



SHIVAUM STEELS
LIMITED

Date: 12.04.2021

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, 2021
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, 2021 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,

Krishna N. M.

KRISHNA N MEHTA
WHOLE-TIME DIRECTOR
DIN:03581129



GSTIN : 27AAFCS9987G1ZL

CIN NO : L27105MH2002PLC135117



SANDEEP DUBEY & ASSOCIATES

(PRACTICING COMPANY SECRETARIES)

REGD. Address: Office No. 3133, EzaZone Mall, Sundar Nagar,
Malad West, Mumbai – 400061.

MOB. NO. 98201513552 / 9819992728 Email: cs.sandeepdubey@gmail.com

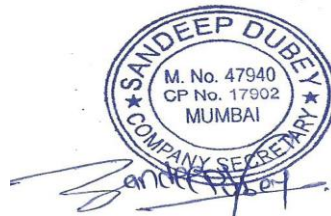
**COMPLIANCE CERTIFICATE UNDER REGULATION 40(9) OF THE SEBI (LISTING
OBLIGATION AND DISCLOSURE REQUIREMENTS) REGULATIONS, 2015**

FOR THE HALF YEAR ENDED MARCH 31, 2021.

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, 2020 to March 31, 2021 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, 2021:

- The Company has delivered Share Certificates relating to the Share Transfer Deeds received during the period from October 01, 2020 to March 31, 2021 within Twelve 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: April 10, 2021
Place: Mumbai**

**CS SANDEEP A. DUBEY
PARTNER
ACS No. 47940
COP No. 1790
UDIN: A047940C000037567**