



DAULAT SECURITIES LIMITED

Member : National Stock Exchange of India Ltd. (NSE)

The Calcutta Stock Exchange Ltd. (CSE)

Depository Participant : National Securities Depositories Ltd. (NSDL)

CIN No. : L67120WB1992PLC056831

Date: 23rd May, 2025

To,
The Deputy General Manager (Listing)
Dept. of Corporate Services
BSE Ltd
Floor -25 P. J. Tower
Dalal Street
Mumbai - 400 001

Company Code - 530171

Sub: Annual Secretarial Compliance Report for the financial year ended on 31st March, 2025 under Regulation 24A, of SEBI (Listing Obligations and Disclosure Requirements) Regulations, 2015

Dear Sir/ Madam,

Pursuant to Regulation 24A of SEBI (Listing Obligations and Disclosure Requirements) Regulations, 2015, we enclose the Annual Secretarial Compliance Report for the financial year ended 31st March, 2025 submitted by M/s. S. A. & Associates, Company Secretaries in the format specified by SEBI for your perusal and information.

Thanking you.

Yours faithfully,
For Daulat Securities Ltd

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Digitally signed by

EENASRI MITRA

Date: 2025.05.23

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Company Secretary

ACS66097

Regd. Office : 86, Canning Street, 3rd Floor, Kolkata - 700 001

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ANNUAL COMPLIANCE REPORT

(Regulation 24A SEBI (LODR), 2015)

Secretarial compliance report of Daulat Securities Limited.(company name) the Financial year ended 31st March 2025

We have conducted the review of the compliance of the applicable statutory provisions and the adherence to good corporate practices by Daulat Securities Limited (company Name) (hereinafter referred as the listed entity having a Registered Office 86 Canning Street Kolkata-700 001 Secretarial Review was conducted in a manner that provided us a reasonable basis for evaluating the corporate conducts statutory compliances and expressing our opinion thereon

Based on our verification of the listed entity's books, papers, minutes books, forms and returns filed and other records maintained by the listed entity and also the information provided by the listed entity, its officers, agents and authorized representatives during the conduct of Secretarial Review, we hereby report that in our opinion, the listed entity has, during the review period covering the financial year ended on **March 31, 2025** complied with the statutory provisions listed hereunder and also that the listed entity has proper Board processes and compliance mechanism in place to the extent in the manner and subject to the reporting made hereinafter

I We Shipra Agarwal, Practicing Company Secretary have examined:

- 1 all the documents and records made available to us and explanation provided by Daulat Securities Limited (**Company Name**) (**CIN : L671210WB1992PLC056831**)
- 2 the filings/ submissions made by the listed entity to the stock exchanges,
- 3 website of the listed entity,
- 4 any other document/ filing, as may be relevant, which has been relied upon to make this certification, for the year ended 31st **March 2025** 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");
5. The specific Regulations, whose provisions and the circulars/ guidelines issued thereunder, have been examined, including:-
- Securities and Exchange Board of India (Listing Obligations and Disclosure Requirements) Regulations, 2015;
 - Securities and Exchange Board of India (Issue of Capital and Disclosure Requirements) Regulations, 2018;
 - Securities and Exchange Board of India (Substantial Acquisition of Shares and Takeovers) Regulations, 2011;
 - Securities and Exchange Board of India (Buyback of Securities) Regulations, 2018;
 - Securities and Exchange Board of India (Share Based Employee Benefits) Regulations, 2021;
 - Securities and Exchange Board of India (Issue and Listing of Debt Securities) Regulations, 2021;
 - Securities and Exchange Board of India (Issue and Listing of Non- Convertible and Redeemable Preference Shares) Regulations, 2013;
 - Securities and Exchange Board of India (Prohibition of Insider Trading) Regulations, 2015;
 - Securities and Exchange Board of India (Delisting of Equity Shares) (Amendment) Regulations, 2016;
 - Securities and Exchange Board of India (Investor Protection and Education Fund) Regulations, 2009;
 - Securities and Exchange Board of India (Depository Participant) Regulations, 2018; and circulars/ guidelines issued thereunder;

I hereby report that, during the Review Period the compliance status of the listed entity is appended below;

Sr. No.	Particulars	Compliance status (Yes/ No/ NA)	Observations/ Remarks by PCS*
1.	<p><u>Secretarial Standards:</u></p> <p>The compliances of the listed entity are in accordance with the applicable Secretarial Standards (SS) issued by the Institute of Company Secretaries India (ICSI)</p>	YES	
2.	<p><u>Adoption and timely updation of the Policies:</u></p> <ul style="list-style-type: none"> All applicable policies under SEBI Regulations are adopted with the 	YES	



