GCM SECURITIES LIMITED

MEMBER : NATIONAL STOCK EXCHANGE OF INDIA LTD. (SEBI REGN. NO. INB/INF 230793439)
: BOMBAY STOCK EXCHANGE OF INDIA LTD. (SEBI REGN. NO. INB/INF 010793439)

Corporate Office :
805, Raheja Centre, 8th Floor, 214, Nariman Point, F. B. Journal Road, Mumbai - 400 021.
Tel. : (91-22) 3023 5727 / 33 • Fax : (91-22) 3020 1364

EMPOWERING INVESTORS
A SEBI Initiative

July 22, 2019

To
The Deputy Manager
Department of Corporate Services
BSE Limited
P.J. towers, Dalal Street, Fort,
Mumbai-400001

Ref.:- Scrip Code BSE-535431

Sub.: - Submission of Annual Secretarial Compliance Report

Respected Sir or Madam,

With reference to the above captioned subject matter and pursuant to Regulation 24A of SEBI (LODR) Regulations, 2015 read with SEBI Circular No, CIR/CFD/CMD1/27/2019 dated 8 February 2019, enclosed please Find the Annual Secretarial Compliance Report for the Financial Year 2018-19.

Kindly take the same on your record and oblige.

Thanking You

Your Faithfully
For **GCM SECURITIES LIMITED**

GCM SECURITIES LIMITED MUMBAI

Manish Baid
Managing Director
DIN: 00239347

Encl.: Annual Secretarial Compliance Report

Registered Office: Sr. R. N. M. House, 3 B Lal Bazar Street, (5th Floor, Block-2), Kolkata - 700 001. India.
Phones : (91-33) 2248 1053 / 1415 / 9908 • Fax : (91-22) 2248 1415
CIN No:- L67120WB1995PLC071337 | Email Id:- gcmsecu.kolkata@gmail.com | Website:- www.gcmsecuritiesltd.com

Secretarial compliance report of GCM SECURITIES LIMITED
For the year ended 31st March 2019

We have examined:

(a) all the documents and records made available to us and explanation provided by GCM Securities 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 31st March 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;

(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;

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

(f) Securities and Exchange Board of India (Issue and Listing of Debt Securities) Regulations, 2008;

(g) Securities and Exchange Board of India (Issue and Listing of Non- Convertible and Redeemable Preference Shares) Regulations,2013;

KRITI DAGA
C.P. No. 14023
Practising Company Secretary

Kriti Daga
Practicing Company Secretaries
4, Ho Chi Minh Sarani, KBR Complex, Flat No. 3C, Kolkata – 700 071
Mobile : +91 98361 62295, Email : kritisdaga@gmail.com

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

(kk) The Companies Act, 2013 (the Act) and the rules made there under;

(ll) The Depositories Act, 1996 and the Regulations and bye-laws framed there under;

(mm) Foreign Exchange Management Act, 1999 and the rules and regulations made there under to the extent of Foreign Direct Investment, Overseas Direct Investment;

(nn) 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;

(oo) The Securities and Exchange Board of India (Delisting of Equity Shares) Regulations, 2009; and

(pp) The Securities and Exchange Board of India (Buyback of Securities) Regulations, 1998;

and circulars/ guidelines issued thereunder;

and based on the above examination, I/We hereby report that, during the Review Period:

(c) 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 Requirement (Regulations/ circulars / guidelines including specific clause)	Deviations	Observations/ Remarks of the Practicing Company Secretary
1	Not Any	Not any	Not Any

e) 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 my/our examination of those records.

f) 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:

KRITI DAGA
C.P. No. 14023
Practising Company Secretary

Kriti Daga
Practicing Company Secretaries
4, Ho Chi Minh Sarani, KBR Complex, Flat No. 3C, Kolkata – 700 071
Mobile : +91 98361 62295, Email : kritisdaga@gmail.com

Sr. No.	Action taken by	Details of violation	Details of action taken E.g. fines, warning letter, debarment, etc.	Observations/ remarks of the Practicing Company Secretary, if any.
1.	Not any	Not Any	Not Any	Not any

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

Sr. no.	Observations of the Practicing Company Secretary in the previous reports	Observations made in the secretarial compliance report for the year ended March 2019 (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
1.	Not any	Not any	Not Any	Not Any

KRITI DAGA
Practicing Company Secretaries
ACS No. A26425, C. P. No. 14023

KRITI DAGA
COMPANY SECRETARY IN WHOLE-TIME PRACTICE
Membership No.-26425
C.P. No.-14023
KBR Complex, 4, Ho Chi Minh Sarani
Next to US Consulate
Flat No.3C, Kolkata-700 071
Ph: 9836162295

Place: Kolkata
Date: May 29, 2019