



# M FRANCIS & ASSOCIATES

## Practising Company Secretaries

ISIN: INE429101024

Secretarial compliance report of **CONSOLIDATED CONSTRUCTION CONSORTIUM LIMITED** for the year Ended **31<sup>ST</sup> March 2022**

We **M.FRANCIS & ASSOCIATES, Practising Company Secretaries** have examined:

- a) all the documents and records made available to us and explanation provided by **CONSOLIDATED CONSTRUCTION CONSORTIUM LIMITED (Under Corporate Insolvency Resolution Process) (CIN: L45201TN1997PLC038610)** having its Registered office at **8/33, Padmavathiyar Road, Jeypore Colony, Gopalapuram, Chennai - 600086**
- b) the filings/ submissions made by the listed entity to the stock exchanges,
- c) website of the listed entity, (website address: **www.ccclindia.com**)
- 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 2022** 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 there under; and
- b) the Securities Contracts (Regulation) Act, 1956 ("SCRA"), rules made there under and the Regulations, circulars, guidelines issued there under by the Securities and Exchange Board of India ("SEBI");

The specific Regulations, whose provisions and the circulars/ guidelines issued there under, 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, 2009 & Securities and Exchange Board of India (Issue of Capital and Disclosure Requirements) Regulations, 2018 (Not applicable during the year under review);
- c) Securities and Exchange Board of India (Substantial Acquisition of Shares and Takeovers) Regulations, 2011;

CONSOLIDATED CONSTRUCTION CONSORTIUM LTD

SECRETARIAL COMPLIANCE REPORT

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- d) Securities and Exchange Board of India (Buyback of Securities) Regulations, 1998 & Securities and Exchange Board of India (Buyback of Securities) Regulations, 2018 (Not applicable during the year under review);
- e) Securities Exchange Board of India (Share Based Employee Benefits) Regulations, 2014 and Securities Exchange Board of India (Employee Stock Option Scheme and Employee Stock Purchase Scheme) Guidelines, 1999; (Not applicable during the year under review);
- f) Securities and Exchange Board of India (Issue and Listing of Debt Securities) Regulations, 2008;
- g) Securities and Exchange Board of India (Issue and Listing of Non- Convertible and Redeemable Preference Shares) Regulations, 2013 (Not applicable during the year under review);
- h) Securities and Exchange Board of India (Prohibition of Insider Trading) Regulations, 2015;
- i) Securities and Exchange Board of India (Registrars to an Issue and Share Transfer Agents) Regulations, 1993;
- j) Securities and Exchange Board of India (Depositories and Participants) Regulations, 2018;

and circulars/guidelines issued there under;

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 there under:-

Sr. No	Compliance Requirement (Regulations/circulars/guidelines including specific clauses)	Deviations	Observations/ Remarks of the Practicing Company Secretary
		NIL	

M.P.



(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 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.
1	NCLT	Non repayment of Loans	The company is under Corporate Insolvency Resolution process in terms of order passed by the National Company Law tribunal, Chennai vide dated 20 <sup>th</sup> April 2021	
2	NSE	Regulation 31 Shareholding Pattern for quarter ended 30 <sup>th</sup> June 2021	Fine levied vide notice dated 16 <sup>th</sup> August 2021 for Rs 59,000	Fine paid on 07/09/2021
3	NSE	Regulation 27 Corporate Governance report for quarter ended 30 <sup>th</sup> June 2021	Fine levied vide notice dated 20 <sup>th</sup> August 2021 for Rs 68,440	Fine paid on 07/09/2021
4	NSE	Regulation 33 Financial	Fine levied vide notice dated 14 <sup>th</sup> September	Waiver Applied

		results for quarter ended 30 <sup>th</sup> June 2021	2021 for Rs 1,71,100	
5	NSE	Regulation 31 Shareholding Pattern for quarter ended 30 <sup>th</sup> September 2021	Fine levied vide notice dated 15 <sup>th</sup> November 2021 for Rs 21,240	Fine paid on 18/11/2021
6	NSE	Regulation 27 Corporate Governance report for quarter ended 30 <sup>th</sup> September 2021	Fine levied vide notice dated 25 <sup>th</sup> November 2021 for Rs 75,520	Waiver Applied and approved
7	NSE	Regulation 33 Financial results for quarter ended 30 <sup>th</sup> September 2021	Fine levied vide notice dated 14 <sup>th</sup> December 2021 for Rs 70,800	Waiver Applied
8	NSE	Regulation 33 Financial results for quarter ended 31 <sup>st</sup> March 2021	Fine levied vide notice dated 29 <sup>th</sup> March 2022 for Rs 2,53,700	Waiver Applied and rejected. Fine paid on 7 <sup>th</sup> April 2022
9	BSE	Regulation 33	Fine levied vide notice dated 29 <sup>th</sup> July 2021 for	Waiver applied

		Financial results for quarter ended 31 <sup>st</sup> March 2021	Rs 1,71,100	
10	BSE	Regulation 31 Shareholding Pattern for quarter ended 30 <sup>th</sup> June 2021	Fine levied vide notice dated 16 <sup>th</sup> August 2021 for Rs 59,000	Fine paid on 07/09/2021
11	BSE	Regulation 27 Corporate Governance report for quarter ended 30 <sup>th</sup> June 2021	Fine levied vide notice dated 20 <sup>th</sup> August 2021 for Rs 68,440	Fine paid on 07/09/2021
12	BSE	Regulation 33 Financial results for quarter ended 30 <sup>th</sup> June 2021	Fine levied vide notice dated 14 <sup>th</sup> September 2021 for Rs 1,71,100	Waiver applied
13	BSE	Regulation 31 Shareholding Pattern for quarter ended 30 <sup>th</sup> September 2021	Fine levied vide notice dated 15 <sup>th</sup> November 2021 for Rs 21,240	Fine paid on 18/11/2021
14	BSE	Regulation 27 Corporate Governance	Fine levied vide notice dated 22 <sup>nd</sup> November 2021 for Rs 75,520	Waiver applied

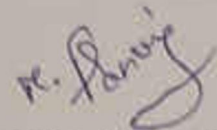


		report for quarter ended 30 <sup>th</sup> September 2021		
15	BSE	Regulation 33 Financial results for quarter ended 30 <sup>th</sup> September 2021	Fine levied vide notice dated 14 <sup>th</sup> December 2021 for Rs 70,800	Waiver applied

(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 2020-21	Actions taken by the listed entity if any	Comments of the Practicing Company Secretary on the actions taken by the listed entity
			NIL	

FOR M. FRANCIS & ASSOCIATES  
COMPANY SECRETARIES



CS M. FRANCIS  
C.P NO.10705  
FCS.NO.14967

PLACE : CHENNAI  
DATE : 25<sup>th</sup> May 2022  
UDIN : F010705D000385299