	<p>approval of board of directors of the listed entities</p> <ul style="list-style-type: none"> All the policies are in conformity with SEBI Regulations and has been reviewed & timely updated as per the regulations/circulars/ guidelines issued by SEBI 	YES	
3.	<p><u>Maintenance and disclosures on Website:</u></p> <ul style="list-style-type: none"> The Listed entity is maintaining a functional website Timely dissemination of the documents/ information under a separate section on the website Web-links provided in annual corporate governance reports under Regulation 27(2) are accurate and specific which re-directs to the relevant document(s)/ section of the website 	YES YES NO	Regulation 27(2) of SEBI LODR is not applicable to the listed company.
4.	<p><u>Disqualification of Director:</u></p> <p>None of the Director of the Company are disqualified under Section 164 of Companies Act, 2013</p>	YES	
5.	<p><u>To examine details related to Subsidiaries of listed entities:</u></p> <p>(a) Identification of material subsidiary companies</p> <p>(b) Requirements with respect to disclosure of material as well as other subsidiaries</p>	NA	The Listed Company Does Not Have Any Subsidiary
6.	<p><u>Preservation of Documents:</u></p> <p>The listed entity is preserving and maintaining records as prescribed under SEBI Regulations and disposal of records as per Policy of Preservation of Documents and Archival policy prescribed under SEBI LODR Regulations, 2015.</p>	YES	
7.	<p><u>Performance Evaluation:</u></p> <p>The listed entity has conducted performance evaluation of the Board, Independent Directors and the Committees at the start of every financial year as prescribed in SEBI Regulations</p>	YES	
8.	<p><u>Related Party Transactions:</u></p>	YES	



	<p>(a) The listed entity has obtained prior approval of Audit Committee for all Related party transactions</p> <p>(b) In case no prior approval obtained, the listed entity shall provide detailed reasons along with confirmation whether the transactions were subsequently approved/ratified/rejected by the Audit committee</p>		
9.	<p><u>Disclosure of events or information:</u></p> <p>The listed entity has provided all the required disclosure(s) under Regulation 30 along with Schedule III of SEBI LODR Regulations, 2015 within the time limits prescribed thereunder.</p>	YES	
10.	<p><u>Prohibition of Insider Trading:</u></p> <p>The listed entity is in compliance with Regulation 3(5) & 3(6) SEBI (Prohibition of Insider Trading) Regulations, 2015</p>	YES	
11.	<p><u>Actions taken by SEBI or Stock Exchange(s), if any:</u></p> <p>No Actions taken against the listed entity/ its promoters/ directors/ subsidiaries either by SEBI or by Stock Exchanges (including under the Standard Operating Procedures issued by SEBI through various circulars) under SEBI Regulations and circulars/ guidelines issued thereunder</p>	YES	
12.	<p><u>Resignation of a statutory auditors from the listed entity or its material subsidiaries</u></p> <p>In case of resignation of statutory auditors from the listed entity or any of its material subsidiaries during the financial year , the listed entity and /or its material subsidiary(ies) has/have complied with paragraph 6.1 and 6.2 section V-D chapter V of the Master Circular No. SEBI/HO/CFD/PoD2/CIR/P/0155 dated November 11, 2024 on compliance with the provisions of the LODR Regulations by listed entities</p>	N.A	



13	<u>Additional Non-compliances, if any:</u> No any additional non-compliance observed for all SEBI regulation/ circular/guidance note etc.	YES	
14	<u>Disclosure about Employee Benefit Scheme Documents in terms of regulation 46(2) (za) of the SEBI LODR :</u> As detailed in SEBI Circular No. SEBI/HO/CFD/CFD-PoD-2/ CIR/P/2024/185 dated December 31, 2024 Para 11 the secretarial compliance report issued by a peer Reviewed Company Secretary uder regulation 24A(2) of the LODR Regulations shall include a confirmation on compliance with the following requirements by the listed entity : a). The Scheme document has been uploaded on the website of the listed entity after obtaining shareholder approval as required under SEBI (SBEB) Regulations 2021. b) The documents uploaded on the website has minimum information disclosed to shareholders as per SEBI (SBEB) Regulation 2021. c) The rationle for redacting information from the documents and the justification as to how such redacted information would affect competitive position or reveal commercial secrets of the listed entity is placed before the board of directors for consideration and approval.	N.A	

Observations/Remarks by PCS are mandatory if the Compliance status is provided as 'No' or 'NA'

Compliances related to resignation of statutory auditors from listed entities and their material subsidiaries as per SEBI Circular CIR/CFD/CMD1/114/2019 dated 18th October, 2019:

