

## SECRETARIAL COMPLIANCE REPORT

### SKP SECURITIES LIMITED

FOR THE FINANCIAL YEAR ENDED 31<sup>st</sup> MARCH, 2019

To,  
**SKP SECURITIES LIMITED**  
Chatterjee International Centre  
Level 21, 33A, Jawaharlal Nehru Road  
Kolkata – 700 071

We have examined:

- (a) all the documents and records made available to us and explanation provided by "SKP Securities 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, 2019 ("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, wherever applicable 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 to the Company during the Audit Period;**





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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 to the Company during the Audit Period;**
- (e) Securities and Exchange Board of India (Share Based Employee Benefits) Regulations, 2014: **Not Applicable to the Company during the Audit Period;**
- (f) Securities and Exchange Board of India (Issue and Listing of Debt Securities) Regulations, 2008: **Not Applicable to the Company during the Audit Period;**
- (g) Securities and Exchange Board of India (Issue and Listing of Non- Convertible and Redeemable Preference Shares) Regulations, 2013: **Not Applicable to the Company during the Audit Period;**
- (h) Securities and Exchange Board of India (Prohibition of Insider Trading) Regulations, 2015;
- (i) Securities and Exchange Board of India (Delisting of Equity Shares) Regulations, 2009: **Not Applicable to the Company during the Audit Period;**
- (j) Securities and Exchange Board of India (Investor Protection and Education Fund) Regulations, 2009;
- (k) Securities and Exchange Board of India (Registrars to an Issue and Share Transfer Agents) Regulations, 1993 and dealing with client;
- (l) Securities and Exchange Board of India (Stock Brokers and Sub Brokers) Regulations, 1992;
- (m) Securities and Exchange Board of India (Depositories and Participants) Regulations, 1996;
- (n) Securities and Exchange Board of India (Research Analysts) Regulations, 2014;
- (o) Securities and Exchange Board of India (Certification of Associated Persons in the Securities Markets) Regulations, 2007;





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- (p) Securities and Exchange Board of India (Prohibition of Fraudulent & Unfair Trade Practices relating to Securities Market) Regulations, 2003;
- (q) Securities and Exchange Board of India (Mutual Funds) Regulations, 1996.
- 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 thereunder;
- (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) No action has been 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;
- (d) Since this being the First Report issued under the relevant circular, reporting on actions to comply with the observations in terms of the previous Report does not arise.

Place: Kolkata

Date: 27<sup>th</sup> April, 2019



For A MURARKA & CO  
Company Secretaries

(ANIL MURARKA)  
FCS No. 3150  
CoP No. 1857