



**SHIV AUM STEELS**  
**LIMITED**

**Date: 17.10.2019**

To,

**The Manager,  
Listing Department,  
National Stock Exchange Of India Limited,  
'Exchange Plaza', C-1, Block 'G',  
Bandra Kurla Complex, Bandra (E ),  
Mumbai – 400051**

**Subject: Compliance Certificate under Regulation 40(9) of SEBI (Listing Obligation and Disclosure Requirements) Regulations, 2015 for the half year ended 30.09.2019**

**Ref: Symbol – SHIVAUM**

Dear Sir,

Please find enclosed herewith a copy of the Compliance Certificate under Regulation 40(9) of SEBI (Listing Obligations and Disclosure Requirements) Regulations, 2015 for the half year ended September 30, 2019 issued by Sandeep Dubey & Associates, Company Secretaries.

Kindly take the aforesaid document on record.

Thanking You,

Yours faithfully,

**For SHIV AUM STEELS LIMITED,**

  
**SANJAY N BANSAL  
WHOLE-TIME DIRECTOR  
DIN:00235509**



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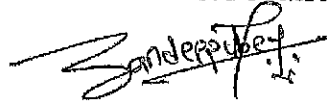
## **COMPLIANCE CERTIFICATE UNDER REGULATION 40(9) OF THE SEBI (LISTING OBLIGATION AND DISCLOSURE REQUIREMENTS) REGULATIONS, 2015**

### **FOR THE HALF YEAR ENDED 30<sup>th</sup> SEPTEMBER 2019.**

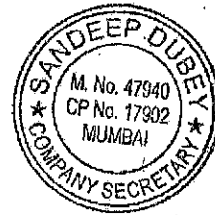
We have examined the Share Transfer Deeds, Memorandum of Transfers, Registers, files and other documents relating to M/s. Shiv Aum Steel Limited ("the Company") maintained by M/s Skyline Financial Services Private Limited (herein after referred to as "the Registrar & Share Transfer Agents" or "the RTA") pertaining to transfer of Equity Shares of the Company for the period from 1<sup>st</sup> April, 2019 to 30<sup>th</sup> September, 2019 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 30<sup>th</sup> September, 2019:

- The Company has delivered Share Certificates relating to the Share Transfer Deeds received during the period from 1<sup>st</sup> April, 2019 to 30<sup>th</sup> September, 2019 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  
PRACTICING COMPANY SECRETARIES



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



Date: 14<sup>th</sup> October, 2019  
Place: Mumbai