



**SHIV AUM STEELS**  
LIMITED

Date: 15.10.2020

To,  
The Manager,  
Listing Department,  
The National Stock Exchange of India Ltd,  
'Exchange Plaza', C-1 Block 'G',  
Bandra Kurla Complex, Bandra (E ),  
Mumbai -400051

**Subject: Compliance Certificate under Regulation 40(9) of SEBI (Listing Obligations and Disclosure Requirements) Regulations, 2015 for the half year ended 30<sup>th</sup> September, 2020**

**Ref: Symbol – SHIVAUM**

Dear Sir/Madam,

We are enclosing herewith the Compliance Certificate as required under Regulation 40(9) of SEBI (Listing Obligations and Disclosure Requirements) Regulations, 2015 for the half year ended 30<sup>th</sup> September, 2020 duly issued by Sandeep Dubey & Associates, Company Secretaries, Mumbai.

You are requested to kindly take the above on record and oblige.

Thanking You,  
Yours faithfully,

For SHIV AUM STEELS LIMITED,

**RISHABH J MEHTA**  
**WHOLE-TIME DIRECTOR**  
**DIN: 03024717**





# SANDEEP DUBEY & ASSOCIATES

(PRACTICING COMPANY SECRETARIES)

Office Address: Unite No. 525, The Summit - Business Bay, Behind Gurunanak Petrol Pump, Near W.E.H Metro & Cinemax, Andheri East, Mumbai - 400069.

MOB. NO. 98201513552 / 9819992728 Email: [cs.sandeepdubey@gmail.com](mailto:cs.sandeepdubey@gmail.com)

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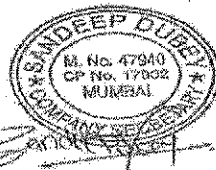
**COMPLIANCE CERTIFICATE UNDER REGULATION 40(9) OF THE SEBI (LISTING OBLIGATION AND DISCLOSURE REQUIREMENTS) REGULATIONS, 2015**

**FOR THE HALF YEAR ENDED SEPTEMBER 30, 2020.**

We have examined the Share Transfer Deeds, Memorandum of Transfers, Registers, files and other documents relating to M/s. Shiv Aum Steel Limited ("the Company") maintained by M/s Skyline Financial Services Private Limited (herein after referred to as "the Registrar & Share Transfer Agents" or "the RTA") pertaining to transfer of Equity Shares of the Company for the period from April 01, 2020 to September 30, 2020 for the purpose of issuing a Certificate as per Regulation 40(9) of the SEBI (Listing Obligation and Disclosure Requirements) Regulations, 2015 and based on the information provided by the RTA, we hereby certify that during half year ended on September 30, 2020:

- The Company has delivered Share Certificates relating to the Share Transfer Deeds received during the period from April 01, 2020 to September 30, 2020 within thirty days as per Regulation 40(9) of the SEBI (Listing Obligation and Disclosure Requirements) Regulations, 2015, from respective date of lodgment for transfer and transmission of shares.
- The Company and/or RTA have not received any requests for lodgment of transfer, division/ sub-division, consolidation, renewal, exchange, or endorsement of calls/allotment monies. All the request was resolved within 21 Days within time limit.

For SANDEEP DUBEY & ASSOCIATES  
PRACTICEING COMPANY SECRETARIES



Date: October 15, 2020  
Place: Mumbai

CS SANDEEP A. DUBEY  
PARTNER  
ACS No. 47940  
COP No. 17902