



Date: 29/05/2019

The Head- Listing Compliance  
**BSE Limited,**  
PhirozeJeejeebhoy Towers,  
Dalal Street,  
FortMumbai- 400001

The Head- Listing Compliance  
**National Stock Exchange of  
India Ltd.**  
Exchange Plaza,  
Plot no. C/1, G Block,  
Bandra-Kurla Complex  
Mumbai - 400 051

The Manager  
**The Calcutta Stock Exchange  
Ltd.**  
7, Lyons Range, Murgighata,  
BBD Bagh, Kolkata, West  
Bengal- 700001

Security Code: 511611

Stock Code: DCMFINSERV

Sub: Annual Secretarial Compliance Report for the year ended 31st March, 2019.

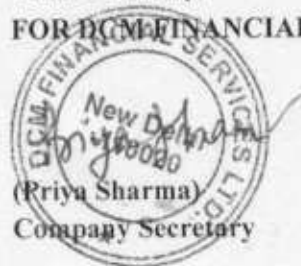
Pursuant to the provisions of Regulation 24A of SEBI (Listing Obligations and Disclosure Requirements) Regulations, 2015 (as amended upto date), please find enclosed herewith the Annual Secretarial Compliance Report as issued by M/s Jain P & Associates, Company Secretaries (ACS No. 41759), for the year ended 31<sup>st</sup> March, 2019.

You are requested to take the same on record.

Thanking you.

Yours Faithfully,

**FOR DCM FINANCIAL SERVICES LIMITED**



Place: New Delhi

## DCM FINANCIAL SERVICES LIMITED

CIN: L65921DL1991PLC043087

Regd. Office: D 7/3, Okhla Industrial Area-II, New Delhi-110020

Tel-011-26387750

email ID: info@dfsionline.com

Website: www.dfsionline.com



**Secretarial Compliance Report of DCM Financial Services Limited for the year ended  
March 31, 2019**

We, Jain P & Associates, have examined:

- (a) all the documents and records made available to us and explanation provided by **DCM Financial Services 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 March 31, 2019 (“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;
- (d) Securities and Exchange Board of India (Buyback of Securities) Regulations, 2018; **Not Applicable for the said review period**
- (e) Securities and Exchange Board of India (Share Based Employee Benefits) Regulations, 2014; **Not Applicable for the said review period**

(f) Securities and Exchange Board of India (Issue and Listing of Debt Securities) Regulations, 2008; **Not Applicable for the said review period**

(g) Securities and Exchange Board of India (Issue and Listing of Non-Convertible and Redeemable Preference Shares) Regulations, 2013; **Not Applicable for the said review period**

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

(i) Securities and Exchange Board of India (Depositories and Participants) Regulations, 2018 and Securities and Exchange Board of India (Depositories and Participants) Regulations, 1996 as applicable

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:-

<b>S. No</b>	<b>Compliance Requirement (Regulations/ circulars / guidelines including specific clause)</b>	<b>Deviations</b>	<b>Observations/ Remarks of the Practicing Company Secretary</b>
<b>NA</b>			

- (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/ 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 thereunder:

<b>S. No.</b>	<b>Action taken by</b>	<b>Details of violation</b>	<b>Details of action taken E.g. fines, warning letter, debarment, etc.</b>	<b>Observations/ remarks of the Practicing Company Secretary, if any.</b>
NA				

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

<b>S. No.</b>	<b>Observations of the Practicing Company Secretary in the previous reports</b>	<b>Observations made in the secretarial compliance report for the year ended March 31, 2019</b>	<b>Actions taken by the listed entity, if any</b>	<b>Comments of the Practicing Company Secretary on the actions taken by the listed entity</b>
NA				

**For Jain P & Associates,  
Company Secretaries**

PREETI Digitally signed  
by PREETI  
MITTAL  
MITTAL Date: 2019.05.29  
16:25:50 +05'30'

**Preeti Mittal  
Company Secretary  
Membership No.: 41759  
C.O.P. No.: 17079**

**Date: 29.05.2019  
Place: Noida**