

24/05/2021

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 31st March, 2021

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 8th February, 2019, please find enclosed a copy of Annual Secretarial Compliance Report for the Financial Year 2020-21 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.

Secretarial Compliance Report of Authum Investment & Infrastructure Limited For the Financial Year ended March 31, 2021

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, 2021 ("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;

and based on the above examination, I/We hereby report that, during the Review Period:

- (a) The listed entity has generally complied with the provisions of the above Regulations and circulars/ guidelines issued thereunder.
- (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,

Sr. No.	Observations of the Practicing Company Secretary in the previous reports	Observations made in the secretarial compliance report for the year ended 31.03.2020	Actions taken by the listed entity, if any	Comments of the Practicing Company Secretary on the actions taken by the listed entity
1.	<p>The Company submitted its Annual Report for FY 2018-19, which was not in the prescribed time limit.</p> <p>With reference to SEBI Circular no. SEBI/HO/CFD/CMD/CIR /P/2018/77 dated May 3, 2018, the Company was levied penalty of Rs. 28,320/- for Non-submission of the Annual Report within the period prescribed under the said regulation by the BSE Ltd.</p>	<p>After considering the submission made by the company and similar requests received from other companies, the stock exchange vide its email dated 7th January, 2020, withdrew the fine amount of Rs. 28320/- levied for non-compliance with Regulation 34 of SEBI (LODR) Regulations, 2015 for year ended March 31, 2019.</p>	<p>The company paid penalty amount of Rs. 28320/- to the BSE Ltd. on 22nd October, 2019.</p>	<p>The Company has complied with the said Compliance in the reporting Financial year.</p>

2.	As per provisions of Section 203(1) of the Companies Act, 2013, every listed company is required to appoint CFO (Chief Financial Officer) as a Key Managerial Personnel.	The Company has appointed Mr. Vivek Mishra as Chief Financial Officer on 13 th June, 2019.	The Company has appointed Chief Financial Officer	The Company has complied with the said Compliance in the reporting Financial year.
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(f) Further I report that BSE has raised query via Email dated 20th July, 2020 for Non submission of Reconciliation table for Equity along with the financial Statement for quarter and year ended 31st March, 2020. In this regard, the Company has given justified explanation vide its letter dated 23rd July, 2020.

(g) Further I report that BSE has sought clarification from the Company on 29th May, 2020 on the price movement of the Company's securities. In this regard, the Company has given justified explanation vide its letter dated 5th June, 2020.

Date: 24/05/2021

Place: Mumbai

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

MAYANK

ARORA

Mayank Arora

Proprietor

C.P. No. 13609

Digitally signed by MAYANK ARORA
DN: cn=Mayank Arora, postalCode=400002,
st=MAHARASHTRA,
serialNumber=4501760a839e73c388a
66a39320b2803c577d873214c38649449
c=IN, o=Mayank Arora
Date: 2021.05.24 19:14:23 +05'30'

UDIN No. : F010378C000363984

Note: The COVID-19 outbreak was declared as a global pandemic by the World Health Organization. The State Government and Central Government announced a strict lockdown which was further extended due to the spread of the virus. Hence, due to COVID19 pandemic impact, the compliance documents for the review period were obtained through electronic mode and verified with requirements.