



**Secretarial compliance report of PB Global Limited for the year ended
31st March, 2019**

I, Sumit Khanna, SARK & Associates, Practicing Company Secretary have examined:

- (a) all the documents and records made available to us and explanation provided by PB Global 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 31.03.2019 ("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 during the year under review);*
- (c) Securities and Exchange Board of India (Substantial Acquisition of Shares and Takeovers) Regulations, 2011; *(Not applicable during the year under review);*
- (d) Securities and Exchange Board of India (Buyback of Securities) Regulations, 2018; *(Not applicable during the year under review);*
- (e) Securities and Exchange Board of India (Share Based Employee Benefits) Regulations, 2014; *(Not applicable during the year under review);*



- (f) Securities and Exchange Board of India (Issue and Listing of Debt Securities) Regulations, 2008; *(Not applicable during the year under review);*
- (g) Securities and Exchange Board of India (Issue and Listing of Non-Convertible and Redeemable Preference Shares) Regulations, 2013; *(Not applicable during the year under review);*
- (h) Securities and Exchange Board of India (Prohibition of Insider Trading) Regulations, 2015; *(Not applicable during the year under review);*

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, except in respect of matters specified below:-

Sr. no:	Compliance (Regulations/ guidelines including specific clause)	Requirement (Circulars/ specific clause)	Deviations	Observation/remark by Practicing Company Secretaries
1	Shareholding Pattern as per Regulation 31 of SEBI (LODR) Regulations, 2015 for the quarter ended 30.06.2018			Filed after due date
2	Board meeting for Consideration and approval of Financial Results for the quarter ended on 30.06.2018 (Regulation 33 of SEBI (LODR) Regulations, 2015)			Board Meeting Conducted After due date
3	Corporate Governance Report for the quarter ended on 30.09.2018 (Regulation 27 of SEBI (LODR) Regulations, 2015)			Filed after due date
4	Share Reconciliation Audit Report for the quarter ended 30.09.2018 (Regulation 55A of SEBI (Depositories and Participant) Regulations, 1996)			Filed after due date
5	Statement of Investor Complaints for the quarter ended on 30.09.2018 (Regulation 13 of SEBI (LODR) Regulations, 2015)			Filed after due date



6	Compliance Certificate for the half year ended on 30.09.2018 (Regulation 7(3) of SEBI (LODR) Regulations, 2015)		Filed after due date
7	Certificate from Practicing Company Secretary for the half year ended on 30.09.2018 (Regulation 40(9) of SEBI (LODR) Regulations, 2015)		Filed after due date
8	Share Reconciliation Audit Report for the quarter ended 30.09.2018 (Regulation 55A of SEBI (Depositories and Participant) Regulations, 1996)		Filed after due date
9	Shareholding Pattern as per Regulation 31 of SEBI (LODR) Regulations, 2015 for the quarter ended 30.09.2018		Not filed
10	Share Reconciliation Audit Report for the quarter ended 31.12.2018 (Regulation 55A of SEBI (Depositories and Participant) Regulations, 1996)		Filed after due date
11	Share Reconciliation Audit Report for the quarter ended 31.03.2019 (Regulation 55A of SEBI (Depositories and Participant) Regulations, 1996)		Filed after due date
12	Shareholding Pattern as per Regulation 31 of SEBI (LODR) Regulations, 2015 for the quarter ended 31.03.2019		Not filed
13	Statement of Investor Complaints for the quarter ended on 31.03.2019 (Regulation 13 of SEBI (LODR) Regulations, 2015)		Filed after due date
14	Certificate from Practicing Company Secretary for the half year ended on 31.03.2019 (Regulation		Not filed



40(9) of SEBI (LODR) Regulations, 2015)		
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- (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:

Sr. no:	Action taken by	Details of violation	Details of action taken	Observation/remark by Practicing Company Secretaries
1	BSE Ltd	Its not violation, revocation reinstatement fee is pending	Company is in process of arrangement of funds	Company is in process of arrangement of funds, as 31st August, 2019 is a due date for this payment



(d) The listed entity has taken the following actions to comply with the observations made in previous reports:

Sr. no:	Observation/remark by Practicing Company Secretaries	Observations made in the secretarial compliance report for the year endeth (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
Nil	Nil	Nil	Nil	Nil

Place: Mumbai

Date: 30th May, 2019

For SARK & Associates
Practicing Company Secretary



Sumit Khanna
Partner

Membership No.: 22135

C P No.: 9304