

To,
National Stock Exchange of India Limited
Listing Dept.,
Exchange Plaza, Bandra Kurla Complex,
Bandra (E), Mumbai – 400051

BSE Limited
Listing Dept.,
P.J.Tower, Dalal Street,
Fort, Mumbai – 400001

Dear Sirs,

Sub.: Submission of Annual Secretarial Compliance Report for the F.Y 2019-20


Pursuant to SEBI Circular bearing No. CIR/CFD/CMD1/27/2019 dated February 08, 2019, please find enclosed herewith the Annual Secretarial Compliance Report of Emkay Global Financial Services Limited for the year ended 31st March, 2020 issued by M/s. Parikh & Associates, Practicing Company Secretaries.

We request you to kindly take the enclosed Annual Secretarial Compliance Report on record and acknowledge the receipt of the same

Thanking you,

Yours Faithfully,

For **Emkay Global Financial Services Limited**


B.M.Raul
Company Secretary

Encl.: As above



Administrative Office: Paragon Centre, C-06, Ground Floor, Pandurang Budhkar Marg, Opp. Birla Centurion, Worli, Mumbai - 400 013. Tel: +91 22 6629 9299 Fax: +91 22 6629 9105
Registered Office: The Ruby, 7th Floor, Senapati Bapat Marg, Dadar (West), Mumbai - 400 028. Tel: +91 22 6612 1212 Fax: +91 22 6612 1299 www.emkayglobal.com CIN - L67120MH1995PLC0042000

EMKAY GLOBAL FINANCIAL SERVICES LIMITED

Secretarial Compliance Report of Emkay Global Financial Services Limited for the year ended March 31, 2020

To,
Emkay Global Financial Services Limited
7th Floor, The Ruby Senapati Bapat Marg,
Dadar (West) Mumbai - 400028

We Parikh & Associates have examined:

- a) all the documents and records made available to us and explanation provided by **Emkay Global 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, 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 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; (Not applicable to the company during the review period)
- 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 to the company during the review period)
- 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; (Not applicable to the company during the review period)

- g) 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 review period)
- h) Securities and Exchange Board of India (Prohibition of Insider Trading) Regulations, 2015;
- i) Securities and Exchange Board of India (Depositories and Participant) Regulations, 2018;
and circulars/ guidelines issued thereunder;

and based on the above examination and considering the relaxations granted by the Ministry of Corporate Affairs and Securities and Exchange Board of India warranted due to the spread of the COVID-19 pandemic, 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/ guidelines including specific clause)	Deviations	Observations/ Remarks of the Practicing Company Secretary
(Refer Para (c) below)			

- b) The listed entity has maintained proper records under the provisions of the above Regulations and circulars/ guidelines issued thereunder in so far 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:

Sr. No.	Action taken by	Details of violation	Details of action taken E.g. fines, warning letter, debarment, etc.	Observations/ remarks of the Practicing Company Secretary, if any.
1	Securities and Exchange Board Of India	Non-compliance of SEBI Circular SMD/SED/CIR/93/23321 dated November 18, 1993, read with clause A(2) and A(5) of code of conduct prescribed in Schedule II under regulation 9(f) of Stock Brokers Regulations.	Adjudication order no. Order/MC/DPS/2019-20/5206 dated 25 th October, 2019 Penalty of Rs. 2,00,000/- (Rupees Two Lakh only)	The Company has paid the necessary penalty.
2	Securities and Exchange Board Of India	Non-compliance SEBI Circular No. MIRSD/ SE /Cir-19/2009 dated December 3, 2009, NSE Circular NSE/INSP/13606 dated December 03, 2009, NSE clarification circular NSE/INSP/14048 dated February 03, 2010 and NSE/INSP/21651 dated September 07, 2012, read with Clause A(2) and A(5) of code of conduct prescribed in Schedule II under regulation 9(f) of Stock Brokers Regulations.	Adjudication order no. Order/MC/DPS/2019-20/5206 Penalty of Rs. 1,00,000/- (Rupees One Lakh only)	The Company has paid the necessary penalty.

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 (The years 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
Not Applicable				

Place: Mumbai
Date: June 17, 2020

For Parikh & Associates

**Mitesh
Dhabliwala**

Digitally signed by Mitesh Dhabliwala
DN: c=IN, o=Personal, postalCode=400056,
st=Maharashtra,
2.5.4.20=93dfe8136c49c0a2dd48dd81e0a32
4bccdd8397ae00205ac7cb12d6b568b7f9,
serialNumber=276a7ae95c804fa7001ebcf53
a8edc03272635de80558851e40027f575677
5fa, cn=Mitesh Dhabliwala
Date: 2020.06.17 13:44:43 +05'30'

Signature:

Name of the Practicing Company Secretary: Mitesh Dhabliwala
Partner

FCS No.: 8331 CP No.: 9511
UDIN: F008331B000348561