



**SEFL/SECT/MS/22-23/69**

October 28, 2022

The Secretary  
**BSE Limited**  
Phiroze Jeejeebhoy Towers  
Dalal Street  
Mumbai - 400 001

The Secretary  
**National Stock Exchange of India Limited**  
Exchange Plaza, 5th Floor, Plot no. C/1, G Block  
Bandra-Kurla Complex  
Bandra (E), Mumbai - 400 051

Dear Sir,

**Sub: SEBI (LODR) Regulations, 2015- Compliance under Regulation 6(1)**

Please find enclosed herewith the details of Compliance Officer of the Company as on September 30, 2022 as specified under Regulation 6(1) of the SEBI (Listing Obligations and Disclosure Requirements) Regulations, 2015.

This is for your information and records.

Thanking you.

Yours faithfully,  
For **Srei Equipment Finance Limited**

**SUMIT KUMAR  
SURANA**

Digitally signed by SUMIT KUMAR SURANA  
DN: c=IN, o=Personal, title=S602  
pseudonym=dde4f9ae3f74d7094495da2636  
8bd22bc180381485de014bd8d5701181e9e  
o=Sri, postalCode=700097, st=West Bengal  
serialNumber=7ef56f854dab8d433a21dc2a9  
8078765e0ed4a7d0d4f092422d4c2cb2d8df  
3f, cn=SUMIT KUMAR SURANA  
Date: 2022.10.28 15:03:15 +05'30'

**Sumit Kumar Surana**  
**Company Secretary**  
**ACS 19243**

Encl: as above

**Srei Equipment Finance Limited**

CIN: U70101WB2006PLC109898

(A Company under Corporate Insolvency Resolution Process vide NCLT, Kolkata Order dated October 08, 2021)

Head Office: Plot No. Y-10, Block EP, Sector - V, Salt Lake City, Kolkata – 700091

Tel: +91 33 6639 4700 / 6602 2000 Fax: +81 33 6602 2200 / 2600 / 18002667734 (Toll Free)

Email: sefl@srei.com Website: [www.srei.com](http://www.srei.com)

Registered Office: "Vishwakarma", 86C Topsia Road (South), Kolkata - 700 046

### **Details of Compliance Officer of the Company**

| Quarters    | Name of Company                | Name of Compliance officer                                 | Whether compliance officer qualified company secretary(Yes/No) | Membership No. | Date of Appointment | Date of resignation, if any |
|-------------|--------------------------------|--|--|----------------|---------------------|-----------------------------|
| Dec – 2020  | Srei Equipment Finance Limited | Ritu Bhojak  | Yes  | FCS 8532       | 27.11. 2017         | -                           |
| Mar – 2021  | Srei Equipment Finance Limited | Ritu Bhojak  | Yes  | FCS 8532       | 27.11. 2017         | -                           |
| June– 2021  | Srei Equipment Finance Limited | Ritu Bhojak<br><i>(Resigned w.e.f. 10.05.2021)</i>         | Yes  | FCS 8532       | 27.11. 2017         | 10.05.2021                  |
| Sep – 2021  | Srei Equipment Finance Limited | Sumit Kumar Surana<br><i>(Appointed w.e.f. 20.08.2021)</i> | Yes  | ACS 19243      | 20.08.2021          | -                           |
| Dec – 2021  | Srei Equipment Finance Limited | Sumit Kumar Surana   | Yes  | ACS 19243      | 20.08.2021          | -                           |
| Mar – 2022  | Srei Equipment Finance Limited | Sumit Kumar Surana   | Yes  | ACS 19243      | 20.08.2021          | -                           |
| Jun – 2022  | Srei Equipment Finance Limited | Sumit Kumar Surana   | Yes  | ACS 19243      | 20.08.2021          | -                           |
| Sept – 2022 | Srei Equipment Finance Limited | Sumit Kumar Surana   | Yes  | ACS 19243      | 20.08.2021          | -                           |





**SEFL/SECT/MS/22-23/70**

October 28, 2022

The Secretary  
**BSE Limited**  
Phiroze Jeejeebhoy Towers  
Dalal Street  
Mumbai - 400 001

The Secretary  
**National Stock Exchange of India Limited**  
Exchange Plaza, 5th Floor, Plot no. C/1, G Block  
Bandra-Kurla Complex  
Bandra (E), Mumbai - 400 051

Dear Sir,

**Sub: SEBI (LODR) Regulations, 2015 - Compliance under Regulation 7(1)**

Please find enclosed herewith the details of RTA of the Company as on September 30, 2022 as specified under Regulation 7(1) of the SEBI (Listing Obligations and Disclosure Requirements) Regulations, 2015.

