

May 18, 2022

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, 2022.

Ref: Regulation 24A read with SEBI circular CIR/CFD/CMD1/27/2019 dated February 8, 2019.

In terms of Regulation 24A read with SEBI Circular No. CIR/CFD/CMD1/27/2019 dated February 08, 2019 please find enclosed 'Annual Secretarial Compliance Report' of the Company for the year ended March 31, 2022.

You are requested to take the above information on record.

Thanking You,

Yours faithfully,

For SHRIRAM ASSET MANAGEMENT COMPANY LIMITED



REENA YADAV
COMPANY SECRETARY

Encl: a/a

Shriram Asset Management Company Limited

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

Mumbai Office : 515, Shiv Chambers, 'A' Wing, 5th Floor, Sector 11, C. B. D. Belapur, Navi Mumbai - 400 614

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

Regd. Office : 217, 2nd Floor, Swastik Chambers, Near Junction of S.T. & C.S.T. Road, Chembur, Mumbai - 400 071, Phone : +91-22-40060810/15

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.in, Website : www.shriramamc.in



Secretarial Compliance Report
Shriram Asset Management Company Limited
For the year ended March 31, 2022

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, 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 there under; and
- (b) The Securities Contracts (Regulation) Act, 1956 ("SCRA"), rules made there under and the Regulations, circulars, guidelines issued there under by Securities and Exchange Board of India ("SEBI");

The specific Regulations, whose provisions and the circulars/ guidelines issued there under, 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.**
- (e) Securities and Exchange Board of India (Share Based Employee Benefits and Sweat Equity) Regulations, 2021;
- (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 (Registrars to an Issue and Share Transfer Agents) Regulations, 1993; **Not Applicable.**
- (j) The Securities and Exchange Board of India (Delisting of Equity Shares) Regulations, 2009 - **Not Applicable.**
- (k) The Securities and Exchange Board of India (Mutual Funds) Regulations, 1996.
- (l) Securities and Exchange Board of India (Issue and Listing of Non-Convertible Securities) Regulations, 2021 **Not Applicable.**

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 there under, 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 |

(b) The listed entity has maintained proper records under the provisions of the above Regulations and circulars/ guidelines issued there under 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 there under:

| 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 31.03.2021 | 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
Practicing Company Secretaries

Place: Mumbai
Date: 6th May 2022

SG & ASSOCIATES
COMPANY SECRETARIES

SUHAS S. GANPULE
PROPRIETOR
C.P. NO. 5722

Suhas Ganpule
Proprietor

Membership No: A12122

C. P. No: 5722

UDIN: A012122D000279620

