

SHIV AUM STEELS LIMITED

CIN: L27105MH2002PLC135117

Regd & Admin Off: 515, The Summit Business Bay, Near WEH Metro Station, A.K. Road, Andheri (E), Mumbai -400093 email: info@shivaumsteels.com website: www.shivaumsteels.com

Tel: +9122 26827900/01/02/03/04

Date: 15.05.2020

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 31st March, 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 31st March, 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,

Sd/-
DHWANI VORA
COMPANY SECRETARY & COMPLINCE OFFICER



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

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

FOR THE HALF YEAR ENDED MARCH 31, 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 October 01, 2019 to March 31, 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 March 31, 2020:

- The Company has delivered Share Certificates relating to the Share Transfer Deeds received during the period from from October 01, 2019 to March 31, 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 renewal, exchange or endorsement of calls/allotment monies.

**For SANDEEP DUBEY & ASSOCIATES
PRACTICEING COMPANY SECRETARIES**



**Date: May 10, 2020
Place: Mumbai**

**CS SANDEEP A. DUBEY
PARTNER
ACS No. 47940
COP No. 1790**