

# SARVOTTAM FINVEST LIMITED

Regd. Office : 3, Bentinck Street, 2nd Floor, Kolkata-700 001  
Ph. : (033) 6536 6663, Fax : (033) 2210 0875, e-mail : sarvottamfinvest@gmail.com  
CIN - L65993WB1978PLC031793 Website : www.sarvottamfinvest.in

Date: 30.05.2019

To The Secretary The Calcutta Stock Exchange Ltd. 7, Lyons Range Kolkata – 700 001  Scrip Code: 10012144 ISIN No: INE822Q01015	To, BSE Corporate Compliance & Listing Centre BSE Ltd. P. J. Towers, Dalal Street, Mumbai – 400001  Scrip Code: 539124 ISIN No: INE822Q01015
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**Sub: Annual Secretarial Compliance Report for the year ended on 31st March, 2019  
under Regulation 24A of the SEBI (Listing Obligations and Disclosure  
Requirements) Regulations, 2015**

Dear Sir/Madam,

Pursuant to Regulation 24A of the Listing Regulations read with SEBI Circular No. CIR/CFD/CMD1/27/2019 dated February 8, 2019, we enclose herewith copy of Annual Secretarial Compliance Report dated 30th May, 2019 issued by Agarwal Priti & Associates, Practicing Company Secretary, for the year ended on 31st March, 2019.

Kindly, take the same on the record

Thanking You,

Yours faithfully,  
For Sarvottam Finvest Limited



Dilip Kumar Gupta  
(Managing Director)





## Agarwal Priti & Associates

Practising Company Secretary

24, N.S. Road, 4<sup>th</sup> Floor, Kolkata – 700 001.

Ph: 9830710776, Email: [pritiagarwala@gmail.com](mailto:pritiagarwala@gmail.com)

### Secretarial Compliance Report of **Sarvottam Finvest Limited** for the year ended 31.03.2019

I, CS Priti Agarwal, have examined:

- (a) All the documents and records made available to me and explanation provided by **Sarvottam Finvest 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 documents/filing, as may be relevant, which has been relied upon to make this certification, for the year ended 31.03.2019 ("Review Period") in respect of compliances with the Provisions of:
  - (i) The Securities and Exchange Board of India Act, 1992 ("SEBI Act") and the Regulations, Circulars, guidelines issued thereunder; and
  - (ii) 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 Obligation and Disclosure Requirements) Regulations, 2015;
- (b) Securities and Exchange Board of India (Issue of Capital and Disclosure Requirements) Regulations, 2018; [ **Not Applicable during the review 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 during the review period** ]
- (e) Securities and Exchange Board of India (Share Based Employee Benefits) Regulations, 2014; [ **Not Applicable during the review period** ]
- (f) Securities and Exchange Board of India (Issue and Listing of Debt Securities) Regulations, 2008; [ **Not Applicable during the review period** ]
- (g) Securities and Exchange Board of India (Issue and Listing of Non Convertible and Redeemable Preference Shares) Regulations, 2013; [ **Not Applicable during the review period** ]
- (h) Securities and Exchange Board of India (Prohibition of Insider Trading) Regulations, 2015;







## Agarwal Priti & Associates

Practising Company Secretary

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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 Requirement (Regulations/circulars/guidelines including specific clause)	Deviations	Observations/Remarks of the Practicing Company Secretary
N.A.	N.A.	N.A.	N.A.

- (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.
N.A.	N.A.	N.A.	N.A.	N.A.

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

Sr. No.	Observations of the Practicing Company in the previous reports	Observations made in the secretarial compliance report for the year ended 31.03.2019 (The years are to be mentioned)	Action taken by the listed entity, if any	Comments of the Practicing Company Secretary on the actions taken by the listed entity
N.A.	N.A.	N.A.	N.A.	N.A.



Place: Kolkata

Date: 30.05.2019



For Agarwal Priti & Associates

Kolkata

Proprietor

Practicing Company Secretary

C.P. No. 9937