



# DB (INTERNATIONAL) STOCK BROKERS LTD.

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

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CIN: L67120GJ1992PLC121278

Date: 30<sup>th</sup> May, 2022

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 Dalal Street 28th Floor, Dalal Street, Mumbai- 400001  Company Code: 530393
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**Sub: Submission of Secretarial Compliance Report as per Regulation 24A of SEBI (Listing Obligations and Disclosure Requirements) Regulations, 2015 for the Year ended on 31<sup>st</sup> March, 2022.**

Dear Sir/Ma'am,

In compliance with Regulation 24A of the SEBI (Listing Obligations and Disclosure Requirements), Regulations 2015 read along with SEBI Circular CIR/CFD/CMD1/27/2019 dated, February 08, 2019, we are submitting herewith Annual Secretarial Compliance Report dated 30th May, 2022 issued by Practicing Company Secretary for the Financial Year 2021-22.

This is for your information and records.

Thanking You.

Yours Faithfully,

For & on behalf of  
DB (International) Stock Brokers Limited

  
Pragya Singh  
Company Secretary & Compliance Officer  
Encl: As above





**Secretarial Compliance Report**  
**of**  
**DB (INTERNATIONAL) STOCK BROKERS LIMITED**  
**For the year ended 31<sup>st</sup> March 2022**

We M/s Surya Gupta & Associates, Practicing Company Secretaries have examined:

- (a) All the documents and records made available to us and explanation provided by M/s **DB (INTERNATIONAL) STOCK BROKERS LIMITED**, (CIN: L67120GJ1992PLC121278) having its Registered Office at Unit-P05-2A & P05-2B, 5<sup>th</sup> Floor, Tower-A, World Trade Center, Block-51, Road, 5E, Zone-5, Gift City, Gandhi Nagar, Gujrat-382355 hereinafter referred to as **“the listed entity”**,
- (b) the filings/ submissions made by the listed entity to the stock exchanges\*
- (c) Website of the listed entity. **The website of the company is updated with financials, Corporate Governance Report till 31.03.2022.**
- (d) any other document/ filing, as may be relevant, which has been relied upon to make this certification for the year ended 31.03.2022 (“Review Period”) in respect of compliance with the provisions of:
  - i. the Securities and Exchange Board of India Act, 1992 (“SEBI Act”) and the Regulations, circulars, guidelines issued thereunder; and
  - ii. 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 (Prohibition of Insider Trading) Regulations, 2015;
- (c) Securities and Exchange Board of India (Issue of Capital and Disclosure Requirements) Regulations, 2018; **Not applicable to the Company during the financial year**
- (d) Securities and Exchange Board of India (Substantial Acquisition of Shares and Takeovers) Regulations, 2011;

- (e) Securities and Exchange Board of India (Buyback of Securities) Regulations, 2018; **Not applicable to the Company during the financial year**
- (f) Securities and Exchange Board of India (Share Based Employee Benefits) Regulations, 2014; **Not applicable to the Company during the financial year**
- (g) Securities and Exchange Board of India (Issue and Listing of Debt Securities) Regulations, 2008; **Not applicable to the Company during the financial year**
- (h) 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 financial year**

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.
- (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 my/our examination of those records.
- (c) No actions have been 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:
- (d) The listed entity has taken the following actions to comply with the observations made in 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 ( <i>The years are to be mentioned</i> )	Actions taken by the listed entity, if any	Comments of the Practicing Company Secretary on the actions taken by the listed entity
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\*Quarter 4 financials are uploaded

Due to the increasing number of Covid- 19 cases being reported, it is very difficult to physically verify all the Documents so based on documents provided by the company in electronic mode we have done our verification virtually and took Management Representation Letter from the Company wherever required

**For Surya Gupta & Associates,  
Company Secretaries**

**SURYAKANT GUPTA** Digitally signed by SURYAKANT  
GUPTA  
Date: 2022.05.30 12:34:34 +05'30'

**Suryakant Gupta  
Proprietor  
M. No. – 9250,  
C.P No. – 10828  
UDIN :- F009250D000425811**

**Date: 30.05.2022**

**Place: Delhi**