

SEC:054:21-22/GN  
June 15, 2021

**National Stock Exchange of India Limited**

Listing Department  
Exchange Plaza, 5<sup>th</sup> Floor,  
Plot no. C/1, G- Block,  
Bandra-Kurla Complex,  
Mumbai – 400 051.  
NSE Symbol: SUNDARMHLD

Dear Sir/Madam,

**Sub: Annual Secretarial Compliance Report – 2020-21**

As required under Regulation 24A of the SEBI (Listing Obligations and Disclosure Requirements) Regulations, 2015, read with SEBI's Circular bearing no. CIR/CFD/CMD1/27/2019 dated 22nd February 2019 on the subject, we enclose the Annual Secretarial Compliance Report of Sundaram Finance Holdings Limited, issued by Sri A. Kalyana Subramaniam, Practicing Company Secretary, for your records.

Thanking you.

Yours truly,

For Sundaram Finance Holdings Limited



P. N. Srikant  
Secretary & Compliance Officer



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**Sundaram Finance Holdings Limited**

**Secretarial compliance report of SUNDARAM FINANCE HOLDINGS LIMITED  
(CIN L65100TN1993PLC025996) for the year ended 31<sup>st</sup> March 2021.**

I A Kalyana Subramaniam have examined:

- (a) all the documents and records made available to us and explanation provided by SUNDARAM FINANCE HOLDINGS 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 31<sup>st</sup> March 2021 (“Review Period”) in respect of compliance with the provisions of :
- (e) the Securities and Exchange Board of India Act, 1992 (“SEBI Act”) and the Regulations, circulars, guidelines issued thereunder; and
- (f) 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;
- (e) Securities and Exchange Board of India (Share Based Employee Benefits) Regulations, 2014;  
- **Not applicable**
- (f) Securities and Exchange Board of India (Issue and Listing of Debt Securities) Regulations, 2008; - **Not applicable**
- (g) Securities and Exchange Board of India (Issue and Listing of Non-Convertible and Redeemable Preference Shares) Regulations, 2013; - **Not applicable**
- (h) Securities and Exchange Board of India (Prohibition of Insider Trading) Regulations, 2015;

and circulars/ guidelines issued thereunder; and based on the above examination, I/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	NIL	Refer Note Below

**Note:** With regard to the Corporate Governance Report for the quarter ended 31<sup>st</sup> March 2021 filed with NSE on 14<sup>th</sup> April 2021, disclosure of the dates of the Stakeholders' Relationship Committee and Nomination & Remuneration Committee meetings, both held on 22<sup>nd</sup> March 2021, were inadvertently missed out while uploading the data on NSE's online portal. The Company has clarified this position to NSE vide letter dated 7<sup>th</sup> May 2021.

- (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 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 issued thereunder:

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

- (d) The listed entity has taken the following actions to comply with the observations made in previous reports:

Sr. No.	Observations of the Practising 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 Practising Company Secretary on the actions taken by the listed entity
	NA	NA	NA	NA

Place: CHENNAI  
Date: 24<sup>TH</sup> May 2021

  
  
A Kalyana Subramaniam  
Practising Company Secretary  
FCS No: 11142  
COP No: 16345  
UDIN: F011142C000364462