

Regd. Office : GNA HOUSE, I-C, CHHOTI BARADARI - PART-II  
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Dated : 18/06/2021

Department of Corporate Services BSE Limited 25 <sup>th</sup> Floor Rotunda Building, P J Towers Dalal Street, Fort MUMBAI 400001  <b>SCRIP CODE : 540124</b>	The National Stock Exchange of India Limited "Exchange Plaza" Plot No C-1, G Block Bandra Kurla Complex Bandra (East) MUMBAI – 400051  <b>SCRIP CODE : GNA</b>
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**Ref: SEBI Circular Number CIR/CFD/CMD1/27/2019 dated February 08, 2019.**

**SUB: Annual Secretarial Compliance Report for the year ended March 31, 2021.**

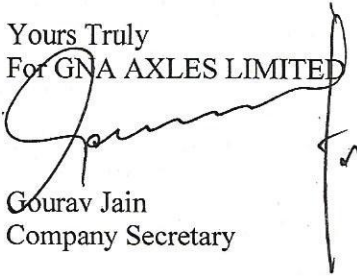
Sir,

In terms of clause 3(b)(iii) of the above referred Circular, we are submitting the Annual Compliance Report for the year ended March 31, 2021 issued by Ms. Harsimran Kaur, Practicing Company Secretary and Secretarial Auditor of the Company.

This is for your information and record.

Thanking You

Yours Truly  
For GNA AXLES LIMITED

  
Gourav Jain  
Company Secretary

Ref. No.....

Dated.....

**SECRETARIAL COMPLIANCE REPORT OF  
GNA AXLES LIMITED  
FOR THE YEAR ENDED 31ST MARCH 2021**

We have examined:

- (a) all the documents and records made available to us and explanation provided by **GNA AXLES LIMITED** [CIN: L29130PB1993PLC013684] ("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 31st March 2021 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;
- (c) Securities and Exchange Board of India (Substantial Acquisition of Shares and Takeovers) Regulations, 2011;
- (d) Securities and Exchange Board of India (Buyback of Securities) Regulations, 2018; (Not Applicable during the period under report)
- (e) Securities and Exchange Board of India (Share Based Employee Benefits) Regulations, 2014; (Not Applicable during the period under report)
- (f) Securities and Exchange Board of India (Issue and Listing of Debt Securities) Regulations, 2008; (Not Applicable during the period under report)



Ref. No.....

Dated.....

- (g) Securities and Exchange Board of India(Issue and Listing of Non-Convertible and Redeemable Preference Shares)Regulations,2013; (Not Applicable during the period under report)
- (h) Securities and Exchange Board of India (Prohibition of Insider Trading) Regulations,2015;  
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, 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
NIL			

- (b) The listed entity has maintained proper records under the provisions of the above Regulations and circulars/ guidelines issued thereunder insofar as it appears from my/our 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 issuedthereunder:

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.
1.	Bombay Stock Exchange (BSE)	Submission of Related Party Transactions under Regulation 23(9) of SEBI (LODR) Regulations, 2015	Fine of ₹.30,000/- imposed by the Stock Exchange	Filed with a delay of 6 days



Ref. No.....

Dated.....

2.	National Stock Exchange (NSE)	Submission of Related Party Transactions under Regulation 23(9) of SEBI (LODR) Regulations, 2015	Fine of ₹.30,000/- imposed by the Stock Exchange	Filed with a delay of 6 days
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(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
NIL				

(e) The reporting under clause 6(A) and 6(B) of Circular No.CIR/CFD/CMD1/114/2019 dated October 18, 2019 issued by the Securities and Exchange Board of India on "Resignation of statutory auditors from listed entities and their material subsidiaries" is not applicable during the Review Period.

Place: Jalandhar  
Dated: 17th June 2021

**For H.K & Associates  
Company Secretaries**

*Harsimran*  
Harsimran Kaur  
Proprietor

M.No: FCS-8174, C.P. No: 9252  
UDIN: **F008174C000480690**

