



# AuSom Enterprise Limited

Ref No: - AEL/SEC/STOCK/2021-22

Date: 28/06/2021

To,  
The Manager, DCS-CRD  
Corporate Relationship Department,  
BSE Limited,  
Phiroze Jeejeebhoy Tower,  
Dalal Street, Mumbai- 400 001

To,  
The Listing Department, 5<sup>th</sup> Floor,  
National Stock Exchange of India Limited,  
"Exchange Plaza",  
Bandra-Kurla Complex,  
Bandra (East), Mumbai-400 051.

SECURITY CODE: **509009** || SECURITY ID: **AUSOMENT** || ISIN: **INE218C01016** || SERIES: **EQ**

**Dear Sir/Madam,**

**Sub.:- Annual Secretarial Compliance Report for the year ended 31<sup>st</sup> March, 2021**

Pursuant to Regulation 24A of the SEBI (Listing Obligations and Disclosure Requirements) Regulations, 2015, read along with circular no. CIR/CFD/CMD1/27/2019 dated February 08, 2019. Please find enclosed the Annual Secretarial Compliance Report dated 28<sup>th</sup> June, 2021 of the Company issued by Shri Niraj Trivedi, Practicing Company Secretary for the financial year 2020-2021.

Kindly take the above on records.

Thanking you,

**For, AuSom Enterprise Limited**

**Ravikumar Pasi**  
Company Secretary &  
Compliance Officer



Encl: a/a

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C.G.Road, Ahmedabad-380 006. Phone : +91 79 2642 1422-1499  
Fax : +91 79 2656 9898 E-mail : [ausom.ael@gmail.com](mailto:ausom.ael@gmail.com) [www.ausom.in](http://www.ausom.in)

Registered Office : 11-B, New Ahmedabad Industrial Estate,  
Sarkhej-Bavla Road, Village - Moraiya - 382 213.  
Dist. Ahmedabad, Gujarat, INDIA • CIN : L67190GJ1984PLC006746

## **SECRETARIAL COMPLIANCE REPORT**

**OF**

**M/S. AUSOM ENTERPRISE LIMITED**

**(CIN: L67190GJ1984PLC006746)**

**FOR THE YEAR ENDED 31<sup>ST</sup> MARCH, 2021**

I, Niraj Trivedi, have examined:-

- (a) All the documents and records made available to us and explanation provided by **AUSOM ENTERPRISE LIMITED** ("The Listed Entity");
- (b) The filings / submissions made by the Listed Entity to the Stock Exchanges;
- (c) Website of the Listed Entity; and
- (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, 2021 (“Review Period”) in respect of compliance with the provisions of:-

1. The Securities and Exchange Board of India Act, 1992 (“SEBI Act”) and the Rules, Regulations, Circulars, Guidelines issued thereunder; and
2. The Securities Contracts (Regulation) Act, 1956 (“SCRA”), Rules made thereunder and the Regulations, Circulars and Guidelines issued thereunder by the Securities and Exchange Board of India (“SEBI”);

The specific Regulations, whose provisions and the Circulars / Guidelines issued thereunder, (Including any statutory modification(s) or re-enactment(s) thereof), 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 for review period;**
- (c) Securities and Exchange Board of India (Substantial Acquisition of Shares and Takeovers) Regulations, 2011;
- (d) Securities and Exchange Board of India (Buy-back of Securities) Regulations, 2018 – **Not Applicable for review period;**
- (e) Securities and Exchange Board of India (Share Based Employee Benefits) Regulations, 2014 – **Not Applicable for review period;**



- (f) Securities and Exchange Board of India (Issue and Listing of Debt Securities) Regulations, 2008 – **Not Applicable for review period;**
- (g) Securities and Exchange Board of India (Issue and Listing of Non-Convertible Redeemable Preference Shares) Regulations, 2013 – **Not Applicable for review period;**
- (h) Securities and Exchange Board of India (Prohibition of Insider Trading) Regulations, 2015;
- (i) Securities and Exchange Board of India (Depositories and Participants) Regulations, 2018;
- (j) other Regulations as applicable and Circulars / Guidelines issued thereunder;

The Listed Entity has complied with various Circulars / Guidelines including Clause 6 (A) and 6 (B) of SEBI Circular No.: CIR/CFD/CMD1/114/2019 dated 18<sup>th</sup> October, 2019, issued under above Regulations and based on the above examination and considering the relaxations granted by the Ministry of Corporate Affairs (MCA) and Securities and Exchange Board of India (SEBI) warranted due to the spread of the COVID – 19 pandemic, 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	Observation / Remarks of the Practicing Company Secretary
<b>Not Applicable</b>			

- (b) The Listed Entity has maintained proper records under the provisions of the above Regulations and Circulars / Guidelines issued thereunder in so far as it appears from my 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:-

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.
<b>Not Applicable</b>				



(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...	Actions taken by the Listed Entity, if any	Comments of the Practicing Company Secretary on the actions taken by the Listed Entity
1	Delayed submission of Compliance Certificate under Regulation 7 (3) of the SEBI (LODR), Regulations, 2015, for second half year ended on 31 <sup>st</sup> March, 2020 with National Stock Exchange of India Limited (NSE), only.	31 <sup>st</sup> March, 2020	The Listed Entity has submitted the same with NSE, on 15 <sup>th</sup> June, 2020.	The Listed Entity has submitted the same with Bombay Stock Exchange Limited (BSE) in time and delayed in submission with NSE, by 15 days due to inadvertent.

DATE : 28<sup>TH</sup> JUNE, 2021

PLACE : VADODARA



SIGNATURE :

NAME OF PCS :

C. P. NO. :

FCS :

P R. No. :

UDIN :

: NIRAJ TRIVEDI

: 3123

: 3844

: 1014/2020

: F003844C000525695