as applicable, the extent and nature of security created and maintained with respect to its secured listed non-convertible debt securities.	Regulation 54(2) of the SEBI Listing Regulation	Non-disclosure of extent and nature of security created and maintained with respect to secured listed NCDs in the financial statements	Bombay Stock Exchange	Fines as per SEBI circular no. SEBI/HO/DDHS_Div 2/CIR/P/2021/699 dated December 29, 2021	Non-disclosure of extent and nature of security created and maintained with respect to secured listed NCDs in the financial statements	INR 16,520/- (inclusive of GST)	Delayed compliance	Same as above	

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4	The listed entity shall give notice in advance of at least seven working days (excluding the date of intimation and the record date) to the recognised stock exchange(s) of the record date or of as many days as the stock exchange(s) may agree to or require specifying the purpose of the record date.	Regulation 60(2) of the SEBI Listing Regulations	Delay in submission of the notice of Record Date	Bombay Stock Exchange	Fines as per SEBI circular no. SEBI/HO/DDHS_Div 2/CIR/P/2021/699 dated December 29, 2021	Delay in submission of the notice of Record Date)	INR 23,600/- (inclusive of GST)	Delayed Compliance	The record date intimation for the ISIN INE139R08041 and INE139R08033 was made 11 days prior excluding the date of intimation and record date for payment of interest, though the working days were only 6 instead of 7. This 1 working day delay is inadvertently due to the
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									festive holidays. However the company has already applied for waive off of the same.	
5	The listed entity shall submit a certificate to the stock exchange within one working day of the interest or dividend or principal becoming due regarding status of payment in case of non-convertible securities	Regulations 57(1) of the SEBI Listing Regulations	Non-disclosure of information related to payment obligations)	Bombay Stock Exchange	Fines as per SEBI circular no. SEBI/HO/DDHS_Div 2/CIR/P/2021/699 dated December 29, 2021	(Non-disclosure of information related to payment obligations)	13,21,600/- The company is liable to pay fine amount as mentioned below calculated as on September 27, 2022. As per the provisions of the circular	Based representations from the Company, BSE confirmed that prima facie there is no non Compliance. However, the penalty amount can only be withdrawn post approval from the wavier committee of BSE. BSE also intimated that they would initiate the process for	The ISIN INE139R07407, for which penalty was imposed under Regulation 57(1) of the SEBI Listing Regulations in the month of March, 2021 got allotted and listed on March 18, 2021 and March 22, 2021 respectively.	

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							<p>the fines will continue to be computed further till the time of rectification of the non-compliance to the satisfaction of the Exchange</p>	<p>wavier of the said fines levied on the Company. However, no confirmation received for final waiver of the penalty by the Company as on the date of this report</p>	<p>Furthermore, the first interest payment date for aforesaid ISIN falls in the month of September, 2021 for which necessary disclosure under Regulation 57(1) of the SEBI Listing Regulations was made and acknowledgment no. for the same was 3193356.</p> <p>The detail of the interest payment schedule was mentioned on</p>
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									page. No. 111 of IM. Accordingly, there is no non-compliance and BSE has also acknowledged the Company representations.	
6	The listed entity shall give notice in advance of at least seven working days (excluding the date of intimation and the record date) to the recognised stock exchange(s) of the record date	Regulation 60(2) of the SEBI Listing Regulations	Delay in submission of the notice of Record Date	Bombay Stock Exchange	Fines as per SEBI circular no. SEBI/HO/DDHS/DDHS_Div1/P/CIR/2022/000000103 dated July	Delay in submission of the notice of Record Date	INR 11,800/- (inclusive of GST)	Delayed Compliance	The information related to record date as required to be disseminated under Regulation 60(2) was already submitted to BSE on	

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	or of as many days as the stock exchange(s) may agree to or require specifying the purpose of the record date.				29, 2022					21/03/2023 alongwith the Disclosure u/r 57(4) and the same was uploaded in pdf version on the Listing Portal under Regulation 57(4). However, while submitting the required disclosure u/r 60(2) on the BSE Portal on the same date i.e., 21/03/2023, there was technical error in the XBRL facility. Due to this reason the disclosure u/r 60(2)	
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									was submitted on 22/03/2023; however, information required u/r 60(2) was already submitted to BSE alongwith disclosure u/r 57(4) on 21/03/2023. However the company has already applied for waive off of the same.	
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(b) The listed entity has taken the following actions to comply with the observations made in previous reports: NA

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S. No.	Compliance Requirement s/ (Regulations/ circulars/ guidelines including specific clause)	Regulation / Circular No.	Deviations	Action taken by	Type of action	Details of violation	Fine amount	Observations/ remarks of the Practicing Company Secretary	Management response	Remarks
N.A.										

Assumptions & Limitation of scope and Review:

1. Compliance of the applicable laws and ensuring the authenticity of documents and information furnished, are the responsibilities of the management of the listed entity.
2. Our responsibility is to report based upon our examination of relevant documents and information. This is neither an audit nor an expression of opinion.
3. We have not verified the correctness and appropriateness of financial Records and Books of Accounts of the listed entity.

4. This Report is solely for the intended purpose of compliance in terms of Regulation 24A (2) of the SEBI (Listing Obligations and Disclosure Requirements) Regulations, 2015 and is neither an assurance as to

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the future viability of the listed entity nor of the efficacy or effectiveness with which the management has conducted the affairs of the listed entity.

**For Harish Popli & Associates
Company Secretaries**

HARISH
KUMAR

Digitally signed by HARISH KUMAR
Date: 2023.05.30 11:13:42 +05'30'

Harish Kumar

Proprietor

FCS: 11918, COP: 22475

Peer Review Certificate no. 1985/2022

Place: New Delhi

Date: May 30, 2023

UDIN: F011918E000412736

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