

## SECRETARIAL COMPLIANCE REPORT

### SKP SECURITIES LIMITED

FOR THE FINANCIAL YEAR ENDED 31<sup>st</sup> MARCH, 2022

#### 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, 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, 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: **Not Applicable to the Company during the Audit Period;**

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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 and Sweat Equity) Regulations, 2021: **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, 2021: **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: **Not Applicable to the Company during the Audit Period;**
- (k) The Securities and Exchange Board of India (Stock 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;
- 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.

Place: Kolkata  
Date: 30<sup>th</sup> April, 2022



For A MURARKA & CO  
Company Secretaries

(ANIL KUMAR MURARKA)  
FCS NO.: 3150  
CoP No.: 1857  
UDIN: F003150D000211897