

## SECRETARIAL COMPLIANCE REPORT

### **SKP SECURITIES LIMITED**

FOR THE FINANCIAL YEAR ENDED 31<sup>st</sup> MARCH, 2021

#### **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 issue this Report,

for the year ended 31<sup>st</sup> March, 2021 ("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) The Securities and Exchange Board of India (Listing Obligations and Disclosure Requirements) Regulations, 2015;
- (b) The Securities and Exchange Board of India (Substantial Acquisition of Shares and Takeovers) Regulations, 2011;
- (c) The Securities and Exchange Board of India (Prohibition of Insider Trading) Regulations, 2015;





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- (d) The Securities and Exchange Board of India (Issue of Capital and Disclosure Requirements) Regulations, 2018: **Not Applicable to the Company during the Audit Period;**
- (e) The Securities and Exchange Board of India (Buyback of Securities) Regulations, 2018: **Not Applicable to the Company during the Audit Period;**
- (f) The Securities and Exchange Board of India (Share Based Employee Benefits) Regulations, 2014: **Not Applicable to the Company during the Audit Period;**
- (g) The Securities and Exchange Board of India (Issue and Listing of Debt Securities) Regulations, 2008: **Not Applicable to the Company during the Audit Period;**
- (h) The 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;**
- (i) The Securities and Exchange Board of India (Delisting of Equity Shares) Regulations, 2009: **Not Applicable to the Company during the Audit Period;**
- (j) The Securities and Exchange Board of India (Registrars to an Issue and Share Transfer Agents) Regulations, 1993 and dealing with client;
- (k) The Securities and Exchange Board of India (Stock Brokers and Sub Brokers) Regulations, 1992;
- (l) The Securities and Exchange Board of India (Depositories and Participants) Regulations, 2018;
- (m) The Securities and Exchange Board of India (Research Analysts) Regulations, 2014;
- (n) The Securities and Exchange Board of India (Certification of Associated Persons in the Securities Markets) Regulations, 2007;
- (o) The Securities and Exchange Board of India (Prohibition of Fraudulent & Unfair Trade Practices relating to Securities Market) Regulations, 2003;
- (p) The Securities and Exchange Board of India (Mutual Funds) Regulations, 1996;







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- (q) The Securities and Exchange Board of India (Portfolio Managers) Regulations 2020;
- (r) The Securities and Exchange Board of India (Merchant Bankers) Regulations 1992;
- (s) The Securities and Exchange Board of India (Investment Advisors) Regulations 2013. **The company has surrendered the said certificate by its letter dated 31<sup>st</sup> December, 2020;**

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 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. The company does not have any subsidiary;
- (d) Since there were no observations in our Report of last year issued under the relevant circular, hence no compliance is required.

**Note:**

This Report is based on the documents received online from the Company. Physical verification of the documents could not be carried out due to COVID- 19 situation.

Place: Kolkata

Date: 8<sup>th</sup> May, 2021



For A MURARKA & CO  
Company Secretaries

(ANIL KUMAR MURARKA)

FCS No.: 3150

CoP No.: 1857

UDIN:F003150C000254896