

A.K.ROY & ASSOCIATES

(Company Secretaries)

A-580, Shastri Nagar,
Delhi-110052

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Email-csarvindroy@rediffmail.com

Secretarial compliance report of SMC GLOBAL SECURITIES LIMITED for the year ended 31st. March 2021.

I/We A.K.ROY & ASSOCIATES have examined:

- (a) all the documents and records made available to us and explanation provided by SMC GLOBAL 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 31st. 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, 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;

and based on the above examination, I/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 the matters specified below:

Sr. No	Compliance Requirement (Regulations/ circulars/ Guidelines including Specific clause)	Deviations	Observations/Remarks of the practicing company secretary
None			

(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) The following are the details of actions taken against the listed Entity/ its promoters/ directors/ materials subsidiaries either by SEBI or by Stock Exchange (including under the Standard Operating Procedures issued by SEBI through various circulars) under the aforesaid Acts/ Regulations and circulars/ guidelines issued thereunder:

Sr. No.	Action taken by	Details of violation	Details of actions Taken E.g. fines, warning letter, debarment etc.	Observations/ remarks of the practicing company secretary, if any.
None				

(d) The Listed Entity has taken the following actions to comply with the observations made in the previous reports:




Sr. No.	Observations of the practicing company Secretary in the previous reports	Observations made in the secretarial compliance report for the year ended 31 st March, 2020.	Actions taken by the listed Entity if any.	Comments of the Practicing Company Secretary on the actions taken by the Listed Entity
None				

(e) The Listed Entity has complied with the provisions of SEBI Circular CIR/CFD/CMD1/114/2019 dated October 18,2019, in terms of Para 6(A) and 6(B) .

Date: 29.04.2021
Place:New Delhi



Signature: 
Name of the PCS:Arvind Kumar Roy
FCS No.:8308
UDIN-F008308C000204405.