



Moneywise. Be wise.

SMC GLOBAL SECURITIES LIMITED

Member: NSE • BSE • MSE • NCDEX • ICEX • MCX

Clearing & Trading Member : Cash, F&O, Currency, Debt & Commodity

SEBI Regn. No. : INZ 000199438 • Research Analyst No. : INH100001849 • Investment Adviser No. : INA100012491

Regd. Office : 11/6B, Shanti Chamber, Pusa Road, New Delhi-110005

Ph : +91-11-30111000, 40753333 Fax : +91-11-25754365 • CIN No. : L74899DL1994PLC063609

E-mail : smc@smcindiaonline.com Website : www.smcindiaonline.com

Date: 10th May, 2022

Listing Operations BSE Limited, P J Towers, Dalal Street, Mumbai-400001, India Scrip Code: 543263	Listing Department National Stock Exchange of India Limited, Exchange Plaza, C-1, Block G, Bandra Kurla Complex, Bandra (E) Mumbai – 400051 Symbol: SMCGLOBAL
--	---

Subject: Annual Secretarial Compliance Report for the financial year ended on 31st March, 2022.

Dear Sir/ Ma'am,

Pursuant to Regulation 24A of SEBI (Listing Obligations & Disclosures Requirements) Regulations, 2015, read with SEBI Circular no. CIR/CFD/CMD1/27/2019 dated February 8, 2019, we are enclosing herewith the Annual Secretarial Compliance Report for the financial year 2021-22 issued by A.K. Roy & Associates. Practicing Company Secretaries.

This will also be hosted on the Company's website at www.smcindiaonline.com

This is for your information and record.

For SMC Global Securities Limited


Suman Kumar
E.V.P. (Corporate Affairs) & Company Secretary
Membership No. F5824

Enclosed: Secretarial Compliance Report pursuant to Regulation 24A.

MUMBAI OFFICE : A Wing, 401/402, Lotus Corporate Park, Graham Firth Steel Compound, Off Western Express Highway, Jay Coach Signal, Goregaon East Mumbai-400063 Ph : +91-22-67341600, 66481618 Fax : +91-22-67341697 E-mail : smcmumbai@smcindiaonline.com

KOLKATA OFFICE: 18, Rabindra Sarani, Poddar Court, Gate No. 4, 5th Floor, Kolkata - 700001 Ph : +91-33-66127000 Fax : +91-33-66127004
E-mail : smckolkata@smcindiaonline.com



March 31, 2022 (“Review Period”) in respect of compliance with the provisions of:

- (i) **The Companies Act, 2013** (the Act) and the rules made thereunder;
- (ii) **The Depositories Act, 1996** and the Regulations and Bye-Laws framed thereunder;
- (iii) **Foreign Exchange Management Act, 1999** and the rules and regulations made thereunder to the extent of Foreign Direct Investment, Overseas Direct Investment and External Commercial Borrowings;
- (iv) **The Securities and Exchange Board of India Act, 1992** (“SEBI Act”) and the Regulations, circulars, guidelines issued thereunder; and
- (v) **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) **The Securities and Exchange Board of India (Listing Obligations and Disclosure Requirements) Regulations, 2015;**
- (b) **The Securities and Exchange Board of India (Issue of Capital and Disclosure Requirements) Regulations, 2018; (Not Applicable to the Company during the Audit Period)**

Arvind
Kumar Roy

Digitally signed by Arvind Kumar Roy
DN: c=IN, o=Personal, title=5760,
pseudoym=1059948417070051547a,
344d9194431bd23cd40f3f6e4318ec4
63b8372, postalCode=110084, st=Delhi,
serialNumber=7a785ce659a244e65aac
e52200153, cn=Arvind Kumar Roy
Date: 2022.05.01 12:10:40 +05'30'

(c) The Securities and Exchange Board of India (Substantial Acquisition of Shares and Takeovers) Regulations, 2011;

(d) The Securities and Exchange Board of India (Buyback of Securities) Regulations, 2018;(Not Applicable to the Company during the Audit Period)

(e)The Securities and Exchange Board of India (Share Based Employee Benefits) Regulations, 2014;

(f) The Securities and Exchange Board of India (Issue and Listing of Debt Securities) Regulations, 2008; **(Not Applicable to the Company during the Audit Period)**

(g) The 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 Audit Period)**

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

(i) The Securities and Exchange Board of India (Registrars to an Issue and Share Transfer Agents) Regulations, 1993 regarding the Companies Act and dealing with client;

(j)The Securities and Exchange Board of India (Delisting of Equity Shares) Regulations,2009;and circulars/ guidelines issued thereunder and based on the above examination, we hereby report that, during the Review Period:

Arvind
Kumar Roy

Digitally signed by Arvind Kumar Roy
DN: cn=IN, o=Personal, title=5760,
pseudonym=10599c49417c7d00f51547a
34ad919d431bd22cbe0f03f6e4318fc4
63b372, postalCode=110084, st=Delhi,
serialNumber=7a785ce35ea2eb4e65ac5
b3f709b0aee213f9ba50fc632e76da348
e52200153, cn=Arvind Kumar Roy
Date: 2022.05.01 12:10:10 +05'30'

We have also examined compliances with the applicable clauses of the following:

(i) Secretarial Standards issued by the Institute of Company Secretaries of India.

(ii) The Listing Agreements entered into by the Company with National Stock Exchange & Bombay Stock Exchange.

(iii) The listed entity has complied with the provisions of the above Regulations and circulars/ guidelines issued thereunder, except in respect of matters specified below: -

Compliance Requirement (Regulations/ circulars / guidelines including specific clause)	Deviations	Observations/ Remarks of the Practicing Company Secretary
NA	NA	NA

(iv) 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 record.

(v) 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.

Arvind
Kumar Roy

Digitally signed by Arvind Kumar Roy
DN: c=IN, o=Personal, bIte=5760,
pseudonym=10599c49417c700051547a
34a0919d9431b022c0e0b36e48106ec4
63888372, postalCode=110084, st=Delhi,
serialNumber=7a785ce35ea2eb4e65ac5
b3709b0aee213f98a560f6c32e76da348e
52200153, cn=Arvind Kumar Roy
Date: 2022.05.01 12:09:46 +05'30'

