

SWAGTAM TRADING & SERVICES LIMITED

Regd. Office: R-489, GF-A, New Rajinder Nagar, New Delhi – 110060
Tel : 011-42475489 E-mail : swagtam1984@gmail.com Website : www.swagtam.com
CIN: L51909DL1984PLC289131

1) **BSE Ltd.**

Deputy Manager, Listing Compliance
25th Floor, P. J. Tower, Dalal Street
Fort, Mumbai – 400 001

20.10.2020

2) **Calcutta Stock Exchange Ltd.**

Manager, Listing Dept.
7, Lyons Range, Kolkata – 700 001

SUB : **QUARTER ENDED 30TH SEPTEMBER 2020**

Respected Sir / Madam,

We herewith submit & enclose the following **Quarterly Compliances** for the Quarter ended **30.09.2020**

- 1). RECONCILIATION OF SHARE CAPITAL AUDIT REPORT issued by PCS (Reg 76)
- 2). MCA – Company Master Data print-out
- 3). CORPORATE GOVERNANCE REPORT – regulation 27 of SEBI (LODR)
- 4). Disclosures under Regulation 13(3) of SEBI (LODR) Regulations 2011
INVESTORS' COMPLAINTS STATUS alongwith SCORES Report
- 5). Certificate u/r 7(3) of SEBI(LODR) Regulations, 2015 – issued by RTA: Alankit Assignments
- 6). Reg. 32 of SEBI (LODR) Regulations, 2015 i.e. (Statement of Deviation or Variation for proceeds of public issue, rights issue, preferential issue, QIP) is NOT APPLICABLE
Encl : Annexure-1
- 7). UNDERTAKING : This is to inform that website of the Company - www.swagtam.com is Active, Updated Regularly and Functional as per Reg. 46 of SEBI (LODR) Regulations, 2015.
- 8). PCS Certificate – Reg 40(9) for the Half-year period = 01.04.2020 – 30.09.2020
- 9). SHARE - HOLDING PATTERN as at 30.09.2020

Kindly advise if we have to submit any other information, papers, documents, etc
Kindly take it on record, do the needful & oblige.

Thanking You,

For **SWAGTAM TRADING AND SERVICES LIMITED**

For SWAGTAM TRADING & SERVICES LIMITED

SUMIT GUPTA

Director - DIN: 06911742

Director Auth Sign

ENCL: AS ABOVE

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Annexure-1

20.10.2020

SUB : Non-applicability Declaration of Reg. 32 of SEBI (LODR) Regulations, 2015 (Statement of Deviation or Variation for proceeds of public issue, rights issue, preferential issue, QIP)

Dear Sir/Madarn,

Pursuant to the Regulation 32 of the Securities and Exchange Board of India (Listing Obligations and Disclosure Requirements) Regulations, 2015, the Company hereby confirms, that there has been no deviation(s) or variation(s) in the use of the public issue proceeds raised from the Initial Public Offer (IPO).

We further confirm that during the last 3 Financial Years, there is No Change in Share Capital:

- o Buy Back of Securities : Company has not bought back any of its securities.
- o Sweat Equity Shares : Company has not issued any Sweat Equity Shares.
- o Bonus Shares : No Bonus Shares were issued during the year.
- o Public Issue, Rights Issue, Preferential Issue, QIP, Preference Shares/ Debentures :
Company has not issued any Public Issue, Rights Issue,
Preferential Issue, QIP, Preference Shares/ Debentures, etc.
- o Employees Stock Option Plan : Company has not provided any Stock Option Scheme.


Hence, the Reg. 32 of SEBI (LODR) Regulations, 2015 i.e. (Statement of Deviation or Variation for proceeds of public issue, rights issue, preferential issue, QIP) is NOT APPLICABLE to the Company.

We request you to kindly take note of this information on your record and acknowledge.

Kindly advise if we have to submit any other information, papers, documents, etc
Kindly take it on record, do the needful & oblige.

For **SWAGTAM TRADING AND SERVICES LIMITED**

F or SWAGTAM TRADING & SERVICES LIMITED


SUMIT GUPTA
Director - DIN: 06911742

Director/Auth. Sign