

NIKKI GLOBAL FINANCE LTD.

Registered Office: 3rd Floor , Eastern and Central Wing , 124 Thapar House , Janpath, New Delhi - 110001

CIN: L65999DL1986PLC024493 • Web: www.nikkiglobal.com • E-mail : info@nikkiglobal.com

29th May, 2024

To,
The Deputy General Manager,
Department of Corporate Services,
BSE LIMITED
Dalal Street, Mumbai— 400001

Ref.: NIKKI GLOBAL FINANCE LTD. (SCRIP CODE- 531272)

Sub.: Annual Secretarial Compliance Report for the Year ended on 31st March, 2024 as per Regulation 24A of SEBI (LODR) Regulations, 2015

Dear Sir/Madam,

With reference to the above mentioned subject, please find enclosed herewith the Annual Secretarial Compliance Report for the year ended on March 31, 2024 given by the Company Secretary in Practice as per Regulation 24A of SEBI (Listing Obligation and Disclosure Requirements) Regulations, 2015.

Thanking you.

For NIKKI GLOBAL FINANCE LTD.

RAJESH KUMAR PANDEY

(Managing Director)

(DIN: 09745776)



V. Agnihotri & Associates *Company Secretaries*

SECRETARIAL COMPLIANCE REPORT OF NIKKI GLOBAL FINANCE LIMITED

FOR THE FINANCIAL YEAR ENDED 31ST MARCH, 2024

To,

The Board of Directors,

Nikki Global Finance Limited

Reg. Office: 3rd Floor,

Eastern and Central Wing,

124 Thapar House, New Delhi - 110001

We have conducted the review of the compliance of the applicable statutory provisions and the adherence to good corporate practices by Nikki Global Finance Limited (hereinafter referred as 'the listed entity'), having its Registered Office at 3rd Floor, Eastern and Central Wing, 124 Thapar House, New Delhi - 110001. Secretarial Review was conducted in a manner that provided us a reasonable basis for evaluating the corporate conducts/statutory compliances and expressing our opinion thereon.

Based on our verification of the listed entity's books, papers, minutes books, forms and returns filed and other records maintained by the listed entity and also the information provided by the listed entity, its officers, agents and authorized representatives during the conduct of Secretarial Review, we hereby report that in our opinion, the listed entity has, during the review period covering the financial year ended on March 31, 2024, complied with the statutory provisions listed hereunder and also that the listed entity has proper Board processes and compliance mechanism in place to the extent, in the manner and subject to the reporting made hereinafter;





V. Agnihotri & Associates

Company Secretaries

We have examined:

- (a) all the documents and records made available to us and explanation provided by Nikki Global 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, 2024 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, includes:-

- (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)**
- (c) Securities and Exchange Board of India (Substantial Acquisition of Shares and

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Takeovers) Regulations, 2011;

- (d) Securities and Exchange Board of India (Buyback of Securities) Regulations, 2018; **(Not applicable)**
- (e) Securities and Exchange Board of India (Share Based Employee Benefits and Sweat Equity) Regulations, 2021; ; **(Not applicable)**
- (f) Securities and Exchange Board of India (Issue and Listing of Debt Securities) Regulations, 2008; ; **(Not applicable)**
- (g) Securities and Exchange Board of India (Issue and Listing of Non-Convertible Securities) Regulations, 2021; **(Not applicable)**
- (h) Securities and Exchange Board of India (Prohibition of Insider Trading) Regulations, 2015;

and circulars/ guidelines issued thereunder; 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, except in respect of matters specified below:



Sr. No.	Compliance Requirement (Regulations/ circulars/ guide-lines including specific clause)	Regulation/ Circular No.	Deviations	Action Taken by	Type of Action	Details of Violation	Fine Amount	Observations /Remarks of the Practicing Company Secretary	Management Response	Remarks
<i>There have been No Observations made in the present report for the financial year 2023-2024.</i>										

(b) The listed entity has taken the following actions to comply with the observations made in previous reports:

Sr. No.	Observations/ Remarks of the Practicing Company Secretary in the previous reports) (PCS)	Observations made in the secretarial compliance report for the year ended 31.03.2024	Compliance Requirement (Regulations/ circulars/ guidelines including specific clause)	Details of violation / deviations and actions taken / penalty imposed, if any, on the listed entity	Comments of the PCS on the actions taken by the listed entity	Comments of the PCS
<i>No Observations were made in the report for the financial year 2022-2023</i>						



I. We hereby report that, during the review period the compliance status of the listed entity with the following requirements:

Sr. No.	Particulars	Compliance Status (Yes/No/NA)	Observations/ Remarks by PCS*
1.	<p>Secretarial Standards:</p> <p>The compliances of the listed entity are in accordance with the applicable Secretarial Standards (SS) issued by the Institute of Company Secretaries India (ICSI), as notified by the Central Government under section 118(10) of the Companies Act, 2013 and mandatorily applicable.</p>	YES	COMPLIED
2.	<p>Adoption and timely updation of the Policies:</p> <ul style="list-style-type: none"> • All applicable policies under SEBI Regulations are adopted with the approval of board of directors of the listed entities • All the policies are in conformity with SEBI Regulations and have been reviewed & updated on time, as per the regulations/circulars/guidelines issued by SEBI 	YES	COMPLIED



