



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 30, 2022

The Secretary
The Calcutta Stock Exchange Ltd.
7, Lyons Range
Kolkata- 700 001
Scrip Code: 022123

The Listing Department (Corporate Relations)
BSE Limited
Phiroze Jeejeebhoy Towers
Dalal Street
Mumbai 400 001
..Scrip Code: 590082

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, 2022 issued by M/s. K. Arun & Co., 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

K. ARUN & CO.
Company Secretaries

**SECRETARIAL COMPLIANCE REPORT OF LOHIA SECURITIES LTD
FOR THE FINANCIAL YEAR ENDED 31ST MARCH, 2022**
[Pursuant to Regulation 24A of the SEBI (Listing Obligations and Disclosure Requirements) Regulations, 2015, as amended, read with SEBI Circular No. CIR/CFD/CMD1/27/2019 dated 08th February, 2019]

We, K. Arun & Co., Company Secretaries, being the Secretarial Auditor of **LOHIA SECURITIES LTD** (herein after mentioned as "the Company"), have examined:

- a) all the documents and records made available to us and explanation provided by the Company,
- b) the filings/ submissions made by the Company to the stock exchanges,
- c) website of the Company, and
- d) such other documents, as may be relevant, which has been relied upon to make this certification for the Financial Year ended **31st March, 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, along with the circulars and guidelines issued thereunder; and
- B. Securities and Exchange Board of India (Issue of Capital and Disclosure Requirements) Regulations, 2018, along with the circulars and guidelines issued thereunder; and- *(Not applicable to the company during the period under review.)*
- C. Securities and Exchange Board of India (Substantial Acquisition of Shares and Takeovers) Regulations, 2011, along with the circulars and guidelines issued thereunder;
- D. Securities and Exchange Board of India (Buyback of Securities) Regulations, 2018; and- *(Not applicable to the company during the period under review.)*

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- E. Securities and Exchange Board of India (Share Based Employee Benefits) Regulations, 2014; and- *(Not applicable to the company during the period under review.)*
- F. Securities and Exchange Board of India (Issue and Listing of Debt Securities) Regulations, 2008; and- *(Not applicable to the company during the period under review.)*
- G. Securities and Exchange Board of India (Issue and Listing of Non-Convertible and Redeemable Preference Shares) Regulations, 2013; and- *(Not applicable to the company during the period under review.)*
- H. Securities and Exchange Board of India (Prohibition of Insider Trading) Regulations, 2015; and
- I. The Securities and Exchange Board of India (Registrars to an Issue and Share Transfer Agents) Regulations, 1993, along with the circulars and guidelines issued thereunder.

Based on the above examination, we hereby report that, during the Review Period:

- I. The Company has complied with all the applicable provisions of the above Regulations, and circulars and guidelines issued there under;
- II. The Company has maintained proper records, as applicable, under the provisions of the above Regulations and circulars and guidelines issued thereunder in so far as it appears from our examination of those records; and
- III. No action has been taken against the Company or its promoters, directors, material subsidiaries either by Securities & Exchange Board of India or by Stock Exchanges under the aforesaid Acts/ Regulations and Circulars/ Guidelines.
- IV. As there were no Observations made in the previous report, the Company was not required to take any action.

Place: Kolkata
Date: 30.05.2022

For K. Arun & Co
Company Secretaries

SHRUTI Digitally signed by
SHRUTI SUMAN
Date: 2022.05.30
13:36:47 +05'30'
SUMAN

Shruti Suman

Partner

ACS: 63129

C.P. No.: 23880

UDIN: A063129D000424479