

24/05/2022

To,

**Department of Corporate Relationship  
BSE Ltd.**  
Phiroze Jeejeebhoy Towers,  
Dalal Street, Fort, Mumbai – 400 001.  
Scrip Code: 539177

**The Calcutta Stock Exchange Limited**  
7, Lyons Range, Murgighata, Dalhousie,  
Kolkata, West Bengal - 700 001.  
Scrip Code: 011262

**Sub: Submission of Annual Secretarial Compliance Report for the year ended 31<sup>st</sup> March, 2022**

Dear Sirs / Madam,

Pursuant to Regulation 24A of the SEBI (Listing Obligations and Disclosure Requirements) Regulations, 2015 read alongwith SEBI Circular No. CIR/CFD/CMD1/27/2019 dated 8<sup>th</sup> February, 2019, please find enclosed a copy of Annual Secretarial Compliance Report for the Financial Year 2021-22 issued by our Secretarial Auditor, M/s. Mayank Arora & Co, Practicing Company Secretaries.

We request you to take the Annual Secretarial Compliance Report on record and acknowledge the receipt of the same.

Yours faithfully

For **Authum Investment & Infrastructure Limited**



**Amit Dangi**  
**Whole Time Director & CFO**  
**DIN: 06527044**



Encl: As above.

# MAYANK ARORA & Co.

## COMPANY SECRETARIES

### Secretarial Compliance Report of Authum Investment & Infrastructure Limited For the Financial Year ended March 31, 2022

I, Mayank Arora, Practicing Company Secretary, proprietor of M/s. Mayank Arora & Co., Company Secretaries have examined:

- (a) all the documents and records made available to us and explanation provided by **Authum Investment & Infrastructure 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 March 31, 2022 ("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;
  - (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 - **not applicable to the Company during the period under review**;
  - (e) Securities and Exchange Board of India (Share Based Employee Benefits) Regulations, 2014- **not applicable to the Company during the period under review**;
  - (f) Securities and Exchange Board of India (Issue and Listing of Debt Securities) Regulations, 2008- **not applicable to the Company during the period under review**;
  - (g) Securities and Exchange Board of India (Issue and Listing of Non-Convertible and Redeemable Preference Shares) Regulations, 2013- **not applicable to the Company during the period under review**;
  - (h) Securities and Exchange Board of India (Prohibition of Insider Trading) Regulations, 2015;
  - (i) Securities and Exchange Board of India (Depositories and Participants) Regulations, 1996 and Securities and Exchange Board of India (Depositories and Participants) Regulations, 2018;
- And circulars/ guidelines issued thereunder;

- (a) The listed entity has complied with the provisions of the above Regulations and circulars/guidelines issued hereunder: -
- (b) The listed entity has maintained proper records under the provisions of the above Regulations and circulars/guidelines issued thereunder insofar as it appears from my/our examination of those records.
- (c) Action 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 : - NIL
- (d) 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: NIL
- (e) The reporting of actions by the listed entity to comply with the observations made in previous reports does not arise during the Review Period:- NIL
- (f) Further I report that BSE has sought clarification from the Company on 23<sup>rd</sup> March, 2022 on the price movement of the Company's securities. In this regard, the Company has given justified explanation vide its letter dated 28<sup>th</sup> March, 2022.

**For Mayank Arora & Co.  
Company Secretaries**

**Mayank Arora**  
**Proprietor**  
**C.P. No. 13609**  
**PR No. 679/2020**