



**Secretarial Audit Compliance Report**

of IEC Education Limited for the year ended 31<sup>st</sup> March, 2021

We, **Kajal Goyal and Associates**, Company Secretaries, having our office at **218, Suneja Tower-2 District Centre, Janakpuri, New Delhi – 110058** have examined:

- (a) all the documents and records made available to us and explanation provided by IEC Education 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:

- (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 (Buyback of Securities) Regulations, 2018; **(Not Applicable)**
- (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 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
1.	Regulation 6(1) of SEBI (Listing Obligations and Disclosure Requirements) Regulations, 2015	Appointment of qualified Company Secretary	The Company Secretary i.e. Mr. Chandra Veer Jain resigned on 11 <sup>th</sup> January, 2021.

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2.	Regulation 13(3) of the SEBI (Listing Obligations and Disclosure Requirements) Regulations, 2015	Submission of statement w.r.t. investor complaints	<ul style="list-style-type: none"><li>The Company has not submitted the statement for the quarter ending on March, 2021.</li><li>Delayed submission of statement of Grievance Redressal Mechanism for quarter ending December, 2021.</li></ul>
3.	Regulation 14 of SEBI (Listing Obligations and Disclosure Requirements) Regulations, 2015	Payment of Listing Fees	The listing fees for the F.Y. 2020-21 has not been paid by the Company.
4.	Regulation 30(1) of SEBI (Listing Obligations and Disclosure Requirements) Regulations, 2015 read with Part A of Schedule III of the regulations	Non-compliance w.r.t. timely intimation of events	The Company did not intimate the exchange regarding appointment of Mrs. Shalini Jain.
5.	Regulation 47(3) of the SEBI (Listing Obligations and Disclosure Requirements) Regulations, 2015,	Submission of newspaper publications to the exchange	<p>The Company has not submitted the following newspaper publication to the exchange:</p> <ul style="list-style-type: none"><li>Intimation of Board meeting and outcome of Board meeting for approval of unaudited financials for the quarter ending on September, 2020.</li></ul>

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			<ul style="list-style-type: none"><li>• Outcome of Board Meeting for approval of unaudited financial statements for the quarter ending on December, 2021.</li></ul>
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- (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 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 Practicing Company Secretary, if any.
N.A.				

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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 31 <sup>st</sup> March, 2019	Actions taken by the listed entity, if any	Comments of the Practicing Company Secretary on the actions taken by the listed entity
The observations made in the previous report were complied by the Company in the previous financial year only.				

For Kajal Goyal and Associates  
Company Secretaries



CS KAJAL GOYAL  
Proprietor  
M. No.: A54393  
C.P. No.: 20082

Date: 30.06.2021  
Place: Delhi  
UDIN: A054393C0087582