This is for your information and records.

Thanking you.

Yours faithfully,  
For **Srei Equipment Finance Limited**

SUMIT KUMAR  
SURANA

Digitally signed by SUMIT KUMAR SURANA  
DN: cn=Sri, o=Personal, email=8665.  
psudarym-dde4f9ae37ad7094495da26368bd22b  
c1303f8485d114da855701181@rediff.  
postalCode=700097, st=West Bengal,  
serialNumber=7df368546a86043a21dc2a9807876  
Signed by KUMAR SURANA  
KUMAR SURANA  
Date: 2022.10.28 15:06:07 +05'30'

**Sumit Kumar Surana**  
**Company Secretary**  
**ACS 19243**

Encl: as above

**Srei Equipment Finance Limited**

CIN: U70101WB2006PLC109898

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Email: [sefl@srei.com](mailto:sefl@srei.com) Website: [www.srei.com](http://www.srei.com)

Registered Office: "Vishwakarma", 86C Topsia Road (South), Kolkata - 700046

### Details of RTA

| Quarters    | Name of Company                | Name of RTA   | Date of Appointment   | Date of cessation/change, if any |
|-------------|--------------------------------|---|---|----------------------------------|
| Dec – 2020  | Srei Equipment Finance Limited | <p>KFin Technologies Private Limited<br/>(For Equity shares, Public Issue and Private Placement of Non-Convertible Debentures of the Company)</p> <p>S. K. Infosolutions Private Limited<br/>(For Non-Convertible Debentures issued on Private Placement basis)</p> | Appointed during the Financial Year 2017-2018 and during the Financial Year 2015-2016 for Equity Shares and Non-Convertible Debentures issued on Private Placement basis and to the Public respectively | -                                |
| Mar – 2021  | Srei Equipment Finance Limited | <p>KFin Technologies Private Limited<br/>(For Equity shares, Public Issue and Private Placement of Non-Convertible Debentures of the Company)</p> <p>S. K. Infosolutions Private Limited<br/>(For Non-Convertible Debentures issued on Private Placement basis)</p> |   | -                                |
| June – 2021 | Srei Equipment Finance Limited | <p>KFin Technologies Private Limited<br/>(For Equity shares, Public Issue and Private Placement of Non-Convertible Debentures of the Company)</p> <p>S. K. Infosolutions Private Limited<br/>(For Non-Convertible Debentures issued on Private Placement basis)</p> |   | -                                |

|            |                                |   |   |
|------------|--------------------------------|---|---|
| Sep – 2021 | Srei Equipment Finance Limited | <p>KFin Technologies Private Limited<br/>(For Equity shares, Public Issue and Private Placement of Non-Convertible Debentures of the Company)</p> <p>S. K. Infosolutions Private Limited<br/>(For Non-Convertible Debentures issued on Private Placement basis)</p> | -   |
| Dec – 2021 | Srei Equipment Finance Limited | <p>KFin Technologies Private Limited<br/>(For Equity shares, Public Issue and Private Placement of Non-Convertible Debentures of the Company)</p> <p>S. K. Infosolutions Private Limited<br/>(For Non-Convertible Debentures issued on Private Placement basis)</p> | -   |
| Mar – 2022 | Srei Equipment Finance Limited | <p>KFin Technologies Limited<br/>(For Equity shares, Public Issue and Private Placement of Non-Convertible Debentures of the Company)</p> <p>S. K. Infosolutions Private Limited<br/>(For Non-Convertible Debentures issued on Private Placement basis)</p>         | Name changed to KFin Technologies Limited |
| Jun – 2022 | Srei Equipment Finance Limited | <p>KFin Technologies Limited<br/>(For Equity shares, Public Issue and Private Placement of Non-Convertible Debentures of the Company)</p> <p>S. K. Infosolutions Private Limited<br/>(For Non-Convertible Debentures issued on Private Placement basis)</p>         | -   |

|             |                                |  |  |   |
|-------------|--------------------------------|--|--|---|
| Sept – 2022 | Srei Equipment Finance Limited | KFin Technologies Limited<br>(For Equity shares, Public Issue and Private Placement of Non-Convertible Debentures of the Company)<br><br>S. K. Infosolutions Private Limited<br>(For Non-Convertible Debentures issued on Private Placement basis) |  | - |
|-------------|--------------------------------|--|--|---|