



# LOHIA SECURITIES LTD.

- MEMBER : NSE, BSE, MCX-SX, USE, CSE
- DEPOSITORY PARTICIPANT : NSDL, CDSL



Regd. Office : 4, Biplabi Trailokya Maharaj Sarani, (Brabourne Road), 5th Floor, Kolkata - 700 001  
Phone : +91 4002 6600 / 6700, Fax : +91-4002 6800 Website : www.lohiasecurities.com  
Email : info@lohiasecurities.com Complaint : grievance@lohiasecurities.com

CIN No. L67120WB1995PLC067195

May 14, 2021

The Secretary  
The Calcutta Stock Exchange Ltd.  
7 Lyons Range  
Kolkata 700 001

Dear Sir,

Sub: Annual Secretarial Compliance Report under Reg. 24A of SEBI (LODR) Regulations, 2015.

Pursuant to Regulation 24A of SEBI (Listing Obligations and Disclosure Requirements) Regulations, 2015, as amended, read with SEBI circular no. CIR/CFD/CMD1/27/2019 dated 8 February 2019, we hereby submit the Annual Secretarial Compliance Report of the Company for the year ended 31st March, 2021 issued by M/s. Poonam Binani, Company Secretary.

You are requested to kindly take the same on record.

Thanking you.

Yours Faithfully,  
For Lohia Securities Limited

Narendra Kumar Rai  
Company Secretary  
Membership no. F5879

Encl: As stated above

**Institutional Dealing Office :**

1602-B, Lady Ratan Tower, 72, Dainik Shivner Marg, Gandhinagar, Worli, Mumbai - 400 018  
Phone : +91 22 2261 0552/0562, 2492 4449/4462, 2490 1308, Fax : +91 22 2490 1310



*Poonam Binani*  
Company Secretary

19, Maharshi Debendra Road  
Kolkata - 700 007  
Mobile : +91 9007493201  
E-mail : poonamundhra@gmail.com

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**Annual Secretarial Compliance Report of Lohia Securities Ltd for the year ended 31<sup>st</sup> March, 2021**

**[Pursuant to Circular CIR/CFD/CMD1/27/2019 dated February 08, 2019 for the purpose of compliance with Regulation 24A of SEBI (Listing Obligations and Disclosure Requirements) Regulations, 2015]**

To,  
Lohia Securities Ltd  
CIN - L67120WB1995PLC067195  
4, Biplabi Trailokya Maharaj Sarani (Brabourne Road),  
5th floor Kolkata 700001

I have conducted the Secretarial Compliance Audit of the applicable SEBI (Securities and Exchange Board of India) Regulations and the circulars / guidelines issued thereunder for the Financial Year ended 31<sup>st</sup> March, 2021 for Lohia Securities Ltd ("the Company"). The audit was conducted in a manner that provided me with a reasonable basis for evaluating the statutory compliances and expressing my opinion thereto.

I, Poonam Binani, Practicing Company Secretary have examined:

- (a) all the documents and records made available to me and explanation provided by the Company.
- (b) the filings / submissions made by the listed entity to the stock exchanges,
- (c) website of the Company,
- (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 ("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");





*Poonam Binani*  
Company Secretary

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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 since there was no reportable event during 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 since there was no reportable event during the period under review]** ;
- (e) Securities and Exchange Board of India (Share Based Employee Benefits) Regulations, 2014 - **[Not Applicable since there was no reportable event during the period under review]** ;
- (f) Securities and Exchange Board of India (Issue and Listing of Debt Securities) Regulations, 2008 - **[Not Applicable since there was no reportable event during 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 since there was no reportable event during the period under review]** ;
- (h) Securities and Exchange Board of India (Prohibition of Insider Trading) Regulations, 2015 ;
- (i) The provisions of the 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, I hereby report that during the Review Period :

- (a) The Company has complied with the provisions of the above Regulations and circulars / guidelines issued thereunder.
- (b) The Company has maintained proper records under the provisions of the above Regulations and circulars/ guidelines issued thereunder in so far as it appears from my examination of those records.
- (c) There were no instances for actions to be taken against the Company/ 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:



**Poonam Binani**  
Company Secretary

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(d) The Company was not required to take any action with regard to compliance with the observations made in previous reports as the same was not applicable:

Sr. No.	Observations of the Practicing Company Secretary in the previous reports	Observations made in the secretarial compliance report for the year ended 31.03.2020	Actions taken by the listed entity, if any	Comments of the Practicing Company Secretary on the actions taken by the listed entity
None				

**NOTE** : I have conducted online verification & examination of records, as facilitated by the Company, due to Covid 19 and subsequent lockdown situation for the purpose of issuing this Report / Certification / Document (as applicable) .

Place : Kolkata  
Date : 14<sup>th</sup> May, 2021

POONAM BINANI  
Digitally signed by  
POONAM BINANI  
Date: 2021.05.14  
11:20:34 +05'30'

**Poonam Binani**  
Company Secretary  
Membership No. A33638  
C.P. No. 12552  
UDIN - A033638C000299948