

# SUPERTEX INDUSTRIES LIMITED

An ISO 9001:2015 Certified Company

HEAD OFFICE : BALKRISHNA KRUPA, 2ND FLOOR,  
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CIN.: L99999DN1986PLC000046



SIL: 2019-20: 0614

May 30, 2019

Department of Corporate Services  
Bombay Stock Exchange Limited  
1<sup>st</sup> Floor, P.J. Towers,  
Dalal Street, Fort,  
Mumbai - 400001

Scrip Code: 526133

Dear Sir,

**Sub: Annual Secretarial Compliance Report**

Dear Sir/Madam,

Pursuant to Regulation 24A of SEBI (Listing Obligations and Disclosure Requirements) Regulations, 2015 read with\*SEBI Circular No. CIR/CFD/CMD1/27/2019 dated February 8, 2019, please find enclosed herewith the Annual Secretarial Compliance Report for the financial year ended March 31, 2019. This is for your information and record.

Kindly take the above on record and do the needful.

Thanking you,

Yours faithfully,

For SUPERTEX INDUSTRIES LIMITED

  


**S K MISHRA**  
**DIRECTOR & CFO**



# VIKAS R. CHOMAL & ASSOCIATES

## COMPANY SECRETARIES

Secretarial compliance report of Supertex Industries Limited for the year ended March 31, 2019

I, Vikas R. Chomal, Practicing Company Secretary, have examined:

- (a) All the documents and records made available to me and explanation provided by Supertex Industries 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 document/ filing, as may be relevant, which has been relied upon to make this certification,

for the year ended March 31, 2019 ("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 thereunder; and
- (b) 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 Obligations and Disclosure Requirements) Regulations, 2015;
- (b) Securities and Exchange Board of India (Issue of Capital and Disclosure Requirements) Regulations, 2018: *Not applicable to the Company during the Audit period;*
- (c) Securities and Exchange Board of India (Substantial Acquisition of Shares and Takeovers) Regulations, 2011: *Not applicable to the Company during the Audit period;*



- (d) Securities and Exchange Board of India (Buyback of Securities) Regulations, 2018: *Not applicable to the Company during the Audit period;*
- (e) Securities and Exchange Board of India (Share Based Employee Benefits) Regulations, 2014: *Not applicable to the Company during the Audit period;*
- (f) Securities and Exchange Board of India (Issue and Listing of Debt Securities) Regulations, 2008: *Not applicable to the Company during the Audit period;*
- (g) 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 Audit period;*
- (h) Securities and Exchange Board of India (Prohibition of Insider Trading) Regulations, 2015;
- (i) SEBI (Depositories and Participants) Regulation, 1996

and circulars/ guidelines issued thereunder;

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 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.	As per SEBI's circular no. CIR/ISD/3/2011 dated 17 <sup>th</sup> June 2011 and as per Regulation 31 of SEBI (LODR) Regulation, 2015 100% of Promoter and Promoter Groups shareholding should be dematerialized.	The Promoters Shareholding of the Company is not 100% held in dematerialized form.	180 Shares of a promoter Mr. Ajay Mishra are in physical form. Since he lost his original share certificates of 180 shares.

- (b) The listed entity has maintained proper records under the provisions of the above Regulations and circulars/guidelines issued thereunder in so far 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.
NIL				

(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 Secretary in the previous reports	Observations made in the secretarial compliance report for the year ended... (The years are to be mentioned)	Actions taken by the listed entity, if any	Comments of the Practicing Company Secretary on the actions taken by the listed entity
Not Applicable				

Date: May 30, 2019

Place: Mumbai

For VikasR. Chomal & Associates  
Company Secretaries

Vikas Chomal

Proprietor

Membership No: A24941

CP No: 12133

