

**Secretarial compliance report of Wallfort Financial Services Limited for the year ended on  
31<sup>st</sup> March, 2022**

I, **Priti J Sheth** of Priti J Sheth & Associates, Company Secretary in whole-time Practice have examined:

- (a) all the documents and records made available to us and explanation provided by Wallfort Financial Services 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, 2022 ("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:-

- (i) Securities and Exchange Board of India (Listing Obligations and Disclosure Requirements) Regulations, 2015;
- (ii) Securities and Exchange Board of India (Issue of Capital and Disclosure Requirements) Regulations, 2018; **(Not Applicable as there were no reportable events during the period under review);**
- (iii) Securities and Exchange Board of India (Substantial Acquisition of Shares and Takeovers) Regulations, 2011;
- (iv) Securities and Exchange Board of India (Buyback of Securities) Regulations, 2018; **(Not Applicable as there were no reportable events during the period under review)**
- (v) Securities and Exchange Board of India (Share Based Employee Benefits) Regulations, 2014; **(Not Applicable as there were no reportable events during the period under review)**

- (vi) Securities and Exchange Board of India (Issue and Listing of Debt Securities) Regulations, 2018; **(Not Applicable as there were no reportable events during the period under review)**
- (vii) Securities and Exchange Board of India (Issue and Listing of Non-Convertible and Redeemable Preference Shares) Regulations, 2013; **(Not Applicable as there were no reportable events during the period under review)**
- (viii) Securities and Exchange Board of India (Prohibition of Insider Trading) Regulations, 2015;
- (ix) SEBI (Stock-Brokers and Sub-Brokers) Regulations, 1992, as amended
- (x) SEBI (Intermediaries) Regulations, 2008, as amended.
- (xi) SEBI (Depositories and Participants) Regulations, 1996, as amended 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 except minor delays in
  - 1) implementation of facility of sending details about the transfer of funds to clients by SMS & Email at the time of running account settlement of funds.
  - 2) implementation of new format of statement explaining retention of funds/securities
- (b) The listed entity has maintained proper records under the provisions of the above Regulations and circulars/ guidelines issued thereunder in so far 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 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.
NIL				

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

For **Priti J Sheth & Associates**  
Company Secretaries

PRITI JAYANT SHETH  
Digitally signed by  
PRITI JAYANT SHETH  
Date: 2022.05.27  
17:11:44 +05'30'

**Priti J Sheth**  
Proprietor  
FCS No: 6833  
CP No: 5518

UDIN: F006833D000409719  
Date: 27<sup>th</sup> May, 2022  
Place: Mumbai