

**ANNUAL SECRETARIAL
COMPLIANCE REPORT
OF
GANGA FORGING LIMITED**

FOR THE FINANCIAL YEAR ENDED ON 31ST MARCH, 2022

MJP ASSOCIATES
PRACTISING COMPANY SECRETARIES



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Mere talent is not enough, success also demands determination, direction, dedication, concentration and discipline

**Secretarial Compliance Report of Ganga Forging Limited [CIN: L28910GJ1988PLC011694]
for the year ended on 31st March, 2022**

We have examined:

- all the documents and records made available to us and explanation provided by Ganga Forging Limited ("the listed Entity").
- the filings/ submissions made by the listed entity to the National Stock Exchange of India Limited,
- website of the listed entity,
- any other documents/filings, as may be relevant, which has been relied upon to make this certification.

For the year ended on **31st March, 2022** ("Review Period") in respect of compliance with the provisions of :

- the Securities and Exchange Board of India Act, 1992 ("SEBI Act") and the Regulations, Circulars, guidelines issued thereunder; and
- The Securities Contracts (Regulations) 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:-

- Securities and Exchange Board of India (Listing Obligations and Disclosures Requirements) Regulations, 2015;
- Securities and Exchange Board of India (Issue of Capital and disclosure Requirements) Regulations, 2018;
- Securities and Exchange Board of India (Substantial Acquisition of Shares and Takeovers) Regulations, 2011;
- Securities and Exchange Board of India (Buyback of Securities) Regulations, 2018;
- Securities and Exchange Board of India (Share Based Employees Benefits) Regulations, 2014;(Not applicable to the Company during the Review Period) ;
- Securities and Exchange Board of India (Issue and Listing of Debt Securities) Regulations, 2008;(Not applicable to the Company during the Review Period) ;
- Securities and Exchange Board of India (Issue and Listing of Non-Convertible and Redeemable Preference Shares) Regulations, 2013 (Not applicable to the Company during the Review Period) ;
- Securities and Exchange Board of India (Prohibition of Insider Trading) Regulations, 2015;



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and circulars/Guidelines issued thereunder and based on the above examination, 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 thereunder.
- b) The Listed entity has maintained proper records under the provision of the above Regulations and circulars /guidelines issued thereunder insofar as it appears from my /our examination of those records.
- c) No action has been 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
- d) The listed entity has taken the following actions to comply with the observations made in previous reports :

(d1) It was observed that shareholding pattern under Regulation 31 for the quarter ended 31st March, 2020 was filed with Stock Exchange after due date (i.e delayed by One Day)

(d2) It was observed that the Company had submitted Report under Regulation 13(3) for the quarter ended March 31, 2020 after its due date (i.e. Delayed by One Day).


(d3) The Company was in default in appointment of Company Secretary & Compliance Officer under Regulation 6(1) for period 138 days.

The Company had paid Fine of Rs. 1,66,380/- to the National Stock Exchange of India Limited, for non-compliance of aforesaid Regulations of SEBI LODR, 2015

Place: Rajkot

Date : 28.05.2022

For, **MJP Associates**
Practising Company Secretaries
Firm Registration no. P2001G1007900


(CS Purvi Dave)
Partner

ACS No. 27373 CP 10462
Peer Review : 1780/2022
UDIN: A027373D000420361

