



April Month Compliances as per the Companies Act, 2013, SEBI (LODR) Regulations, 2015, SEBI (Prohibition of Insider Trading) Regulations, 2015 and SEBI (Depositories and Participants) Regulations, 2018

# Compliances as per the Companies Act, 2013

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## MSME Form 1 (outstanding payments to MSME's)

All specified companies should file a half-yearly return with the registrar for outstanding payments to Micro, Small and Medium Enterprises.

Due Date: 30<sup>th</sup> April, 2023  
(For the period from October to March)

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## Disclosure Of Interest by Director

Every director must give his/ her Disclosure of interest to the company in form MBP-1 as prescribed under the Companies Act, 2013. This is a disclosure by the directors of his interest in other entities.

Disclosure of Interest to be taken from all the directors and the same to be taken on record in the first Board meeting of the financial year.





## Disclosure of Non- Disqualification by Directors

Every Director of the Company to submit the annual disclosure of non-disqualification in form DIR-8. It is declaration that Director was not disqualified to act as Director during the previous year.

Disclosure of non-disqualification to be taken from all the directors and the same to be taken on record in the first Board meeting of the financial year.

# **Compliances as per the SEBI (LODR) Regulations, 2015**

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**Regulation 7 (3) – Compliance Certificate certifying maintaining physical & electronic transfer facility.**

The listed entity shall submit a compliance certificate to the exchange, duly signed by both that is by the compliance officer of the listed entity and the authorized representative of the share transfer agent, wherever applicable, certifying maintaining physical & electronic transfer facility either in house or RTA as applicable.

**Due Date: within 30 days from the end of the financial year.**

**Regulation 13 (3) - Statement of Investor complaints.**

The listed entity shall file with the recognised stock exchange(s) on a quarterly basis, a statement giving the number of investor complaints pending at the beginning of the quarter, those received during the quarter, disposed of during the quarter and those remaining unresolved at the end of the quarter.

**Due Date: within 21days from the end of each quarter.**

**Regulation 14 - Payment of listing fees & Other charges.**

The listed entity shall pay all such fees or charges, as applicable, to the recognised stock exchange(s).

**Due Date: Within 1 month of end of the financial year.**

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**Regulation 27 (2) - Corporate Governance.**

The listed entity shall submit a quarterly compliance report on corporate governance.

**Due Date: within 21 days from the end of each quarter.**

**Regulation 31 - Shareholding Pattern.**

The listed entity shall submit to the stock exchange(s) a statement showing holding of securities and shareholding pattern separately for each class of securities, in the format specified by the Board from time to time.

**Due Date: within 21 days from the end of each quarter.**

**Regulation 40 (9) – Certificate from Practicing Company Secretary.**

The listed entity shall ensure that the share transfer agent and/or the in-house share transfer facility, as the case may be, produces a certificate from a practicing company secretary, certifying that all certificates have been issued within thirty days of the date of lodgement for transfer, sub-division, consolidation, renewal, exchange or endorsement of calls/allotment monies.

**Due Date: Within 30 days from the end of the financial year.**

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# **Compliances as per the SEBI (Prohibition of Insider Trading) Regulations, 2015**

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**Regulation 3(5) and 3(6) of Securities and Exchange Board of India (Prohibition of Insider Trading) Regulations, 2015:**

The quarterly compliance certificate to be certified either by the Compliance Officer or a Practising Company Secretary (PCS) to certify that the Company has maintained a Structured Digital Database (SDD) pursuant to provisions of Regulation 3(5) and 3(6) of Securities and Exchange Board of India (Prohibition of Insider Trading) Regulations, 2015

**Due Date: within 21 days from the end of each quarter.**

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# **Compliances as per the SEBI (Depositories and Participants) Regulations, 2018**

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### **Regulation 76 - Reconciliation of Share Capital Audit**

Every issuer shall submit audit report on a quarterly basis to the stock exchanges audited by a qualified Chartered Accountant or a practicing Company Secretary, for the purposes of reconciliation of the total issued capital, listed capital and capital held by depositories in dematerialized form, the details of changes in share capital during the quarter and the in-principle approval obtained by the issuer from all the stock exchanges where it is listed in respect of such further issued capital

**Due Date: within 30 days from the end of each quarter.**

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**THANK  
YOU!**