



Mob-9312271115
011-45769176
GSTIN: 07AALPU8830B1ZI

A.UPADHYAYA & ASSOCIATES

6/41,209 Sunder Kiran Building, WEA Karol Bagh, New Delhi-110005

E-mail: updacs@yahoo.co.in , updacs@gmail.com

Annual Secretarial Compliance Report of Genesis Finance Company Limited for the year ended 31st March, 2021

I, **Abhimanyu Upadhyaya** Company Secretary of A. Upadhyaya & Associates having theregistered office at 6/41 Sunder Kiran Building 209 WEA Karol Bagh New Delhi 110005 haveexamined:

- a) all the documents and records made available to us and explanation provided by **Genesis Finance Company Limited**("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; **Not Applicable**





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- c) Securities and Exchange Board of India (Substantial Acquisition of Shares and Takeovers) Regulations, 2011;
- d) Securities and Exchange Board of India (Prohibition of Insider Trading) Regulations, 2015;
- e) Reserve Bank of India Master circular on Fair Practice Code dated July 01, 2015;
- f) Reserve Bank of India Master Direction on Know Your Customer (KYC) Direction, 2016;
- g) Reserve Bank of India Master Direction - Non-Banking Financial Companies Auditor's Report (Reserve Bank) Directions, 2016
- h) and circulars/ guidelines issued thereunder;

and based on the above examination, I, 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.
- 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) No actions taken against the listed entity/ its promoters/ directors/ 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 issued thereunder:





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Sr. No.	Action taken	Details of violation	Details of action taken e.g. fines, warning letter, debarment, etc.	Observations/ remarks of the Practicing Company Secretary, if any.
NIL	NIL	NIL	NIL	NIL

- d) The listed entity has taken the following actions to comply with the observations made in previous reports: **Not Applicable**

Sr. No.	Observations of the Practicing Company Secretary in the previous reports	Observations made in the secretarial compliance report for the year ended	Actions taken by the listed entity, if any	Comments of the Practicing Company Secretary on the actions taken by the listed entity
NIL	NIL	NIL	NIL	NIL

Place: New Delhi
Date: 23/06/2021



For A. Upadhyaya & Associates
Company Secretaries

(Abhimanyu Upadhyaya)
Prop.

M.No-5921 C.P. No-4729
UDIN: F005921C000502417