

# DB (International) Stock Brokers Ltd.

- NSE&BSE : CAPITAL MARKET, F&O & CURRENCY SEGMENTS
- NSE BSE MCX ICEX: COMMODITIES
- DEPOSITORY PARTICIPANT: CDSL IPO, MUTUAL FUND & BONDS

Corp. Office: 402, New Delhi House, 27, Barakhamba Road, New Delhi -110001  
Tel.:011-43606162 Website: [www.dbonline.in](http://www.dbonline.in) E-Mail: [compliance@dbonline.in](mailto:compliance@dbonline.in)  
CIN: L67120HR1992PLC035349

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Dated: 24<sup>th</sup> July, 2020

To, Listing Department National Stock Exchange of India Ltd. Exchange Plaza Plot no. C/1, G Block Bandra Kurla Complex Bandra (E) Mumbai 400 051  NSE Symbol: DBSTOCKBRO	To, Department of Corporate Services BSE Limited Phiroze Jeejeebhoy Towers, DalalStreet Mumbai-400001  Scrip Code:530393
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**Sub: Submission of Secretarial Compliance Report as per Regulation 24A of SEBI (Listing Obligations and disclosure requirement) Regulations, 2015 for the year ended on March 31<sup>st</sup>, 2020.**

Dear Sir,

Please find enclosed the Secretarial Compliance Report as per Regulation 24A of SEBI (Listing Obligations and disclosure requirement) Regulations, 2015 duly certified by Practicing Company Secretary for the year ended on March 31<sup>st</sup>, 2020

Kindly take the same in your records.

Thanking you,

Yours faithfully,

**For DB (International) Stock Brokers Limited**

Sd/-  
**Shiv Narayan Daga**  
Managing Director  
Encl: As Above



**D BANSAL & ASSOCIATES**  
**(COMPANY SECRETARIES)**  
**SECRETARIAL COMPLIANCE REPORT**

**OF**

**DB (INTERNATIONAL) STOCK BROKERS LIMITED**

**FOR THE YEAR ENDED 31<sup>ST</sup> MARCH, 2020**

I **CS Deepika Bansal** have examined:

- (a) All the documents and records made available to us and explanation provided by **DB (INTERNATIONAL) STOCK BROKERS 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, 2020 (“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 there under; and
- (b) The Securities Contracts (Regulation) Act, 1956 (“SCRA”), rules made there under and the Regulations, circulars, guidelines issued there under by the Securities and Exchange Board of India (“SEBI”);

The specific Regulations, whose provisions and the circulars/ guidelines issued there under, 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;
- (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;
- (e) Securities and Exchange Board of India (Share Based Employee Benefits) Regulations, 2014;
- (f) Securities and Exchange Board of India (Issue and Listing of Debt Securities) Regulations, 2008;

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**ADDRESS: S-513, FIRST FLOOR, SCHOOL BLOCK, SHAKARPUR, DELHI-110092**

**Tel.: 011-43043619, Mobile: 9873248758**



# D BANSAL & ASSOCIATES

## (COMPANY SECRETARIES)

(g) Securities and Exchange Board of India (Issue and Listing of Non-Convertible and Redeemable Preference Shares) Regulations, 2013;

(h) Securities and Exchange Board of India (Prohibition of Insider Trading) Regulations, 2015;

(i) Other regulations as applicable and circulars/ guidelines issued there under;

And based on the above examination, I hereby report that, during the Review Period:

(a) The listed entity has complied with all the provisions of the above Regulations and circulars/ guidelines issued there under,

(b) The listed entity has maintained proper records under the provisions of the above Regulations and circulars/ guidelines issued there under insofar as it appears from my/our examination of those records.

(c) There are **no** actions 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 there under,

(d) The listed entity has taken the following actions to comply with the observations made in previous reports: **N.A**

Sr. no	Observations/ (Remarks of the Practicing clause) Company Secretary in the previous reports	Observation made in the secretarial compliance report for the year ended (the year are to be mentioned)	Actions taken by the listed entity, if any	Comments of the practicing company secretary on the actions taken by the listed entity

**NOTE:** As safety measure Physical verification of the documents could not be done due to the Pandemic Covid-19.

**For D BANSAL & ASSOCIATES**  
**(Company Secretaries)**

**Place: Ghaziabad**  
**Date: 22.07.2020**

**DEEPIKA  
BANSAL**  
Digitally signed by DEEPIKA  
BANSAL,  
DN: cn=DEEPIKA BANSAL,  
c=IN, st=UTTAR PRADESH,  
o=Principal,  
serialNumber=ed66750cd51479  
55a1822ab53cd1737c9b1efc1  
4e929517027ab0e11356e  
Date: 2020.07.22 14:15:23  
+05'30'

**Deepika Bansal**  
**(Proprietor)**  
**Membership No: 47810**  
**CP No: 17506**  
**UDIN- A047810B000488021**

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