



# 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

Office: 114, 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: L67120GJ1992PLC121278

14<sup>th</sup> May 2021

To,  
National Stock Exchange of India Ltd.  
Exchange Plaza, C-1, Block G,  
Bandra Kurla Complex  
Bandra (E) Mumbai - 400051

To,  
BSE Limited,  
Phiroze Jeejeebhoy Towers Dalal Street  
Mumbai- 400001

NSE Symbol : DBSTOCKBRO

Scrip Code : 530393

**Sub: Submission of Secretarial Compliance Report as per Regulation 24A of SEBI (Listing Obligations and disclosure requirement) Regulations, 2015 for the year ended on 31<sup>st</sup> March, 2021.**

Dear Sir/Ma'am,

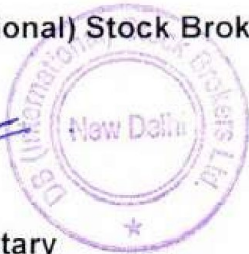
In compliance with Regulation 24A of the SEBI (Listing Obligations and Disclosure Requirements), Regulations 2015 read along with SEBI Circular CIR/CFD/ CMD1 /27/2079 dated, February 08, 2019, we are submitting herewith Annual Secretarial Compliance Report dated 28<sup>th</sup> April, 2021 issued by Practicing Company Secretary for the Financial Year 2020-21.

You are requested to take the above on your records

Yours faithfully,

For DB(International) Stock Brokers Limited

  
Divya Saluja  
Company Secretary



Encl: As above



**Secretarial Compliance Report of  
DB (International) Stock Brokers Limited  
for the year ended 31<sup>st</sup> March, 2021**

We, Vikas Verma & Associates, Practice Company Secretaries 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, 2021 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 for the period under review)**
- (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 period under review)**
- (e) Securities and Exchange Board of India (Share Based Employee Benefits) Regulations, 2014; **(Not applicable for the period under review)**
- (f) Securities and Exchange Board of India (Issue and Listing of Debt Securities) Regulations, 2008; **(Not applicable for the period under review)**
- (g) Securities and Exchange Board of India (Issue and Listing of Non-Convertible and Redeemable Preference Shares) Regulations, 2013; **(Not applicable for the period under review)**

B-502, 5<sup>th</sup> Floor, Statesman House, 148, Barakhamba Road, New Delhi – 110001

Firm Registration No:- **P2012DE081400**, Udyog Aadhaar Number:- **DL03D0019626**

Off. No.:- 011 43029809, +91 9953573236

Website:- [www.vvanda.com](http://www.vvanda.com)



- (h) Securities and Exchange Board of India (Prohibition of Insider Trading) Regulations, 2015;
- (i) Securities and Exchange Board of India (Registrars to an Issue and Share Transfer Agents) Regulations, 1993 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.
- (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) 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: **No Actions taken during financial year 2020-21.**
- (d) The listed entity has taken the following actions to comply with the observations made in previous reports: **(Not Applicable)**

**For & on behalf of  
Vikas Verma and Associates  
Company Secretaries  
(FRN: P2012DE081400)**

VIKAS KUMAR VERMA  
Digitally signed by  
VIKAS KUMAR VERMA  
Date: 2021.04.28  
16:46:12 +05'30'

**Vikas Kumar Verma  
Managing Partner  
M. No :F9192  
COP : 10786**

**Place: New Delhi  
Date: 28.04.2021  
UDIN: F009192C000200119**