



SHREE SECURITIES LIMITED

Registered Office : 3, Synagogue Street, 3rd Floor,
Room No. 18G, Kolkata - 700 001, (W.B.) INDIA

Phone : + 91 33 2231 3366 / 3367

E-mail : ssl_1994@yahoo.co.in

www.shresecindia.com

CIN : L65929WB1994PLC061930

To,
BSE Limited,
Department of Corporate Filings,
Phiroze Jeejeebhoy Towers, Dalal Street,
Mumbai – 400 001

Date: 29.06.2021

Sub: Secretarial Compliance Report for the year ended 31st March, 2021.

Ref: Shree Securities Limited (Scrip Code: 538975)

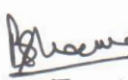
Dear Sir/Madam,

In terms of clause 3(b)(iii) of the SEBI Circular No. CIR/CFD/CMD1/27/2019 dated 8th February, 2019, please find enclosed herewith the Annual Secretarial Compliance Report of the Company for the year ended 31st March, 2021.

Kindly take the same on record and acknowledge the receipt of the same.

Thanking You.

Yours Faithfully,
For SHREE SECURITIES LTD


Basant Kumar Sharma
Managing Director
DIN: 00084604



C.C. To: The Calcutta Stock Exchange Limited

Encl: as above



Secretarial Compliance Report of M/s Shree Securities Limited for the year ended 31.03.2021:

I, Aditya Kumar Daga have examined:

- (a) all the documents and records made available to us and explanation provided by **M/s Shree Securities Ltd. (L65929WB1994PLC061930)** ("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 31.03.2021 ("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; **(Not applicable to the Company during the Audit Period)**
- (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 Audit Period)**
- (e) Securities and Exchange Board of India (Share Based Employee Benefits) Regulations, 2014; **(Not applicable to the Company during the Audit Period)**
- (f) Securities and Exchange Board of India (Issue and Listing of Debt Securities) Regulations, 2008; **(Not applicable to the Company during the Audit Period)**
- (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 Audit Period)**



(h) Securities and Exchange Board of India (Prohibition of Insider Trading) Regulations, 2015;

(i) Securities and exchange Board of India (Depository and Participants) Regulations, 2018;

and based on the above examination, 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 Requirements (Regulations/Circulars/guidelines including specific clauses) | Deviations | Observations/Remarks of the Practicing Company Secretary |
|-------|---|------------|--|
| Nil | Nil | Nil | Nil |

(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) 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 SEBI | Details of Violation | Details of action taken e.g. fines, warning letter, debarment, etc | Observations/ remarks of the practicing Company Secretary, if any |
|-------|----------------------|----------------------|--|---|
| Nil | Nil | Nil | Nil | Nil |

The listed entity has taken the following actions to comply with the observations made in previous report:

| 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 Company, if any | Comments of the Practicing Company secretary on the actions taken by the listed entity |
|-------|--|--|--------------------------------------|--|
| 1. | Nil | Nil | Nil | Nil |



Date : June 29, 2021

Place : Kolkata



Aditya Kumar Daga

Company Secretary in practice

Mem. No. : F10573

CP No. : 14266

UDIN : F010573C000534635