Sr. No.	Particulars	Compliance Status (Yes/No/N.A)	Observations/ Remarks by PCS



	Compliances with the following conditions while appointing/re-appointing an auditor.		
1	<p>i.If the auditor has resigned within 45 days from the end of a quarter of a financial year, the auditor before such resignation, has issued the limited review/ audit report for such quarter:</p> <p>Or</p> <p>ii. If the auditor has resigned after 45 days from the end of a quarter of a financial year, the auditor before such resignation, has issued the limited review/ audit report for such quarter as well as the next quarter; or</p> <p>iii. If the auditor has signed the limited review/ audit report for the first three quarters of a financial year, the auditor before such resignation, has issued the limited review/audit report for the last quarter of such financial year as well as the audit report for such financial year. Other conditions relating to resignation statutory auditor</p>	NA	The auditors of the listed entity have not resigned during the review period.
2	<p>1. Reporting of concerns by Auditor with Not applicable respect to the listed entity/its material subsidiary to the Audit Committee:</p> <p>a. In case of any concern with the management of</p>	<p>NA</p> <p>NA</p>	There is no such reporting .



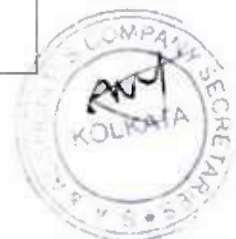
the listed entity/material subsidiary such as non-availability of information / non-cooperation by the management which has hampered the audit process, the auditor has approached the Chairman of the Audit Committee of the listed entity and the Audit Committee shall receive such concern directly and immediately without specifically waiting for the quarterly Audit Committee meetings.

b. In case the auditor proposes to resign, all concerns with respect to the proposed resignation, along with relevant documents has been brought to the notice of the Audit Committee. In cases where the proposed resignation is due to non-receipt of information / explanation from the company, the auditor has informed the Audit Committee the details of information/explanation sought and not provided by the management, as applicable.

c. The Audit Committee/Board of Directors, as the case may be, deliberated on the matter on receipt of such information from the auditor relating to the proposal to resign as mentioned above and communicate its views to the management and the auditor.

ii. Disclaimer in case of non-receipt of information:

The auditor has provided



	an appropriate disclaimer in its audit report, which is in accordance with the Standards of Auditing as specified by ICAI/NFRA, in case where the listed entity/ its material subsidiary has not provided information as required by the auditor.		
3	The listed entity its material subsidiary has obtained information from the Auditor upon resignation, in the format as specified in Annexure-A In SEBI Circular GIR/CFD/CMD1/114/2019 dated 18th October, 2019.	NA	The auditors of the listed entity have not resigned during the review period.

- 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)	Regulation/Circular No.	Deviations	Action Taken by	Type of Action	Details of Violation	Fine Amount	Observations/Remarks of the Practicing Company Secretary	Management Response	Remarks
	Advisory/ Clarification /Fine/ Show Cause Notice/ Warning, etc.					NIL				

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



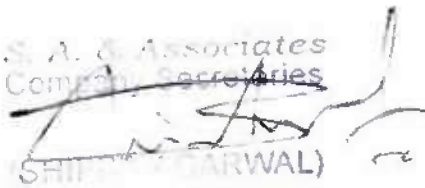
Sr. No.	Compliance Requirement (Regulations/circulars/guidelines including specific clause)	Regulation/Circular No.	Deviations	Action Taken by	Type of Action	Details of Violation	Fine Amount	Observations/Remarks of the Practicing Company Secretary	Management Response	Remarks
	Advisory / Clarification / Fine/Show Cause Notice/ Warning, etc.					NIL				

Assumptions & Limitation of scope and Review:

1. Compliance of the applicable laws and ensuring the authenticity of documents and information furnished, are the responsibilities of the management of the listed entity.
2. Our responsibility is to certify based upon our examination of relevant documents and information. This is neither an audit nor an expression of opinion.
3. We have not verified the correctness and appropriateness of financial Records and Books of Accounts of the listed entity.
4. This Report is for the intended purpose of compliance in terms of Regulation 24A (2) of the SEBI (Listing Obligations and Disclosure Requirements) Regulations, 2015 and is neither an assurance as to the future viability of the listed entity nor of the efficacy or effectiveness with which the management has conducted the affairs of the listed entity.

Place: Kolkata
Date: 21.05.2025

UDIN: F004917G000395384
Peer Review Certificate No : 3481/2023

S. A. & Associates
Company Secretaries

(SHRI. ARJUN KUMAR)
Chartered Secretary
C.P. No. 3173