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<p>3.</p>	<p>Maintenance and disclosures on Website:</p> <ul style="list-style-type: none"> • The Listed entity is maintaining a functional website • Timely dissemination of the documents/ information under a separate section on the website • Web-links provided in annual corporate governance reports under Regulation 27(2) are accurate and specific which re- directs to the relevant document(s)/section of the website 	<p>YES</p>	<p>COMPLIED</p>
<p>4.</p>	<p>Disqualification of Director:</p> <p>None of the Director(s) of the Company is/ are disqualified under Section 164 of Companies Act, 2013 as confirmed by the listed entity.</p>	<p>YES</p>	<p>COMPLIED</p>
<p>5.</p>	<p>Details related to Subsidiaries of listed entities have been examined w.r.t.:</p> <p>(a) Identification of material subsidiary companies</p> <p>(b) Disclosure requirement of material as well as other subsidiaries</p>	<p>NA</p>	<p>Company does not have any subsidiary</p>



<p>6.</p>	<p>Preservation of Documents:</p> <p>The listed entity is preserving and maintaining records as prescribed under SEBI Regulations and disposal of records as per Policy of Preservation of Documents and Archival policy prescribed under SEBI LODR Regulations, 2015.</p>	<p>YES</p>	<p>COMPLIED</p>
<p>7.</p>	<p>Performance Evaluation:</p> <p>The listed entity has conducted performance evaluation of the Board, Independent Directors and the Committees at the start of every financial year/during the financial year as prescribed in SEBI Regulations.</p>	<p>YES</p>	<p>COMPLIED</p>
<p>8.</p>	<p>Related Party Transactions:</p> <p>(a) The listed entity has obtained prior approval of Audit Committee for all related party transactions; or</p> <p>(b) The listed entity has provided detailed reasons along with confirmation whether the transactions were subsequently approved/ratified/rejected by the Audit Committee, in case no prior approval has been obtained.</p>	<p>NA</p>	<p>No related party transaction has been entered into by the company pursuant to the prescribed rules.</p>



9.	<p>Disclosure of events or information:</p> <p>The listed entity has provided all the required disclosure(s) under Regulation 30 along with Schedule III of SEBI LODR Regulations, 2015 within the time limits prescribed there under.</p>	YES	COMPLIED
10.	<p>Prohibition of Insider Trading:</p> <p>The listed entity is in compliance with Regulation 3(5) & 3(6) SEBI (Prohibition of Insider Trading) Regulations, 2015.</p>	YES	COMPLIED
11.	<p>Actions taken by SEBI or Stock Exchange(s), if any:</p>	NA	NA
12	<p>Resignation of statutory auditors from the listed entity or its material subsidiaries:</p> <p>In case of resignation of statutory auditor from the listed entity or any of its material subsidiaries during the financial year, the listed entity and / or its material subsidiary(ies) has / have complied with paragraph 6.1 and 6.2 of section V-D of chapter V of the Master Circular on compliance with the provisions of the LODR Regulations by listed entities.</p>	The Auditor has resigned during the last financial year 2023-2024	The company has complied with the provisions of para 6.1 and 6.2 of section V-D of chapter V of the Master Circular on compliance with the provisions of the SEBI(LODR) Reg. 2015.





V. Agnihotri & Associates

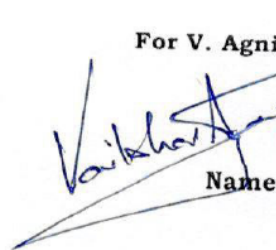

Company Secretaries

13.	Additional Non-compliances, if any: No additional non-compliance observed for any SEBI regulation/circular/guidance note etc.	NA	No Comments
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Place: Kanpur

Date: 24.05.2024

For V. Agnihotri & Associates

Name: Vaibhav Agnihotri

FCS No.: 10363

CP No. : 21596

UDIN: F010363F000439286

PR No : 2065/2022

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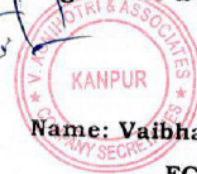
ASSUMPTIONS & LIMITATION OF SCOPE AND REVIEW:

1. Compliance of the applicable laws and ensuring the authenticity of documents and information furnished,
are the responsibilities of the management of the listed entity.
2. Our responsibility is to certify based upon our examination of relevant documents and information. This is neither an audit nor an expression of opinion.
3. We have not verified the correctness and appropriateness of financial Records and Books of Accounts of the listed entity.
4. This Report is solely for the intended purpose of compliance in terms of Regulation 24A (2) of the SEBI (Listing Obligations and Disclosure Requirements) Regulations, 2015 and is neither an assurance as to the future viability of the listed entity nor of the efficacy or effectiveness with which the management has conducted the affairs of the listed entity.

Place: Kanpur

Date: 24.05.2024

For V. Agnihotri & Associates



Name: Vaibhav Agnihotri

FCS No.: 10363

CP No. : 21596

UDIN: F010363F000439286

PR No : 2065/2022