

May 13, 2019

To,  
The Secretary  
**BSE LIMITED**  
P J Towers, Dalal Street,  
Mumbai - 400 001

**Scrip Code: 531359**

Dear Sir/Madam,

**Sub: Annual Secretarial Compliance Report of the Company for the year ended March 31, 2019**

**Ref: SEBI circular CIR/CFD/CMD1/27/2019 dated February 8, 2019**

In terms of Clause 3(b)(iii) of the SEBI Circular No. CIR/CFD/CMDI/27/2019 dated February 08, 2019 please find enclosed 'Annual Secretarial Compliance Report' of the Company for the year ended March 31, 2019.

You are requested to take the above information on record.

Thanking You,

Yours faithfully,  
**for SHRIRAM ASSET MANAGEMENT COMPANY LIMITED**

*Reena Yadav*

**REENA YADAV**  
**COMPANY SECRETARY**

**Shriram Asset Management Company Limited**

SEBI Registration No. MF/017/94/4, CIN : L65991MH1994PLC079874

Mumbai Office : 208, Shiv Chambers, 'B' Wing, 2nd Floor, Sector 11, C. B. D. Belapur, Navi Mumbai-400 614

Phone : +91-22-27579301/7556, Fax : +91-22-27566634

Regd. Office : Wockhardt Towers, 2nd Floor, East Wing, C-2, G Block, Bandra Kurla Complex, Bandra (East), Mumbai-400 051

Admin. Head Office : CK-6, 2nd Floor, Sector-II, Salt Lake City, Kolkata-700 091, Phone : +91-33-23373012, Fax : +91-33-23373014

Email : srmf@shriramamc.com, Website : www.shriramamc.com



**Secretarial Compliance Report**  
**Shriram Asset Management Company Limited**  
**For the year ended March 31, 2019**

We, S G and Associates, Practicing Company Secretary have examined:

- (a) All the documents and records made available and explanation provided by **Shriram Asset Management company Limited** ("the listed entity"),
- (b) All the filings/ submissions made by the Listed entity to the Stock Exchanges,
- (c) Website of the listed entity,
- (d) All other documents/ filings, as may be relevant, which has been relied upon to make this certification,

For the Financial Year ended March 31, 2019 ("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
- (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.**
- (e) Securities and Exchange Board of India (Share Based Employee Benefits) Regulations, 2014;- **Not Applicable.**
- (f) Securities and Exchange Board of India (Issue and Listing of Debt Securities) Regulations, 2008; - **Not Applicable.**
- (g) Securities and Exchange Board of India (Issue and Listing of Non-Convertible and Redeemable Preference Shares) Regulations,2013; **Not Applicable**
- (h) Securities and Exchange Board of India (Prohibition of Insider Trading) Regulations, 2015;
- (i) The Securities and Exchange Board of India (Employee Stock Option Scheme and Employee Stock Purchase Scheme) Guidelines, 1999; - **Not Applicable.**
- (j) The Securities and Exchange Board of India (Registrars to an Issue and Share Transfer Agents) Regulations, 1993.
- (k) The Securities and Exchange Board of India (Delisting of Equity Shares) Regulations, 2009.- **Not Applicable.**
- (l) The Securities and Exchange Board of India (Mutual Funds) Regulations, 1996.

Based on the above examination, I hereby report that, during the Review Period:

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	Observations/ Remarks of the Practicing Company Secretary
1.	NIL	NIL	NIL





# SG & ASSOCIATES

Company Secretaries

9820057999 / 9819757999

E-mail : suhas62@yahoo.com

E-mail : sg.sgfirm@gmail.com

Room No.1, 1st Floor, New Vora House,  
Gram Panchayat Road, Above Kajal  
Jewellers, Goregaon (West), Mumbai - 62.

(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 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.
1	NIL	NIL	NIL	NIL

(d) The listed entity has taken the following actions to comply with the observations made in previous reports: Not Applicable

Sr. No.	Observations of the Practicing Company Secretary in the previous reports	Observations made in the secretarial compliance report for the year ended 31.03.2018	Actions taken by the listed entity, if any	Comments of the Practicing Company Secretary on the actions taken by the listed entity
1	NIL	NIL	NIL	NIL

For SG & Associates

Place: Mumbai

Date: 06.05.2019



Suhas Ganpule  
Proprietor

Practicing Company Secretaries  
Membership No: 12122

C.P. No: 5722