

UPSURGE INVESTMENT & FINANCE LIMITED

**Regd.Office: Office No. 303, Morya Landmark I, Behind Crystal Plaza, Off. New Link Road,
Andheri (West), Mumbai, Maharashtra, 400053 CIN: L67120MH1994PLC079254 Contact No. 022-
67425441,Email Id: info@upsurgeinvestment.com**

June 22, 2020

To,
BSE Ltd.,
Listing Department,
P.J. Towers, 1st Floor,
Dalal Street, Fort,
Mumbai - 400 001

Scrip Code: 531390

Sub: Secretarial Compliance Report for the year ended March 31, 2020.

Dear Sir,

Pursuant to Regulation 24A of the Securities and Exchange Board of India (Listing Obligations and Disclosure Requirements) Regulations, 2015, we enclose herewith Secretarial Compliance Report for the financial year ended March 31, 2020, issued by CS Kamlesh Jain & Associates, Practicing Company Secretaries.

Kindly take the same on record.

Thanking you.

Yours faithfully,

For Upsurge Investment & Finance Limited

Sd/-
Ela Gupta
Company Secretary and Compliance Officer

Encl.: as above



**SECRETARIAL COMPLIANCE REPORT OF UPSURGE INVESTMENT AND
FINANCE LIMITED FOR THE YEAR ENDED 31ST MARCH, 2020**

We, Kamlesh Jain & Associates, have examined:

- a) all the documents and records made available to us and explanation provided by Upsurge Investment And Finance 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, 2020 (“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;
- 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;



KAMLESH JAIN & ASSOCIATES
COMPANY SECRETARIES

800, Sangita Ellipse, Sahakar Road,
Vile Parle (East), Mumbai – 400057
Tel. : 022-4048 2500
Fax : 022-4048 2525
Email : kamleshkjain01@gmail.com

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 (The years are to be mentioned)	Actions taken by the listed entity, if any	Comments of the Practicing Company Secretary on the actions taken by the listed entity
Not applicable				

**For Kamlesh Jain & Associates
Company Secretaries**

Kamlesh Jain
Proprietor
ACS-14068
CP No.- 14577
Place: Mumbai
Date: 22nd June, 2020
UDIN: A014068B000364099