



Secretarial compliance report of **CHARTERED CAPITAL INVESTMENT LIMITED** for  
the year ended March 31, 2021

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I, Nahidakhtar Vhora, Company Secretary in whole time practice have examined:

- A. all the documents and records made available to us and explanation provided by **CHARTERED CAPITAL INVESTMENT LIMITED** (CIN:L45201GJ1986PLC008577) ("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 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 the Securities and Exchange Board of India ("SEBI");

The specific Regulations, whose provisions and the circulars / guidelines issued there under, to the extent applicable to the Company, 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;
- e) Securities and Exchange Board of India (Share Based Employee Benefits) Regulations, 2014;
- f) Securities and Exchange Board of India (Issue and Listing of Debt Securities) Regulations, 2008;
- g) Securities and Exchange Board of India (Issue and Listing of Non-Convertible and Redeemable Preference Shares) Regulations, 2013;
- h) Securities and Exchange Board of India (Prohibition of Insider Trading) Regulations, 2015;
- i) SEBI (Merchant Bankers) Regulations, 1992.
- j) SEBI (Intermediaries) Regulations, 2008.

And circulars/ guidelines issued there under; and based on the above examination, I/We 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 (Regulation / Circular / Guidelines Including Specific Clause)	Deviations	Observation / Remarks of Practicing Company Secretary
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/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 Guidance Note on Annual Secretarial 14 Compliance Report 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.	Observation / Remarks of Practicing Company Secretary
Nil				

- d) The listed entity has taken the following actions to comply with the observations made in previous reports:

Sr. No.	Observation of the Practicing Company Secretary in the previous report	Observation made in the Secretarial compliance report for the year ended March 31, 2020	Action taken by listed entity, if any	Comments of Practicing Company Secretary on the action taken by listed entity
NA				

Place: Prantij  
Date: June 10, 2021

for Nahidakhtar Vhora & Co.  
Company Secretaries

  
Nahidakhtar A. Vhora  
(Proprietor)  
M.No. 35492  
CP. No.: 13187  
UDIN: A035492C000440875

